

Cornerstone Behavioral Healthcare

PM.21 Personnel Files

Cornerstone Behavioral Healthcare (CBH) maintains a single personnel file for each employee, affiliate, student, and volunteer*. These files are stored in a locked filing cabinet at the office.

An employee's file is confidential and may be accessed by only the following individuals:

- The employee
- The employee's supervisor
- The CEO or their designee
- Human Resources staff
- Appropriate staff for the purpose of Quality Assurance
- Representatives of licensing and/or funding agencies for compliance reviews

At least annually, the CEO or their designee will review and approve all personnel files to ensure compliance with federal, state, and local laws, with particular attention to Equal Employment Opportunity (EEO) standards.

In accordance with Maine law, any employee may review their personnel file during normal business hours in the presence of a designated Human Resources representative, within ten (10) business days of submitting a written request. Employees may not remove any materials from their file. However, employees may submit written comments regarding any content in their file to the CEO, and, upon request, these comments will be added to the file. Requests to permanently remove any item from the file must be submitted in writing to the CEO.

Employees are entitled to copies of all materials contained in their personnel file, with the exception of confidential managerial notes, letters of reference, information compiled for a criminal investigation, and information that may violate the privacy of others. Any information from the personnel file that is provided to the employee may be released to other individuals only with the employee's written consent or pursuant to a court-issued subpoena.

All inactive personnel files will be kept in a locked file cabinet and will be destroyed, in a manner that assures confidentiality, three years after the employee's termination date

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Personnel files shall include, but are not limited to:

- Resume, which includes education, experience, and training
- Job application
- Job description
- IRS W-4
- Sign-up forms for employee benefits
- Copy of current license/certification
- Orientation checklist
- Copies of warnings or documentation of disciplinary actions
- Annual staff development plan
- Performance evaluations
- Background checks, including Maine Background Check Center (MBCC), Bureau of Motor Vehicles (where applicable), Adult and Child Protective Services (APS, CPS)
- Acknowledgment of review of Rights of Recipient
- Acknowledgment of review of Personnel Manual
- Proof of automobile liability insurance (where applicable)
- Proof of professional liability insurance (where applicable)
- Acknowledgment of Computer Use Policy

Documentation of continuing education, training, and medical files will be kept separately.

Frank Willard

CEO

10/27/2025

Date

*As specified in 10-144 CMR Ch. 123.13.A-D