

Regulatory Requirements Checklist (Joint Commission & DPH)



The following documents **MUST** be in the Employee File:

- ___ **Current Performance Evaluation (PE)** (within the last 12 months) + a total of three years worth of evaluations is required in the employee file
 - ⇒ PEs must cover only a 12 month period and the signatures by the supervisor and employee must be obtained within 60 days of the period of evaluation end date.

- ___ **Job Description**
 - ⇒ The JD must be signed and dated by the employee & supervisor

- ___ **Current Source Verification for License & Certifications** (if applicable)
 - ⇒ Online Primary Source Verification must be completed ON or BEFORE first day of work
 - ⇒ Online Primary Source Verification **must** be completed prior to the expiration date of the license
 - ⇒ Primary Source Verification MUST be printed out and placed in file
 - ⇒ Verbal/Telephonic Verification is also acceptable option to use upon hire and renewal. Telephonic form must be completed.
 - ⇒ An employee may be put on an unapproved leave without pay if he or she fails to renew their license

- ___ **Current BCLS card** (if applicable)
 - ⇒ An employee may be put on an unapproved leave without pay if he or she fails to renew their BCLS card

- ___ **Other Certifications as appropriate**

- ___ **New Employee Orientation** Post Test and/or Confirmation Form (HR class or online)

- ___ **Department Orientation Class** (Nursing, Ambulatory Care, Respiratory, Pharmacy, Social Work, etc.)

- ___ **Department Specific Orientation checklist**

- ___ **Initial Competencies** are required for all positions in all departments
 - ⇒ The Dept. of Nursing, based on the job category, has multiple levels of initial competencies required, such as:
 - RNs/LVNs- dept. of nursing, service and unit (float nurses do not need unit)
 - CCPs-Job specific
 - ACPs-Job specific
 - MTs-Job specific
 - Others- Job specific

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- ___ **Age Specific Training** (if applicable)
 - ⇒ For Dept. of Nursing, this is part of Department Orientation
 - ⇒ Others who provide direct patient care -complete a separate module and test

- ___ **Current Annual Competencies** (if applicable)
 - ⇒ Competencies reviewed annually are: High Risk/Low Frequency, Annual Regulatory Requirements, (such as Accucheck) and/or other topics when indicated
 - ⇒ Dept. of Nursing(RNs/LVNs) requires department and unit (if applicable)

- ___ **Child, Domestic and Elder Abuse Reporting Forms:** 3 separate signed forms

- ___ **Confidentiality Statement**

- ___ **Online Tests:**
- ___ **Annual Education Post Test (Self Study Guide and Staff Information Handbook)**

- ___ **HIPPA Education and Training Post Test**

- ___ **HIPPA Confidentiality Post Test (prior to May 2008)**

- ___ **HIPPA Security Post Test (prior to May 2008)**

- ___ **Compliance Quiz (Code of Conduct)**

Certifications for the above online tests can be printed from:
<http://hr.healthcare.ucla.edu/Hipaa/RequestCert.asp>

The following Health Records may not be kept in the employee file, but should be accessible during a DPH survey.

- ___ **New Hire Physical:** Occupational Health ext 5-6771

- ___ **Current TB:** Occupational Health ext 5-6771

- ___ **Fit Testing:** Occupational Health ext 5-6771 (if applicable)

- ___ **Color Blind Testing:** Occupational Health ext 5-6771 (if applicable)