

Sample HR Audit Checklist



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Audits help determine the effectiveness of an HR department and/or HR systems. They are a systematic, objective tool to assess regulatory or policy compliance in the workplace. The following list of HR audit questions is not meant to be comprehensive to every institution, merely a representation of the types of questions that may be found in an HR audit.

Hiring

- Do job descriptions exist?
- Are job descriptions up to date?
- Are I-9 forms and acceptable documentation reviewed annually? Are I-9's maintained in a file separate from personnel files?
- Are job openings offered to current employees?
- Are applicant references checked?
- Are turnover rates monitored?
- Are selection processes used with reference to the Uniform Guidelines?
- Are all applicants required to fill out and sign an application form?
- Are applicants asked to voluntarily identify their affirmative action information?
- If applicable, do application forms identify that the employment relationship at the organization "at-will"?
- Do employment applications refrain from requesting protected information?
- Are pre employment physicals required?
- Are background checks completed for all prospective employees?
- Are motor vehicles reports obtained for employees that will be required to drive?
- Are independent contractors accurately identified?
- Are all new hires reported to the IRS?
- Do new employees fill out W-4 forms?

New Employees

- Are workplace policies in place?
- Do policies focus on your workplace?
- Are policies communicated?
- Are policies enforced?
- Is there an employee handbook?
- Is the employee handbook specific to your workplace?
- Do employee orientations take place?
- Is safety training part of the orientation?
- Are employees trained on policies and work rules?

Wages and Hours

- Are compensation levels monitored and reviewed?
- Are employees correctly designated as exempt or nonexempt per FLSA?
- Is there a formal pay structure?
- Is the compensation structured reviewed regularly?
- Is working time documented?
- Are paid time off (vacation, holidays, etc) structures developed?
- Are non-exempt employees compensated at least one and one-half times their hourly wage for any hours worked beyond 40?

- Is the compensation plan communicated to all employees?
- Are appropriate payroll withholdings performed?

Benefits

- Are employees informed about their benefits?
- Are Summary Plan Descriptions provided to plan participants?
- Are general COBRA notices provided to plan participants?
- Are employees allowed up to 12 weeks of leave under the FMLA?
- Are plan documents in compliance with ERISA?
- Are supervisors and managers trained to report employee absences of more than three days to HR for FMLA purposes?
- If there is a health care plan, is protected health information kept private?
- Are all Form 5500s completed and reported?

Employee Relations/Performance Evaluation

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

Safety and Security

- Are safety hazards reported to the appropriate personnel?
- Are workplace accidents, near-misses, injuries, and illnesses reported and investigated?
- Are results of investigation used to implement new prevention strategies?
- Are employees encouraged to promptly report incidents, and suggest ways to reduce or eliminate risks?
- Are measures in place to prevent intruders from entering the grounds or buildings?
- Is bright, effective lighting installed indoors and outdoors?
- Are measures in place (access badges, traffic control, etc.) to keep unauthorized persons from entering the facility through normal entrances?
- Is there a reliable response system in place in the event an alarm is triggered?
- Are structures readily accessible to disabled employees?
- Is there an active Safety Committee?
- Are minors prohibited from performing hazardous work?

Discrimination and Employee Rights

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

Workers' Compensation

- Are employees instructed to report all injuries immediately?
- Are injuries/incidents investigated?
- Do you have an established relationship with an occupational medical provider to treat work related injuries?
- Is follow-up remediation performed where appropriate?
- Is regular contact made with employees out on lost time?
- Is contact made with medical providers?
- Are return-to-work programs checked for effectiveness?
- Is the workplace environment maintained with safety in mind?
- Are state (new and existing) requirements monitored?
- Are drug screens required as part of treatment after any injuries/accidents?

Employee Separation

- Do exit interviews take place?
- Are final paychecks provided on time?

Recordkeeping and Other Documentation

- Are personnel files current?
- Are all appropriate labor posters displayed in a conspicuous place?
- Are documents regarding employees kept for their required duration?