

Instructions for Auditing Blue Folders

1	Name, DOH & Job Classification Title (Front of folder)	Look for: all 3 requirements. Accuracy: University DOH, not departmental. Job Classification must be current. Common Issues: Can be market or working title, as long as it matches description. Verify DOH, if time allows.
2	Job Description (Left side; current only)	Look for: Document + population served, if required. Accuracy: Description can be university job classification description, info from the Career Navigator, a job posting, departmental job description or a combination of any of these. Common Issues: Job Title must be included on document. Job description must match job-specific expectations on eval or be similar enough to track between.
3	PSV for Licensure/Certification/ Registration (Left side; current only)	Look for: Required only for patient care classifications on the PSV Matrix at: (http://www.med.umich.edu/umhshr/doc/PSV_Matrix_Alpha.xlsx). Must verify the current status of lic/cert/reg from the issuing organization. Accuracy: If printing verification from the issuing org's website, sign & date the printed form (along with printed date on bottom). Common Issues: Telephone verification must be completed if the issuer has no website. Form at: (http://www.med.umich.edu/umhshr/doc/telephone-verification-form.pdf)
4	Non PSV Licensure/ Certification/ Registration (Left side; current only)	Look for: If the job is not patient care and lic/cert/reg is an institutional requirement as listed in job description, current copy should be kept under Non PSV Lic/Cert/Reg. Accuracy: If kept electronically, use MLearning Non PSV Licensure Template at: (http://www.med.umich.edu/umhshr/doc/MLearn_Non_PSV_Lic_Cert_Reg_Template.doc) and view/verify that it's in MLearning.
5	Orientation Documentation (Left side; must include either Orientation Checklist or waiver)	Look for: Orientation Checklist. If hired before 1/1/93, use Orientation Documentation Waiver Template, found at: (http://www.med.umich.edu/umhshr/doc/Orient_Waiver_Template_DOH_Prior_to_1993.doc). Either is considered "Yes" for audit. Accuracy: Dates must be entered individually; lines down the page isn't acceptable. Common Issues: Include any departmental orientation documentation. Missing documentation may not be reproduced.
6	Performance Evaluations and Improvement Plans (Right side; 3 years worth)	Look for: Job-specific expectations must be included and match job description or be similar enough to track between. Eval must include overall rating and at least one development plan. Accuracy: Must be dated and signed by supervisor. Verify that current form is used. Common Issues: New employees with less than a year of service aren't required to have an eval; probationary eval may be included.
7	Mandatories (Right side; 3 years worth)	Look for: All employees must have UMHC mandatories completed annually. Accuracy: If kept electronically, use MLearning Mandatories Template at: (http://www.med.umich.edu/umhshr/doc/MLearning_Mandatories_Template.doc) and view/verify that it's in MLearning.
8	Competency Assessments (Right side; 3 years worth)	Look for: Patient care workers must have annual competency assessment(s). Accuracy: If kept electronically, use MLearning Competency Assessments Template at: (http://www.med.umich.edu/umhshr/doc/MLearning_Dept_Competency_Assessment_Template.doc) and view/verify that it's in MLearning. Common Issues: Competency Assessments may also satisfy Ongoing Education requirements.
9	Ongoing Education (Right side; 3 years worth)	Look for: Annual documentation of some kind of ongoing education is necessary. Accuracy: Can include formal classes, training, in-services, workshops, discussion groups, attendance at Employee Forums, participation in Quality Improvement Brown Bag Sessions, attendance at informal staff meetings, job specific videos watched or books read, online learning modules and self-study quizzes, demonstrations, precepting and mentoring. If kept electronically, use MLearning Ongoing Education Template at: (http://www.med.umich.edu/umhshr/doc/MLearning_Ongoing_Educ_Template.doc) and view/verify that it's in MLearning. Common Issues: Ongoing Education may also satisfy Competency Assessments requirements.