

FY27 HR ASSESSMENT QUESTIONS

Leave Management

LM1. Does the agency have procedures in place to ensure that administrative leave is used for reasons outlined in State Personnel Board Rule 16, *Absence from Work*?

yes

no

LM2. How does your agency notify employees of their rights under the federal Family and Medical Leave Act (FMLA)? Check all that apply.

displaying the U.S. Department of Labor FMLA poster in visible location(s) in the workplace

providing information to employees upon hire, in an employee handbook or other written material

LM3. What action does your agency take when an employee requests FMLA leave or when the agency learns of a need for absence from work that may qualify as FMLA leave? Check all that apply.

providing notice to the employee of his or her eligibility status within five days of the request or of the agency's learning of possible need for FMLA leave

providing FMLA certification forms

providing an FMLA leave designation notice and notice of employee rights and obligations concerning FMLA leave, or similar documentation

LM4. What documents does your agency require from an employee to prove a family relationship for purposes of FMLA leave?

birth certificate or other court-issued document

the employee's statement that the family relationship exists

either of the above, at the option of the employee

LM5. How often does your agency contact employees who are on full-time FMLA leave?

weekly or more often if work-related needs arise

periodically, to verify return-to-work status

we do not contact an employee on full-time FMLA leave

we may have minimal contact with the employee to simply check into their well-being

LM6. Are there any situations in which an employee could combine paid parental leave and FMLA leave for more than 12 weeks of absence from work based on the same qualifying event?

yes

no

LM7. Does your agency limit use of education support leave to employees who are parents of student(s)?

yes

no

LM8. Does your agency have procedures in place to monitor use of state compensatory time and ensure that earned time off is taken within the one-year time frame established in State Personnel Board Rule 16, *Absence from Work*?

yes

no

LM9. Does your agency accept FLSA compensatory time when an employee transfers from another state agency?

yes

no

LM10. When your agency rehires an employee with previous state employment after a break in state service, how does the agency determine the rate of annual leave accrual for that employee? (For the purposes of this question, assume the employee was not part of a reduction in force in the year prior to rehire.)

the rate of accrual is determined by the employee's most recent state hire date without regard to the previous state service

the employee's previous state service contributes toward the graduated annual leave accrual rate

Performance Management

PM1. Does your agency have processes or practices in place to ensure that each employee receives a performance plan within 45 days of hire or the beginning of a new job and annually within 45 days of the beginning of a new performance period?

yes

no

PM2. Are measurable and specific goals created for all employees within 45 days of hire or the beginning of a new job and annually within 45 days of the beginning of a new performance period?

yes

no

PM3. Are personal development plans created as a part of all employees' annual performance plans?

yes, for all or most employees

no

PM4. Do managers and supervisors update performance plans during the performance cycle when there are significant changes to an employee's goals, duties, or responsibilities?

yes

most update performance plans; others do not

most do not update performance plans to reflect changes

PM5. Does your agency instruct or encourage managers and supervisors to consistently coach employees to reinforce successful performance, address possible performance deficiencies, and follow up on expectations outlined in performance plans?

yes

no

PM6. Does your agency ensure that managers and supervisors complete an annual evaluation and assign a performance rating to each employee based on the employee's annual performance plan?

- yes
- yes, for most employees, but not all
- yes, for fewer than half of all employees
- only during years when performance-based salary increases are authorized
- no

PM7. Does your agency’s performance management policy or process include procedures for second-level review of performance evaluations to ensure that sufficient detail is included and actual performance is reflected?

- yes
- no

PM8. Does your agency’s performance management policy or process include procedures by which an employee can request a review if he or she receives an overall performance rating of “unsatisfactory performer” (or its equivalent in the agency’s performance management system)?

- yes
- no

PM9. Does your agency ensure that employees acknowledge their annual performance evaluation?

- yes, all employees acknowledge their annual evaluation/rating
- most but not all employees acknowledge their annual evaluation/rating
- fewer than half of all employees acknowledge their annual evaluation/rating

PM10. Are agency managers, supervisors, and human resources staff trained in the performance management program?

- only managers and supervisors are trained
- only human resources staff are trained
- agency provides training for managers, supervisors, and human resources staff
- agency does not provide training in use of the performance management program

Policy Management

PO1. Does your agency monitor ADA reasonable accommodations?

- yes, accommodations are assessed periodically to determine their effectiveness and adjusted if necessary
- no, the agency does not reassess accommodations after they are put in place

PO2. Which agency employees are required to complete a telework agreement?

- only employees who telework on a regular basis of one day a week or more
- all employees who telework, even on an occasional basis
- agency does not require telework agreements
- n/a; agency does not have teleworkers

PO3. Does your agency have a policy that addresses flexible work hours and/or alternative work schedules?

- yes
- no
- n/a; agency does not offer flexible work hours or alternative work schedules

PO4. If your agency's HR department received an anonymous tip that an employee in a high-risk position was under the influence of drugs, what action would be taken?

- immediately send the employee for reasonable suspicion testing
- observe the employee for signs and symptoms related to drug or alcohol use
- terminate the employee

PO5. At what point should a Substance Abuse Professional (SAP) typically become involved in the process when an employee self-discloses a substance abuse issue?

- immediately when the employee self-discloses, regardless of policy requirements or duty status
- after sending the employee for a drug test to confirm whether substance use has occurred

after the employee has self-disclosed and management determines that a formal assessment or referral process is required under agency or DOT policy

only after the employee has completed treatment and is seeking return-to-duty clearance

PO6. How does your agency control access to employees' medical and other personal information?

all agency supervisors and managers have access to employees' personnel files

access to employees' personnel files is strictly controlled through the HR department and limited to employees who need the information to complete their job duties

PO7. Within the last 12 months, has your agency provided training and/or written guidelines to managers and supervisors to ensure compliance with federal and state employment laws and regulations?

yes

no

PO8. Does your agency have a formal process for resolution of employee complaints (other than complaints of sexual harassment or retaliation, which should be addressed through a separate process)?

yes

no

PO9. Where does your agency display workplace notices? Check all that apply.

in physical office location(s), including any satellite or field offices

in the HR office

on the agency's website or intranet and/or in email communication to employees

PO10. Does your agency track and review changes to State Personnel Board Rules to determine necessary changes to agency policies and processes?

yes to both

yes to one, but not both

no, my agency does not track or review changes to the board rules

PO11. When did your agency last update its core HR policies (leave management, FMLA leave, recruitment and selection, and FLSA)?

- all of the policies listed have been updated in the past three years
- some but not all of the policies listed have been updated in the past three years
- it has been longer than three years since any of the policies listed have been updated
- the agency does not have written policies on any of these topics

PO12. Indicate which of these recent modifications to State Personnel Board Rules (which should have resulted in updates to your agency's HR policies) you are aware of:

- August 2023: changes to Rule 16, *Absence from Work*, concerning voting leave
- March 2023: changes to Rule 16, *Absence from Work*, concerning Annual Leave Conversion Payouts
- March 2022: revision of Rule 8, *Political Activity*
- June 2021: changes to Rule 16, *Absence from Work*, concerning Paid Parental Leave
- September 2015: changes to definitions in Rule 23, *Family and Medical Leave*

Recruitment and Selection

RS1. Does your agency provide preference to qualified veterans in the recruitment and selection process?

- yes, for all positions
- no
- yes, for some positions but not for all
- n/a, no veterans have applied for the agency's positions

RS2. Indicate which of the following methods your agency has used in recruitment. If your agency has used additional methods, please explain in the comment section.

- using advertisement or recruitment channels directed to former military members

- partnering with college and university career centers
- connecting with other educational institutions (e.g., high schools)
- creating internships
- participating in career fairs sponsored by DOAS-HRA

RS3. Does your agency conduct skills-based/experience-based hiring, degree-based hiring, or both?

- skills-based/experience-based hiring
- degree-based hiring
- both

RS4. What designated person(s) in your agency are responsible for ensuring that job interview questions and other screening materials comply with employment law?

- human resources department or representative, with hiring manager participation
- human resources department or representative, with no involvement from hiring manager
- hiring manager with no involvement from human resources department or representative
- agency does not review screening materials for legal compliance

RS5. After reviewing a completed MAPEP General Information form, does your agency follow up with the prospective employee?

- no, there is no follow-up; the information is filed once received
- yes, there is follow-up if the information indicates that reasonable accommodation may be needed or that the employee is not capable of performing in the position, even with reasonable accommodation
- agency does not participate in MAPEP

RS6. Does your agency require a signed release from an applicant, on a stand-alone form separate from the job application, before conducting a criminal history record check?

- yes
- no

RS7. What employment action does your agency take when a background check reveals unfavorable information about a job applicant?

- the applicant is immediately informed that a job offer will not be extended
- the applicant is given an opportunity to explain inaccuracies, content, and relevance of the background information before the agency makes a final employment decision

RS8. What is your agency's process after a new employee submits I-9 documents?

- physical documents are reviewed during in-person onboarding
- documents submitted by email or fax are reviewed via live video interaction with the employee
- a combination of the methods described in the answers above, depending on the employee's job and location
- physical or electronic documents are stored but not subject to further review

RS9. Which of the following items does your agency review for accuracy and/or proper completion in completed I-9 forms? Check all that apply.

- employee's date of birth
- date of hire
- title of employer's authorized representative
- date on section 1 and section 2

RS10. What time frame does your agency allow for E-Verify submission for new hires?

- no later than 3 business days after the date employment begins
- no later than 5 business days after the date employment begins
- no set time frame

RS11. Does your agency track the effectiveness of its recruitment efforts using metrics such as time to fill, cost per hire, offer acceptance rate, best sources, or number of qualified candidates per job?

- yes, the agency tracks recruitment efforts
- the agency attempts to track recruitment efforts, but not consistently

no, recruitment efforts are not tracked

Classification & Compensation

CC1. Does your agency have established policies and procedures for setting pay rates and maintaining accurate compensation records upon hire and job changes (e.g., transfers, promotions, demotions, and changes between part-time and full-time status)?

yes

no

CC2. Does your agency have and comply with a policy to pay salaries that are at least the minimum and no more than the maximum of a position's pay grade?

yes

no

CC3. Does your agency pay a new full-time employee for a state holiday when the employee is entering state service the scheduled workday following the holiday?

yes

no

CC4. Does your agency review position information periodically and/or when there are significant changes to duties to ensure the correct category for drug testing?

yes

no

n/a; agency does not have any high-risk or transportation functions

CC5. Which factors does your agency consider in determining whether a position meets the administrative or executive FLSA exemption?

analysis of the position's duties

number of the position's direct reports

job title

a combination of duties analysis and number of direct reports

CC6. How does your agency notify employees about the State's use of FLSA compensatory time in lieu of overtime pay?

employees are only verbally notified upon hire and not required to sign an acknowledgment form

employees are required to sign an acknowledgement form upon hire

agency waits until employees earn FLSA compensatory time before notifying them

employees are not notified

CC7. Does your agency have a process for tracking all hours worked for nonexempt employees who telework?

yes

no

agency does not offer telework to nonexempt employees

agency does not have nonexempt employees

CC8. What action does your agency take when nonexempt employees work unauthorized overtime?

not compensated; no corrective action taken

not compensated; corrective action taken

compensated; no corrective action taken

compensated; corrective action taken

agency does not have nonexempt employees

CC9. Does your agency provide paid break time for nursing mothers to express breast milk?

yes, but limited to two 15-minute breaks

no, breaks beyond a scheduled lunch period are not provided

yes, reasonable break time as needed

yes, but only if business operations allow

no, breaks for expressing breast milk are not provided or breaks are unpaid

CC10. When hiring independent contractors, does your agency review the duties and expectations to determine whether workers are bona fide independent contractors?

yes

no

n/a; agency does not use independent contractors