

Material Request Form (MRF) Policies and Performance Appraisals

During the compliance review, the State Personnel Board (SPB)'s Compliance Review Division (CRD) will review policies relative to nepotism, workers' compensation, and, if applicable, administrative hearing and medical interpreter program. The CRD will also review a selection of performance appraisals. The purpose of this compliance review is to ensure appointing powers are complying with the merit principle, civil service laws and rules, personnel practices, policies and procedures, delegation agreements, and workers' compensation laws and rules. Where deficiencies are identified, appropriate corrective action will be ordered.

General Instructions:

Unless otherwise indicated, all requested documents are documents that were created or issued during the applicable compliance review period. Please provide copies of the documents set forth under Parts I through IV. For Part IV, please see the attached [MRF Appointments-Compensation-Policy Spreadsheet] and provide the materials for all employees listed. All requested documents should be organized in the order listed. If a requested document does not exist, please include a brief written explanation setting forth the reasons why.

I. Nepotism

Please provide the following documents in the order listed below:

- Department's anti-nepotism policy.
- Documentation showing that the Department's anti-nepotism policy was distributed to all employees. If the anti-nepotism policy is not distributed to all employees, which employees, including civil service and exempt employees, do not receive the policy?
- If not stated in the Department's Anti-Nepotism Policy, documentation showing the role of the HR unit with regard to ensuring the enforcement of the anti-nepotism policy.
- Documentation showing the method and manner the Department maintains records related to its anti-nepotism policy, e.g., where are employee acknowledgments retained and for how long?
- If not stated or addressed in the Department's Anti-Nepotism Policy, please answer the following questions: (1) Do new employees receive the anti-nepotism policy and, if so, when; (2) How often is the anti-nepotism policy distributed to all employees; (3) What acknowledgements, if any, are employees required to sign; (4) If there are acknowledgments that employees are required to sign, are

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all employees required to sign the acknowledgements and how often? (5) If not all employees are required to sign, which employees, including civil service and exempt employees, are not required to sign?

II. Workers' Compensation

Please provide the following documents in the order listed below:

- Documentation showing that all employees and volunteers received written notice of the rights, benefits, and obligations under workers' compensation law.
- Provide a list of the five most recent workers' compensation claims submitted by employees to the Department in the last 12 months, including only: (1) name of the employee; (2) Date Department first knew of injury; and (3) Date employee received Workers' Compensation Claim Form(s) (DWC 1 or e3301).
- If the Department's workers' compensation coverage extends to volunteers, provide a list of the five most recent workers' compensation claims submitted by volunteers in the last 12 months, including only: (1) name of the employee; (2) Date Department first knew of injury; and (3) Date volunteer received Workers' Compensation Claim Form(s) (DWC 1 or e3301).

III. Administrative Hearing and Medical Interpreter Program

Please provide the following documents in the order listed below:

- Identify all interpreters used for any adjudicative proceedings conducted by the Department in the last 12 months. If the Administrative Hearing and Medical Interpreter Program does not apply to your department, please check or X this box:
- If the Department used an interpreter not certified by CalHR, please provide documentation demonstrating certification.

IV. Performance Appraisals

Please provide the following documents in the order listed below for all employee names listed in the MRF Appointments-Compensation-Policy Spreadsheet, "Performance Appraisal" Tab:

- Performance appraisal conducted for the employee in the prior calendar year.

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- If there is no performance appraisal for the employee, please provide a brief written explanation as to why a performance appraisal is not available for review.
- Does Department give all performance appraisals at the same time annually or biannually. If so, please provide documentation/departmental policy.

NOTES/COMMENTS:
