

# Human Resources Audit Checklist:



## Management:

---

1. Are Human Resource department goals in line with those of the organization?
2. Are worksheets identified and defined?
3. Are full-time and part-time hours defined?
4. Are shifts defined?
5. Is there open communication to and from the Human Resource department?

## Hiring:

---

1. Do job descriptions exist for all jobs and are they up to date?
2. Are I-9 forms and acceptable documentation reviewed for new employees?
3. Are I-9 forms and medical information kept separately from personnel files?
4. Are job openings offered to current employees?
5. Are applicant identities and references checked?
6. Are selection processes used with reference to the uniform guidelines?
7. Are all applicants required to complete and sign an application form?
8. Are applicants asked to voluntarily identify their affirmative action information?
9. If the organization has a qualifying federal contract, is there an affirmative action plan?
10. Do employment applications refrain from requesting protected information?
11. Are independent contractors accurately identified?
12. Are all new hires reported to the Internal Revenue Service (IRS) in a timely manner?
13. Do new employees complete W-4 forms and are those forms then forwarded to the IRS?

## New Employees:

---

1. Are policies in place for a focused workplace, and are those policies communicated and enforced with employees?
2. Is there an employee handbook specific to your workplace?
3. Do employee orientation sessions take place routinely?
4. Are employees trained on policies and work rules, as well as discrimination and harassment issues?





## Wages & Hours:

---

1. Are compensation levels monitored and reviewed?
2. Are employees correctly designated as exempt or non-exempt per the Fair Labor Standards Act (FLSA)?
3. Is there a formal pay structure that is reviewed regularly?
4. Are hours of work documented?
5. Are paid time off structures developed and equally enforced (vacation, holidays, etc.)?
6. Are non-exempt employees compensated at least one and one-half times their hourly wage for any hours worked beyond 40?
7. Is the compensation plan communicated to all employees?
8. Are appropriate payroll withholdings performed and forwarded?

## Benefits:

---

1. Are employees informed about their benefits?
2. Are Summary Plan Descriptions provided to plan participants?
3. Are general and extended COBRA notices provided to plan participants?
4. Are employees allowed up to 12 weeks of leave under the Family and Medical Leave Act (FMLA)?
5. Are plan documents in compliance with the Employment Retirement Income Security Act (ERISA)?
6. Are supervisors and managers trained to report employee absences of more than three days to Human Resources for FMLA purposes?
7. Is there a health care plan, and is protected health information kept private and secure?
8. Are all Form 5500s completed and reported?

## Employee Relations:

---

1. Is there a system for performance and evaluation?
2. Does the system check for effectiveness of the evaluation?
3. Is the quality and quantity of work evaluated?
4. Is performance tied to compensation?
5. Are workplace policies flexible?
6. Are disciplinary actions for violating workplace policies flexible?
7. Is there a process for employees to lodge complaints?
8. Are there a variety of individuals to whom employees may lodge complaints (supervisor, HR representative)?

## Safety & Security:

---

1. Are safety hazards reported to the appropriate personnel?
2. Are workplace accidents, injuries, and illnesses reported and investigated?
3. Are measures in place to prevent intruders from entering the grounds or buildings?
4. Is bright, effective lighting installed both indoors and outdoors?
5. Are measures in place to keep unauthorized persons from entering the facility through normal entrances (access badges, traffic control)?



6. Are employees encouraged to promptly report incidents and suggest ways to reduce or eliminate risks?
7. Are structures readily accessible to disabled employees?
8. Are minors prohibited from performing hazardous work?
9. Are Occupational Safety and Health Administration (OSHA) rules adhered to?

## **Discrimination & Employee Rights:**

---

1. Are employees trained on discrimination issues?
2. Are supervisors and managers trained in anti-discriminatory practices?
3. Are employment practices in line with the various anti-discriminatory laws?
4. Are minors prohibited from working more than their hours allowed by the Fair Labor Standards Act (FLSA)?
5. Are effective policies in place that prohibit retaliation against employees who exercise their rights?

## **Workers' Compensation:**

---

1. Are injuries and incidents investigated?
2. Is follow-up remediation performed when appropriate?
3. Are employees' workers' compensation files kept secure and separate from their employee file?
4. Is regular contact made with employees out on workers' compensation?
5. Are return-to-work programs checked for effectiveness?
6. Is contact made with medical providers?
7. Are insurance premiums and competitive quotes reviewed on a periodic basis?
8. Is the workplace environment maintained with safety in mind?
9. Are new and existing state requirements monitored?

## **Employee Separation:**

---

1. Are exit interviews conducted?
2. Are separation and COBRA notices provided on time?
3. Are final paychecks provided on time?

## **Recordkeeping & Documentation:**

---

1. Are personnel files current?
2. Are all appropriate labor posters updated and displayed in a common area, such as the kitchen?
3. Are documents regarding employees maintained for their required duration?