HR Compliance Questionnaire

Performance Evaluations:

⌐ Do you have an evaluation in Workday (or Laserfiche for faculty) for each employee with a 50 percent or more appointment and who has at least 90 days or more service by the close of the evaluation period (http://agrilifeas.tamu.edu/documents/evaluation-matricies.pdf)?

⌐ Was the evaluation signed by both employee, supervisor and unit head and for the specified time frame? (should be electronic signatures)

⌐ Are the ratings in the evaluation supported by comments?

⌐ Are evaluations completed by the closing date for the evaluation type (http://agrilifeas.tamu.edu/documents/evaluation-matricies.pdf)?

Position Descriptions:

⌐ Are the duties described in the position restrictions/ [descriptions] reflective of the duties being performed by the employee?

Personnel Files

⌐ Are Personnel Files set up in accordance with guidelines at http://aglfdocs.tamu.edu/documents/creating-personnel-files.pdf?

⌐ Do all personnel files contain documents as listed in Personnel File Checklist at http://agrilifeas.tamu.edu/documents/personnel-file.pdf?

⌐ Are personnel Files (Active) maintained in Laserfiche and have all paper copies been destroyed (after a validated backup)?

⌐ Are all items that comprise the Confidential File (Disciplinary Actions and Investigations) in separate file and not placed into Personnel File?

⌐ Does the personnel file contain items not directly related to the employment relationship OR items that are contained in the payroll file? [payroll file documents (such as SS card copies, Driver's License, Direct Deposit forms, etc.) should not be duplicated in the personnel file.]

⌐ Are the required approvals for employees using Alternate Work Location or Flexible Work Schedule available in the personnel file?

HR Compliance Questionnaire

Recruiting Files

- ⌐ Are all Recruiting File documents maintained as listed in Recruiting File Checklist at http://agrilifeas.tamu.edu/documents/checklists-recruiting.pdf?
- ⌐ Is there an Application for the employee maintained in Workday (because the application is not required to be in Laserfiche) or letters of reference and appropriate resume/curriculum vitae placed in Workday?
- ⌐ Is there a signed and dated offer letter maintained in Workday? (After September 30, 2007 it was the LF payroll file only – prior to that date it would be in the personnel file.) *With the implementation of Workday, offer letters are to be kept in Workday.*

Workers' Compensation Information

- ⌐ Has an AG-413 "Workers' Compensation Injury Report Log" Summary been sent to HR at end of each FY?
- ⌐ Has the time from employee notifying unit personnel of injury to completion of form and placing into Laserfiche and e-mailing to Office of Risk Management not exceeded 48 hours (not to include weekends and holidays, except during the December Holiday Break)?
- ⌐ Are all Workers Compensation DWC-1 forms completed IAW instructions http://agrilifeas.tamu.edu/documents/dwc1-instructions.pdf (especially blocks 13, 17,18, 19, 20, 26, and 40)?
- ⌐ Are any DWC-6 completed within 3 days of return to work or change in status?
- ⌐ Has a Request for Paid Leave form been submitted when there is lost time and remains on payroll?

Time Off/Leave

- ⌐ Is time off/ leave documentation kept in Laserfiche section 3.5.1.3.xx (where xx is the unit file number) in accordance with the leave checklist at http://agrilifeas.tamu.edu/documents/leave-file-checklist.pdf
- ⌐ If accrued, was overtime treated appropriately for hourly paid employees?

Employee Notices:

- ⌐ Are all notices current and available to employees in all major locations of the unit? (http://agrilifeas.tamu.edu/hr/supervisor-toolkit/required-workplace-posters)
- ⌐ Are multiple language posters accessible to all employees and applicants as required?

Training

- ⌐ Is the Required Employee Training for all new employees completed within 30 days (Creating a Discrimination Free Workplace, Ethics, Orientation to the System, Reporting Fraud Waste and Abuse and Information Security Awareness)?
- ⌐ Are employees current on Required Employee Training? (Creating a Discrimination Free Workplace, Ethics, Reporting Fraud Waste and Abuse and Information Security Awareness)