

J. L. Nick & Associates, Inc.

HUMAN RESOURCE AUDIT CHECKLIST (Rev. 05/99)

**Check Below
Following Review**

I. EMPLOYMENT

Application Form Compliance
Job Selection Process/Applicant Sourcing
Review of Employment Ads
Supervisors Trained in Interviewing Techniques?
Reference Checks
Job Applicant Skills Testing
Post-Offer Employment Physical
Employment Agreements—Who Receives Them?
Drug Free Policy/Testing
New Employee Orientation Procedures
Documents Evidencing Proper Identity and/or Documenting U. S.
Citizenship for New Hires (Immigration Reform and Control Act).
Recordkeeping (1 year retention)

- Job Applications, promotions, layoffs, training programs, etc.

Turnover Level—What Job Categories?
Forms and Methods Used for Documenting Discipline, Leaves of
Absence, Payroll Changes, etc.
Success in Unemployment Hearings
Exit Interviews
Promotion/Advancement Procedures
Equal Opportunity in Job Advancement
Established Introductory Period
Federal Employment Law Posting Requirements

- EEO
- Fair Labor Standards Act
- Family and Medical Leave Act
- Employee Polygraph Protection Act

State Employment Law Posting Requirements
Employee Access to Personnel Files

II. COMPENSATION MANAGEMENT

Pay Policy of the Organization (average, pay leader, etc.)
Job Description Existence—ADA Compliant?
Internal Equity of Employee Pay Levels/Equal Pay Practices
Pay Structures Development
Method for Determining Pay Increase (COLA, merit, etc.)
Performance Appraisal System
Compensation Program Maintained/Reviewed Annually?
Timeliness in Granting Pay Increases
Exempt and Non-Exempt Jobs Classified
Overtime Practices (including method for authorizing overtime)

II. COMPENSATION MANAGEMENT (CONT'D.)

Problems with Payroll System - direct deposit, overtime, etc.

Recording Time Worked

Break and Lunch Period Pay Practices

Wage and Hour Recording (3 year retention)

- Name, address, date of birth, sex, occupation and wages

Child Labor Practices

III. EMPLOYEE BENEFITS

Overview of Benefits Programs Available

Competitiveness of Benefits Programs

Approximate % Cost of Benefits to Payroll

Employee Understanding of Employee Benefits/How Plans are Communicated

Section 125 Program

COBRA Benefits

HIPPA Procedures

Summary Plan Descriptions Exist and Distributed

Communication of Benefit Changes to Employees

5500 Forms and Summary Annual Reports Filed

Annual Employee Benefits Statement

IV. HUMAN RESOURCE POLICIES AND PROCEDURES

Who Develops and Approves New Policies and Procedures?

Policy Manual/Employee Handbook Exist

Employee Understanding of Human Resource Policies

Policies/Procedures in Need of Change?

Supervisor Consistency in Policy Interpretation

Employee Perceive They are Treated Fairly?

Policies Reflect Current Legal Requirements? (ADA, Family and

Medical Leave, Sexual Harassment, Affirmative Action, EEO,

Employment at Will)

V. TRAINING AND DEVELOPMENT

New Employee Training Completion

Supervisor Skills Training Programs Available

Management Level Training

Specific Areas - Sexual Harassment, Diversity, etc.

Employee Training Practices - Non-Manager

Tuition Aid Policy Utilized

Company ISO Certified?

Existence of Work Teams

