

HR Compliance Self Assessment 2012

1. INTRODUCTION AND INSTRUCTIONS

The School of Medicine HR Compliance Self Assessment

As we mentioned in our HRG compliance briefings in October, here is the School of Medicine HR Compliance Self Assessment tool to complete online. We strongly believe that this assessment will assist you in evaluating how your own department is meeting compliance requirements, so that you can keep up the good work or make necessary improvements over time. In addition, this tool will also help you prepare for any audits your department might undergo in the future.

You do not need to complete the survey in one sitting; you may break and return to the survey at a convenient time; however, the same computer must be used if you opt to stop and return to the survey. Please complete the assessment by February 16, 2012. The survey will take about 20 to 30 minutes to complete, plus whatever time it takes to gather files and information.

The purpose of the HR Compliance program is to strengthen knowledge of compliance requirements and improve the School of Medicine's ability to comply with employment laws and policies . Please note that the self assessments will not be used to "grade" your department's compliance. At the school level we want to utilize the overall results to identify common problem areas and provide more training in those areas in the future.

If you have any questions about the survey, please contact any of the HRG compliance team members listed below. If you have any technical problems with the on-line survey tool, please contact Irene Castillo at 725-8621 or Agnes Veith at 725-5830.

Thank you in advance for participating in this important project.

Regards,

The HRG Compliance Team:
Susan Hoerger (723-1743)
Irene Castillo (725-8621)
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2. DEMOGRAPHIC INFORMATION

* 1. Department or Business Unit

2. Please tell us about yourself

Name:

Title

Email Address:

Phone Number:

3. TIME AND LEAVE ADMINISTRATION

Reference: AGM 22.4, AGM 22.2,
<http://fingate.stanford.edu/staff/payadmin/index.html>
http://fingate.stanford.edu/staff/payemployee/time_leave_reporting.html

3. Does your unit have a procedure in place to ensure all (exempt, non-exempt, or temporary and casual) employee timecards are approved by their supervisor or knowledgeable designee (approval may be either electronic or on paper)?

- Yes No Sometimes Not Applicable

4. Does your unit have a procedure to ensure the Time and Leave Administrator (TLA) is notified of approved make-up time requests?

- Yes No Sometimes Not Applicable

5. Does your unit have a procedure to ensure the TLA is notified of approved overtime?

- Yes No Sometimes Not Applicable

6. Does your unit have a procedure to ensure the TLA is notified of alternate schedules?

- Yes No Sometimes Not Applicable

7. Does your unit have a procedure to ensure the TLA is notified of new hires and terminations?

- Yes No Sometimes Not Applicable

8. After payroll is run, does your unit have a procedure for verifying all payments were paid correctly?

- Yes No Sometimes Not Applicable

9. Comments:

4. MAKE-UP TIME REQUESTS

Reference: AGM 22.4, See Request for Make-Up Time Form at:
<http://hrg.stanford.edu/toolkit/>

10. Does your unit allow non-exempt employees the option of make-up time?

- Yes No Sometimes Not Applicable

11. If yes:

	Yes	No	Sometimes	Not Applicable
Does the unit require employees to submit a Make-Up Time Request in writing?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is there a designated unit contact to handle and monitor make-up time requests?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is there a process in place to inform your Time and Leave Administrator so he/she may verify the hours are coded correctly in the timekeeping system?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

12. Comments:

5. VOLUNTEERS

Reference: See Guidelines for Unpaid Student Trainees & Volunteers at:
<http://hrg.stanford.edu/toolkit/>

13. Does your unit/department have any volunteers (not including Student Trainees)?

- Yes No Sometimes Not Applicable

14. If yes:

	Yes	No	Sometimes	Not Applicable
Does your unit/department have a designated individual responsible for ensuring individuals meet the SoM guidelines?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Are all volunteer assignments approved by SoM HRG?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does your unit maintain a record of volunteer assignment, completion of required training, and required completion of appropriate forms (i.e., confidentiality agreement form, patent agreement form)?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does your unit/department conduct orientation for all volunteer assignments?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does your unit/department require and track training for everyone (including faculty) who supervises volunteers?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

15. Comments:

6. UNPAID STUDENT TRAINEES

Reference: See Guidelines for Unpaid Student Trainees & Volunteers at:
<http://hrg.stanford.edu/toolkit/>

16. Does your unit have any student trainees?

- Yes No Sometimes Not Applicable

17. If yes:

	Yes	No	Sometimes	Not Applicable
Does your unit have a designated individual responsible for ensuring student trainees meet SoM guidelines and have been approved by SoM Employee Relations?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does your unit have a designated individual responsible for monitoring the usage of student trainees in your unit?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does your unit have a designated individual responsible for maintaining student trainee files?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does your unit have a designated individual to ensure student trainees complete all required training?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

18. Comments:

7. TEMPORARY AND CASUAL EMPLOYEES ON STANFORD PAYROLL

Reference: AGM: 23.1, AGM: 22.1

19. Is there a designated individual in your unit/department responsible for monitoring the number of hours your temporary and casual employees work in a calendar year?

- Yes No Sometimes Not Applicable

20. During calendar year 2011, did you have any temporary or casual employees work over 980 hours?

- Yes No Sometimes Not Applicable

21. If so, was the position posted or waived and filled as a regular employee?

- Yes No Sometimes Not Applicable

22. During calendar year 2011, did you have any temporary or casual employee who performed technical, maintenance, or service duties work at 50% time (or more) for more than 4 consecutive months?

- Yes No Sometimes Not Applicable

23. If so, was the position posted and filled as a regular bargaining unit position?

- Yes No Sometimes Not Applicable

24. Do you have a process to ensure that all your temporary and casual employees receive HIPAA, Health & Safety and any other training required by the nature of the position?

- Yes No Sometimes Not Applicable

25. Have all your current temporary and casual employees received HIPAA, Health & Safety and any other training required by the nature of the position?

- Yes No Sometimes Not Applicable

26. Are the temporary and casual employees appropriately classified?

- Yes No Sometimes Not Applicable

27. Are they paid in accordance with the classification?

- Yes No Sometimes Not Applicable

28. Do you have any exempt casuals (defined as working less than 20 hours per week)?

- Yes No Sometimes Not Applicable

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29. If so, was Compensation consulted prior to classifying the employee as exempt?

Yes

No

Sometimes

Not Applicable

30. comments

8. ALTERNATIVE WORK SCHEDULES (4/10 OR 9/80)

Reference: AGM: 22.4, AGM 23.11

31. Do any of your non-exempt employees work an alternative work schedule?

- Yes No Sometimes Not Applicable

32. If yes:

	Yes	No	Sometimes	Not Applicable
Is there a signed agreement, which spells out the terms of the alternative work schedule?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Was there a secret ballot election by the work group?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Was the alternative work proposal reviewed and approved in advance by Employee Relations?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

33. Comments:

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9. TELECOMMUTE AGREEMENTS (FLEXSPACE) BY NON-EXEMPT EMPLOYEES

Reference: AGM 22.4, AGM 23.11

<http://elr.stanford.edu/flex.html>

<http://hrg.stanford.edu/toolkit/documents/HRConfidentialityAgreement.pdf>

http://fingate.stanford.edu/docs/approval_out_state_hire.pdf

34. Do you have any non-exempt staff that telecommute or work remotely routinely in at least 4-hour timeframes?

- Yes No Sometimes Not Applicable

35. If yes to question #34, is there a letter of agreement or written agreement on file that:

	Yes	No	Sometimes	Not Applicable
Was approved by Employee Relations prior to implementation?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is signed by both the supervisor and employee?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sets out the terms and conditions as recommended in the policy on Flexspace?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Includes details on the reimbursement of expenses such as office supplies, phone calls, internet access, purchase of equipment, travel to Stanford, repair of equipment?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Outlines the terms for requesting and working overtime?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Indicates whether some work is required to be done at Stanford?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Addresses reimbursement of travel expenses?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Includes specified period of time (usually six months) to evaluate if the telecommute arrangement continues to be feasible for the department?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

36. If yes to question #34:

	Yes	No	Sometimes	Not Applicable
Did the employee complete the Stanford University Home Office Safety checklist when the telecommuting began and at least yearly thereafter?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Was a copy of the Confidentiality Agreement included with the written agreement for the employee to sign and return?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is the supervisor able to track and verify time spent working?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

37. Is there any telecommuting from out of state?

- Yes No Sometimes Not Applicable

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38. If yes:

	Yes	No	Sometimes	Not Applicable
Was Payroll send a completed "Approval of Out-of-State Employee" form?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

39. Comments:

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10. TELECOMMUTE AGREEMENTS (FLEXSPACE) BY EXEMPT EMPLOYEE

Reference: AGM 22.4, AGM 23.11

<http://elr.stanford.edu/flex.html>

<http://hrg.stanford.edu/toolkit/documents/HRConfidentialityAgreement.pdf>

http://fingate.stanford.edu/docs/approval_out_state_hire.pdf

40. Do any exempt staff in your unit telecommute two or more days a week on a regular basis?

- Yes
 No
 Sometimes
 Not Applicable

41. If yes, is there a letter or written agreement in the personnel file that:

	Yes	No	Sometimes	Not Applicable
Was approved by Employee Relations prior to implementation?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is signed by both the supervisor and the employee?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sets out the terms and conditions as recommended in the policy on Flexspace?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Includes details on the reimbursement of expenses such as office supplies, phone calls, internet access, purchase of equipment, travel to Stanford, repair of equipment, etc.?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does the written agreement address whether some work is required to be done at Stanford?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does the written agreement address reimbursement of travel expenses?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Includes specified period of time (usually six months) to evaluate if the telecommute arrangement continues to be feasible for the department?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

42. If yes:

	Yes	No	Sometimes	Not Applicable
Was a copy of the Confidentiality Agreement included with the written agreement for the employee to sign and return?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Did the employee complete the Stanford University Home Office Safety checklist when the telecommuting began and at least yearly thereafter?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

43. Is there telecommuting from out of state?

- Yes
 No
 Sometimes
 Not Applicable

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44. If yes:

Yes No Sometimes Not
Applicable

Was Payroll sent a completed "Approval of Out of State employee" form?

45. Comments:

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11. SEARCHES

Reference: AGM 22.1, See Search File Checklist and How to Maintain a Requisition at: <http://hrg.stanford.edu/toolkit/>

46. Is there a process in place to guide supervisors on how to conduct an employment search?

- Yes No Sometimes Not Applicable

47. Do all applicants interviewed meet the minimum qualifications stated in the job posting?

- Yes No Sometimes Not Applicable

48. Are completed and signed Stanford employment applications collected from all applicants who were interviewed for the position?

- Yes No Sometimes Not Applicable

49. If a requisition is cancelled, are applicants notified of the cancellation?

- Yes No Sometimes Not Applicable

50. Are all applicants notified when a search ends?

- Yes No Sometimes Not Applicable

51. Are search files being retained for at least three years?

- Yes No Sometimes Not Applicable

52. Pick, at random, five searches conducted in the last year. For each search selected, does the Search File include the below items. (Items may be saved either electronically in the Trovix system or in paper format.)

	Yes	No	Sometimes	Not Applicable
The position summary form?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Interview questions?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Posting text?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
All applicants moved from "new" status to one of the following statuses: prescreen, save, screen, interview, hired, etc.?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Interview notes for all candidates interviewed?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Completed Stanford employment applications from all candidates interviewed?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Two references and related notes?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

53. Comments:

12. I-9s

Reference: How to Update an I-9 Form

http://www.stanford.edu/group/fms/fingate/staff/payadmin/quick_steps/update_I9.h

54. Do you have a designated person in your unit to ensure all hires and rehires on Stanford payroll have completed an I-9?

- Yes No Sometimes Not Applicable

55. Is the I-9 form completed by the employee no later than the end of the employee's first day of work?

- Yes No Sometimes Not Applicable

56. Does your unit designee review the original documents establishing the employee's eligibility to work in the U.S. and complete the employer section of the I-9 form within three business days of the employee's first day of work?

- Yes No Sometimes Not Applicable

57. Are the I-9 form and copies of the supporting documents sent to the Payroll Department?

- Yes No Sometimes Not Applicable

58. If the new hire is unable to provide the required I-9 documentation, is the employee's employment terminated?

- Yes No Sometimes Not Applicable

59. Comments

13. VISAs

Reference: AGM 28.1
Bechtel International Center
<http://www.stanford.edu/dept/icenter>

60. Do you have a designated person in your unit who works with Bechtel to process visa requests?

- Yes No Sometimes Not Applicable

61. Does your designee monitor and ensure that the start and end dates are in compliance with the visa approvals?

- Yes No Sometimes Not Applicable

62. Comments

14. PERSONNEL FILES

Reference: AGM 22.2, See Records Retention Chart at:
<http://hrg.stanford.edu/toolkit/documents/chart.pdf>

63. Has a personnel file been created for every regular staff employee in your unit?

- Yes
 No
 Sometimes
 Not Applicable

64. Is the file maintained by someone other than the employee himself/herself?

- Yes
 No
 Sometimes
 Not Applicable

65. Are all personnel files maintained in locked cabinets or locked rooms when files are not in use and after working hours?

- Yes
 No
 Sometimes
 Not Applicable

66. Is medical information on an employee kept separately from the personnel file?

- Yes
 No
 Sometimes
 Not Applicable

67. Select at random a sample of 5-10 personnel files and review each to determine whether the file contains the following documents:

	Yes	No	Sometimes	Not Applicable
Up to date Position Summary signed by the supervisor and employee?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Annual Performance Appraisals signed by the supervisor and employee?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Signed Confidentiality Agreement?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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68. The following documents should NOT be in the personnel file. Do any of the sample files contain them?

	Yes	No	Sometimes	Not Applicable
Medical information about the employee?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Supervisory notes?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Communications about the employee's job performance that has not been provided to the employee?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Grievance documents?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Settlement Agreements?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Loan documents?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

69. Comments:

15. RECORD KEEPING

Reference: AGM 22.2, See records retention chart at <http://hrg.stanford.edu/toolkit/documents/chart.pdf>

70. Are search files being maintained separately from the employee personnel file?

- Yes No Sometimes Not Applicable

71. Is there a process in place that allows the personnel file and any separate medical file to be destroyed 8 years after an employee has terminated Stanford employment?

- Yes No Sometimes Not Applicable

72. When an employee transfers within Stanford, is his/her medical file retained within the department? (should NOT transfer to the new department)

- Yes No Sometimes No Applicable

73. When an employee transfers within Stanford, is his/her personnel file and time and leave records being transferred from the old department to the new department?

- Yes No Sometimes Not Applicable

74. Are documents such as medical information and I-9s that are maintained separately from the personnel file destroyed when the employee terminates?

- Yes No Sometimes Not Applicable

75. Are Time and Leave records combined with the employee personnel file upon employee termination?

- Yes No Sometimes Not Applicable

76. Is there a complete personnel file being maintained by the employee's current department?

- Yes No Sometimes Not Applicable

77. Comments:

16. CONFIDENTIALITY AGREEMENTS

Reference: See New Hire Checklist at: <http://hrg.stanford.edu/toolkit/>
<http://hrg.stanford.edu/toolkit/documents/HRConfidentialityAgreement.pdf>

78. Have all employees signed a Confidentiality Agreement?

- Yes No Sometimes Not Applicable

79. Does your unit routinely verify that the Confidentiality Agreement has been completed for employees who transfer into your unit from other Stanford Departments?

- Yes No Sometimes Not Applicable

80. Comments:

17. PATENT AND COPYRIGHT AGREEMENTS

Reference: SU-18 Checklist http://dor.stanford.edu/Resources/su18_A.html

81. Have all applicable employees signed the SU-18?

- Yes No Sometimes Not Applicable

82. Do you run monthly reports to verify compliance?

- Yes No Sometimes Not Applicable

83. Comments

18. HOSPITAL SYSTEMS ACCESS

84. Does your department need access to SHC/LPCH systems?

- Yes No Sometimes Not Applicable

85. If yes:

	Yes	No	Sometimes	Not Applicable
Does your unit/department have designated individual(s) to request and authorize access to SHC/LPCH systems for SoM staff?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does your unit/department have a procedure in place to identify and verify employees who need access to Hospital systems in order to complete his/her job duties?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does your unit/department provide orientation related to the privacy and appropriate use of access to Hospital systems (i.e., use of passwords, use of patient data for business need only, reinforce understanding of HIPAA, etc.)?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does your unit/department have a procedure in place to assure termination of access to Hospital systems upon termination of an employee, or upon a change in job assignments that no longer require the access?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

86. Comments

19. MEDICAL PRIVACY (DISABILITY INFORMATION) FOR EMPLOYEES

Reference: AGM: 22.2, AGM 23.10

87. Is access to private medical information in your unit limited to only those with a business need to know?

- Yes No Sometimes Not Applicable

88. Is documentation regarding medical conditions or leaves for employees kept in a file separate from the employee's personnel file?

- Yes No Sometimes Not Applicable

89. Are these files kept in a locked and secured location?

- Yes No Sometimes Not Applicable

90. Comments:

20. HIPAA

Reference: AGM 23.10, <http://hipaa.stanford.edu/>
See Termination Checklist at <http://hrg.stanford.edu/toolkit/>

91. Does your unit/department have a designated HIPAA contact person?

- Yes No Sometimes Not Applicable

92. If not, is there a mechanism for ensuring that HIPAA training is completed?

- Yes No Sometimes Not Applicable

93. Is HIPAA training for all new employees completed within 30 days of hire and BEFORE they perform any duties requiring access to PHI?

- Yes No Sometimes Not Applicable

94. Are employees who terminate asked to return any items which relate to PHI information or it's storage such as: all keys, badge(s), codes, files or other tools?

- Yes No Sometimes Not Applicable

95. When employees terminate, is their access to databases or other applications being revoked?

- Yes No Sometimes Not Applicable

96. Does your unit/department have regular communication reminding employees of privacy policies?

- Yes No Sometimes Not Applicable

97. Are all laptops and other mobile devices in the unit/department encrypted?

- Yes No Sometimes Not Applicable

98. Comments:

21. HEALTH SCREENING SAFETY AND COMPLIANCE (HSSC)

Reference: AGM 25.7, <http://spctrm.stanford.edu/secure/hssc/>

99. Does your department employ employees who need to participate in the HSSC program?

- Yes No Sometimes Not Applicable

100. If yes:

	Yes	No	Sometimes	Not Applicable
Is there an established mechanism that identifies staff members who need to participate in the Health Screening Safety and Compliance (HSSC) program?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Is the required information distributed to staff members who need to participate in the program?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does a procedure exist to monitor employee compliance?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does the unit/department ensure that employees are not allowed to have any patient contact until they have completed the HSSC requirements?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Does the unit/department ensure that an employee has Hospital S-ID and password (if access to EPIC (for SHC) or CERNER (for LPCH) prior to viewing any patient records?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

101. Comments:

22. WORKERS' COMPENSATION (WC)

Reference: AGM 25.6, AGM 25.2
<http://www.stanford.edu/dept/Risk-Management/>

102. Does your unit inform employees about their rights under WC?

- Yes No Sometimes Not Applicable

103. Are employees informed about the option to select an alternative health care provider?

- Yes No Sometimes Not Applicable

104. If an employee elects an alternate healthcare provider, are these elections kept in a separate file from the personnel file?

- Yes No Sometimes Not Applicable

105. Is there a designated contact to handle WC claims?

- Yes No Sometimes Not Applicable

106. Are WC claim forms readily available in your unit/department?

- Yes No Sometimes Not Applicable

107. Are WC claim forms provided to employees within 24 hours of the initial report or incident?

- Yes No Sometimes Not Applicable

108. Is the supervisor's portion of the WC forms completed within 24 hours of the initial report or incident?

- Yes No Sometimes Not Applicable

109. Are WC claims forms completed by the employee sent to Risk Management within 24 hours of submission?

- Yes No Sometimes Not Applicable

110. Comments:

23. TRAINING

See Training Matrix at: <http://hrg.stanford.edu/toolkit/>

111. Does your unit have a process in place to assist supervisors and employees with identifying required trainings?

- Yes No Sometimes Not Applicable

112. Are those employees whose work requires specific training being informed of the required courses in a timely fashion?

- Yes No Sometimes Not Applicable

113. Are employees provided release time as needed for participation in the required trainings?

- Yes No Sometimes Not Applicable

114. Do managers incorporate ongoing training and development as part of the staff performance appraisal?

- Yes No Sometimes Not Applicable

115. Does your unit have a procedure to verify satisfactory completion of required training?

- Yes No Sometimes Not Applicable

116. Comments:

24. COMPLIANCE COMMUNICATION WITH SUPERVISORS

117. Does your unit communicate and provide education to supervisors on the following policies and procedures?

	Yes	No	Sometimes	Not Applicable
Alternative Work Schedules including Bargaining Unit contract provisions (if applicable)?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Guidelines in the use of Unpaid Student Trainees?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Guidelines in the use of Volunteers?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Guidelines in the use of Temporary and Casual employees?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Make-up time?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Performance management including trial period, performance evaluations, corrective action, termination?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Overtime?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Respectful Workplaces Practices?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Sexual Harassment Policies?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Telecommuting?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Time and Leave Procedures?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Workers' Compensation Claims?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

118. Does your unit/department communicate changes in policy and procedures to supervisors in a timely manner?

- Yes
 No
 Sometimes
 Not Applicable

119. Comments: