

HR Compliance Self Assessment 2014

1. INTRODUCTION AND INSTRUCTIONS

The School of Medicine HR Compliance Self Assessment

As we mentioned in our HRG compliance briefings in November 2013, 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 HR 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 11, 2014. 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 use the overall results to identify common compliance challenges 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.

Thank you in advance for participating in this important project.

Regards,

The HRG Compliance Team:
Susan Hoerger (723-1743)
Irene Castillo (725-8621)
Catherine Dowley (725-0436)
Rosemary Monroe (736-1424)
Dawn Whiting(725-4204)

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 2.1.5, AGM 2.1.3,
<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, and temporary and casual) employee timecards are approved by the 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 alternative work week 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. Does your unit have a procedure in place to make sure new employees are trained to enter their time in the system?

- Yes No Sometimes Not Applicable

10. Comments:

4. MAKE-UP TIME REQUESTS

Reference: AGM 2.1.5, See Request for Make-Up Time Form at: <http://hrg.stanford.edu/toolkit/>

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

- Yes No Sometimes Not Applicable

12. 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"/> |

13. Comments:

5. VOLUNTEERS

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

14. Does your unit/department have any volunteers (NOT INCLUDING STUDENT TRAINEES)?

Yes No Sometimes Not Applicable

15. 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 assignments, 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"/> |

16. Comments:

6. UNPAID STUDENT TRAINEES

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

17. Does your unit have any student trainees?

- Yes No Sometimes Not Applicable

18. 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"/> |

19. Comments:

7. TEMPORARY AND CASUAL EMPLOYEES ON STANFORD PAYROLL

Reference: AGM: 2.2.2, AGM: 2.1.2

20. 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

21. During calendar year 2013, did you have any temporary or casual employees who worked over 980 hours?

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

23. During calendar year 2013, 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

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

- Yes No Sometimes Not Applicable

25. 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

26. 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

27. Are the temporary and casual employees appropriately classified?

- Yes No Sometimes Not Applicable

28. Are they paid in accordance with the classification?

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

31. comments

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

Reference: AGM: 2.1.5, AGM 2.2.12

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

- Yes No Sometimes Not Applicable

33. 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 week proposal reviewed and approved in advance by Employee Relations? | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

34. Comments:

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

Reference: AGM 2.1.5, AGM 2.2.12

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

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

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

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

Yes
 No
 Sometimes
 Not Applicable

36. If yes to question #35, 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, 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"/> |

37. If yes to question #35:

| | 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"/> |

38. Is there any telecommuting from out of state?

Yes
 No
 Sometimes
 Not Applicable

39. If yes to question #38

| | 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"/> |

40. Comments:

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10. TELECOMMUTE AGREEMENTS (FLEXSPACE) BY EXEMPT EMPLOYEE

Reference: AGM 2.1.5, AGM 2.2.12

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

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

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

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

Yes No Sometimes Not Applicable

42. 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, 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"/> |

43. 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"/> |

44. Is there telecommuting from out of state?

Yes No Sometimes Not Applicable

45. If yes:

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

46. Comments:

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11. SEARCHES

Reference: AGM 2.1.2, See Search File Checklist and How to Maintain a Requisition at: <http://hrg.stanford.edu/toolkit/>

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

- Yes
 No
 Sometimes
 Not Applicable

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

- Yes
 No
 Sometimes
 Not Applicable

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

- Yes
 No
 Sometimes
 Not Applicable

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

- Yes
 No
 Sometimes
 Not Applicable

51. Are all applicants notified when a search ends?

- Yes
 No
 Sometimes
 Not Applicable

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

- Yes
 No
 Sometimes
 Not Applicable

53. 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 Taleo 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"/> |

54. Comments:

12. BACKGROUND CHECKS

Reference: University Wide Background Checks, http://hros.stanford.edu/transaction_services/

55. Does you unit/department have a procedure in place to ensure that those candidates who require background checks have successfully completed them before beginning work?

- Yes No Sometimes Not Applicable

56. Since 11/1/12, have all newly hired exempt, non-exempt and bargaining unit regular non-academic staff (who are not returning employees within the bridging period) completed the background check before beginning work?

- Yes No Sometimes Not Applicable

57. Since 11/1/12, has all casual and temporary staff (who are not returning employees within one year) completed the background check before beginning work?

- Yes No Sometimes Not Applicable

58. Are completed and signed Stanford employment applications collected from all final candidates including casual/temporary applicants prior to initiating a background check?

- Yes No Sometimes Not Applicable

59. Were any offers made that were contingent on candidates passing the background check?

- Yes No Sometimes Not Applicable

60. If yes to question #59

| | Yes | No | Sometimes | Not Applicable |
|------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| Were offers made in writing? | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

61. Comments:

13. I-9s

Reference: How to Update an I-9 Form

<http://www.stanford.edu/group/fms/fingate/staff/payadmin/i9.html>

62. 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

63. 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

64. 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

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

67. Comments

14. VISAs

Reference: AGM 2.4.1
Bechtel International Center
<http://www.stanford.edu/dept/icenter>

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

70. Comments

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15. PERSONNEL FILES

Reference: AGM 2.1.3, See Records Retention Chart at: <http://hrg.stanford.edu/toolkit/documents/chart.pdf>

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

- Yes
 No
 Sometimes
 Not Applicable

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

- Yes
 No
 Sometimes
 Not Applicable

73. 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

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

- Yes
 No
 Sometimes
 Not Applicable

75. 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"/> |

76. 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"/> |

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77. Do you have an action plan to convert personnel files to electronic filing (Nolij)?

Yes

No

Sometimes

Not Applicable

78. Comments:

16. RECORD KEEPING

Reference: AGM 2.1.3, See records retention chart at <http://hrg.stanford.edu/toolkit/documents/chart.pdf>

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

- Yes No Sometimes Not Applicable

80. 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

81. 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

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

- es No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

85. Do you have a complete personnel file including information from prior departments?

- Yes No Sometimes Not Applicable

86. Comments:

17. CONFIDENTIALITY AGREEMENTS

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

87. Have all employees signed a Confidentiality Agreement?

- Yes No Sometimes Not Applicable

88. 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

89. Comments:

18. PATENT AND COPYRIGHT AGREEMENTS

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

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

- Yes No Sometimes Not Applicable

91. Do you run monthly reports to verify SU-18 compliance?

- Yes No Sometimes Not Applicable

92. Comments

19. DATA SECURITY

Reference: <https://med.stanford.edu/datasecurity/faq/general/>

93. Have all faculty, staff, trainees, and students in your unit/department as well as any other non-SoM employees or affiliates (including contractors) who have been issued Stanford-owned computers or mobile devices completed an attestation, indicating whether they handle Restricted or Prohibited data?

Yes
 No
 Sometimes
 Not Applicable

94. Does your unit have a procedure in place to determine that attestations are factually accurate?

Yes
 No
 Sometimes
 Not Applicable

95. For all Stanford-owned computers (laptops and desktops) used by those staff, faculty, trainees, students and other affiliates who are attested to having access to Protected Health Information (PHI) or other Prohibited or Restricted data:

| | Yes | No | Sometimes | Not Applicable |
|--|-----------------------|-----------------------|-----------------------|-----------------------|
| Is BigFix installed? | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Is Crashplan backup implemented? | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Is the computer encrypted or been granted an exception by IRT? | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

96. For all personally-owned computers (laptops and desktops) used for Stanford business by those staff, faculty, trainees, students and other affiliates who have attested to having access to Protected Health Information(PHI) or other Prohibited or Restricted data:

| | Yes | No | Sometimes | Not Applicable |
|----------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| Is BigFix installed? | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Is Crashplan backup implemented? | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Is the computer encrypted? | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

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97. For all shared and multi-user computers in your unit, unless granted an exception by the School of Medicine Information Security Office:

| | Yes | No | Sometimes | Not Applicable |
|----------------------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| Is BigFix installed? | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Is Crashplan backup implemented? | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| In the computer encrypted? | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

98. Is MDM (Mobile Device Management) installed on all mobile devices (ie, smartphones, tablets), Stanford-owned or personally-owned, used for Stanford business by those staff, faculty, trainees, and students who have attested to having access to Protected Health Information (PHI) or other Prohibited or Restricted data?

- Yes No Sometimes Not Applicable

99. Are all computers (laptops and desktops) newly purchased by your unit encrypted with Stanford's sanctioned whole disk encryption utilizing Bitlocker for Windows computers and Filevault for Macintosh computers?

- Yes No Sometimes Not Applicable

100. Is BigFix installed on all computers (laptops and desktops) both Stanford and personally owned used for Stanford business?

- Yes No Sometimes Not Applicable

101. Does your unit have a plan in place to upgrade or replace all systems running Windows XP by April 8, 2014?

- Yes No Sometimes Not Applicable

102. Have all faculty, staff, trainees, students and affiliates in your unit/department who terminate their affiliation with Stanford (or your unit):

| | Yes | No | Sometimes | Not Applicable |
|---|-----------------------|-----------------------|-----------------------|-----------------------|
| Turned in their Stanford-owned devices? | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| Removed all Protected Health Information (PHI) or other Prohibited or Restricted data from their Stanford work from their personally-owned devices? | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

103. Comments:

20. HOSPITAL SYSTEMS ACCESS

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

- Yes No Sometimes Not Applicable

105. 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 their 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 needs 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 employment, 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"/> |

106. Comments

21. MEDICAL PRIVACY (DISABILITY INFORMATION) FOR EMPLOYEES

Reference: AGM: 2.1.3, AGM 1.6.2, AGM 1.6.1

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

- Yes No Sometimes Not Applicable

108. 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

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

- Yes No Sometimes Not Applicable

110. Comments:

22. HIPAA

Reference: AGM 1.6.2, AGM 1.6.1

<http://hipaa.stanford.edu/>

See Termination Checklist at <http://hrg.stanford.edu/toolkit/>

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

114. Are employees who terminate asked to return any items which relate to PHI information or its storage such as: all keys, badges, codes, files or other tools?

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

117. Comments:

23. WORKERS' COMPENSATION (WC)

Reference: AGM 7.6.1, AGM 7.2.1
<http://www.stanford.edu/dept/Risk-Management/>

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

126. Comments:

24. PERFORMANCE REVIEW

127. Does your unit have a process in place to ensure supervisors conduct an annual performance review for their employees?

- Yes No Sometimes Not Applicable

128. Does your unit have a process to encourage participation of non-supervisory employees in annual training for the appraisal process?

- Yes No Sometimes Not Applicable

129. Are staff given the time to complete a self-appraisal form?

- Yes No Sometimes Not Applicable

130. Does your unit collect performance appraisal forms and ratings for every employee not currently serving a trial period?

- Yes No Sometimes Not Applicable

131. Does your unit ensure that the performance evaluation forms are signed by supervisor and employee (or notation is made if employee declines to sign)?

- Yes No Sometimes Not Applicable

132. For those employees whose performance rating is "growth needed" or "does not meet expectations", are employees given specific feedback and reasonable opportunity to improve their performance?

- Yes No Sometimes Not Applicable

133. Does your unit conduct performance evaluations for employees at the end of the trial period?

- Yes No Sometimes Not Applicable

134. Throughout the course of the year, does your unit have a process in place to ensure that regular conversations occur between the supervisor and employee regarding employee's performance?

- Yes No Sometimes Not Applicable

135. Comments:

25. SUPERVISORY ACADEMY

136. Does your unit have a procedure in place to ensure all new supervisors attend Supervisor Academy?

Yes

No

Sometimes

Not Applicable

137. Comments:

26. RESPECTFUL WORKPLACE

Reference: See "Our Commitment" at <http://hrg.stanford.edu/>

138. Does your unit have a procedure in place to ensure all new supervisors and staff attend the Respectful Workplace briefing?

Yes

No

Sometimes

Not Applicable

139. Comments:

27. TRAINING

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

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

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

- Yes No Sometimes Not Applicable

145. Comments:

28. COMPLIANCE COMMUNICATION WITH SUPERVISORS

146. 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 Workplace 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"/> |

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

Yes
 No
 Sometimes
 Not Applicable

148. Comments: