

## HR Compliance Checklists

### Performance Evaluations:

- ☐ Evaluation on file for each employee with 50 percent or more appointment and who has at least 90 days or more service by the Start of the evaluation period (<http://agrillifeas.tamu.edu/documents/evaluation-matrices.pdf> )
- ☐ Correct performance evaluation form/format used
- ☐ Evaluation signed by both employee, supervisor (not designee) and unit head (may be electronic signatures)
- ☐ Rating supported by comments
- ☐ Contains specific goals which support the organization's/unit's mission
- ☐ Development Plan identifies specific items for employee growth to support goals (Not Required)
- ☐ Evaluations cover the period specified by position type  
<http://agrillifeas.tamu.edu/documents/evaluation-matrices.pdf>
- ☐ Evaluations completed by closing date for appropriate evaluation type  
<http://agrillifeas.tamu.edu/documents/evaluation-matrices.pdf>
- ☐ Evaluations completed online in GreatJobs (As required by <http://agrillifeas.tamu.edu/documents/evaluation-matrices.pdf> )
- ☐ Completed evaluation uploaded into GreatJobs (Extension Assistant, Associate, Specialist, Agents, BLTX, ENP, Research Faculty) and signed in Greatjobs by supervisor and employee
- ☐ Evaluations completed and filed in Greatjobs (College of Agriculture [TAMU] Faculty in either Greatjobs or in Personnel file in Laserfiche)

### Position Descriptions:

- ☐ Duties and title support one another (Duties do not indicate a higher or lower title)
- ☐ Reviewed in conjunction with Evaluation ( signature on evaluation by employee and supervisor constitutes this review)
- ☐ New employee and supervisor certified PD in Greatjobs, or plan of work signed within 30 days.

### Personnel Files

- ☐ Personnel Files are set up in accordance with guidelines at <http://aglfdocs.tamu.edu/documents/creating-personnel-files.pdf>
- ☐ Personnel files contain documents as listed in personnel File Checklist at <http://agrillifeas.tamu.edu/documents/personnel-file.pdf>
- ☐ Personnel Files (Active) maintained in Laserfiche – all paper copies destroyed
- ☐ Items that comprise the Confidential File ( Disciplinary Actions and Investigations) are in separate file and not placed into Personnel File
- ☐ Personal Medical Information documents are located in section 3.2.2 in a Confidential Personal Medical Information File Note: No other documents including Occupational Medicine or Workers' Compensation, etc are placed in that file
- ☐ Does not contain copies of SS card, drivers license, new hire paperwork, or Direct Deposit forms duplicated from Payroll File, or items which do not directly relate to the employment relationship.

- ☐ Does not contain copies of the Offer Letter dated after September 2007 (Procedure changed in late September 2007, but must be in Payroll File after that date)
- ☐ Required approval for employees using Alternate Work Location or Flexible Work Schedule.
- ☐ Documents are in the correct folders for Records Retention

### **Recruiting Files**

- ☐ All Recruiting File documents maintained as listed in Recruiting File Checklist at <http://agrillifeas.tamu.edu/documents/checklists-recruiting.pdf>
- ☐ Signed Application maintained in Personnel File (or annotated as electronically signed if printed from Greatjobs directly to Laserfiche) or Letter of Application and appropriate resume/curriculum vitae placed in Laserfiche
- ☐ Offer letter available in Payroll file only (After September 30, 2007 –prior to that date in the personnel file)

### **Workers' Compensation Information**

- ☐ AG-413, Summary – sent to HR at end of each FY
- ☐ Time from employee notifying unit personnel of injury to completion of form and placing into Laserfiche and e-mailing to Office of Risk Management does not exceed 48 hours (not to include weekends and holidays, except during the December Holiday Break).
- ☐ Forms completed IAW instructions <http://agrillifeas.tamu.edu/documents/dwc1-instructions.pdf> (especially blocks 13, 17, 18, 19, 20, 26, and 40)
- ☐ DWC-6 completed within 3 days of return to work or change in status
- ☐ Request for Paid Leave submitted when there is lost time and remains on payroll

### **TimeTraQ/Leavetraq**

- ☐ Leave documents are in accordance with the leave checklist at <http://agrillifeas.tamu.edu/documents/leave-file-checklist.pdf>
- ☐ Overtime banked or paid for hourly paid employees
- ☐ Back up documentation for leave available in Laserfiche section 3.5.1.3.xx (Except any items which contain medical information such as FMLA documents which are kept in the Confidential File)

### **Employee Notices:**

- ☐ All notices current and available to employees in all major locations of the unit (<http://agrillifeas.tamu.edu/hr/supervisor-toolkit/required-workplace-posters/> )
- ☐ Multiple language posters accessible to all employees and applicants where required.

### **Training**

- ☐ Required **HR training** for new employees completed within 30 days (Creating a Discrimination Free Workplace, Ethics, Orientation to the System, and Reporting Fraud Waste and Abuse)
- ☐ Required **HR training** for employees completed within prescribed timelines (normally 60 days from notification but NLT the renewal date of training){ Creating a Discrimination Free Workplace, Ethics, and Reporting Fraud Waste and Abuse}