Basic HR Audit Checklist

Management

- Are HR goals in line with those of the organization?
- Are workweeks identified and defined?
- Are full-time and part-time hours defined?
- Are shifts defined?
- Is there open communication to and from the HR department?

Hiring

- Do job descriptions exist for all jobs?
- Are job descriptions up to date?
- Are I-9 forms and acceptable documentation reviewed annually?
- Are I-9s and medical information kept separately from personnel files?
- Are job openings offered to current employees?
- Are applicant references checked?
- Are selection processes used with reference to the Uniform Guidelines?
- Are all applicants required to fill out and sign an application form?
- Are applicant identities checked?
- Are applicants asked to voluntarily identify their affirmative action information?
- If the organization has a qualifying federal contract, is there an affirmative action plan?
- Do employment applications refrain from requesting protected information?
- Are independent contractors accurately identified?
- Are all new hires reported to the IRS timely?
- Do new employees fill out W-4 forms?
- Are W-4 forms sent to the IRS?

New employees

- Are workplace policies in place that focus on your workplace?
- Are policies communicated?
- Is this communication documented?
- Are policies enforced?
- Is there an employee handbook?
- Is the employee handbook specific to your workplace?
- Do employee orientations take place?
- Is there an orientation plan?
- Are employees trained on policies and work rules?
- Are employees trained on discrimination and harassment issues?

Wages and hours

- Are compensation levels monitored and reviewed?
- Are employees correctly designated as exempt or nonexempt per FLSA?
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- Is there a formal pay structure that is reviewed regularly?
- Is working time documented?
- Are paid time off (vacation, holidays, etc) structures developed and equally enforced?
- 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 and forwarded?

Benefits

- Are employees informed about their benefits?
- Are Summary Plan Descriptions provided to plan participants?
- Who administers the benefits?
- Are general COBRA notices provided to plan participants? Extended COBRA notices?
- 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 and secure?
- Are all Form 5500s completed and reported?

Employee relations

- 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)?
- Is there a whistleblower policy in effect?

Safety and security

- Are safety hazards reported to the appropriate personnel?
- Are workplace accidents, injuries, and illnesses reported and investigated?
- 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?
- Are employees encouraged to promptly report incidents, and suggest ways to reduce or eliminate risks?
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- Are structures readily accessible to disabled employees?
- Are minors prohibited from performing hazardous work?
- Are OSHA rules adhered to?

**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 that prohibit retaliation against employees who exercise their rights?

**Workers’ compensation**

- Are injuries/incidents investigated?
- Is follow-up remediation performed where appropriate?
- Are employees workers compensation files kept secure and separate from their employee file?
- Is regular contact made with employees out on workers compensation?
- Are return-to-work programs checked for effectiveness?
- Is contact made with medical providers?
- Are insurance premiums and competitive quotes reviewed on a periodic basis?
- Is the workplace environment maintained with safety in mind?
- Are state (new and existing) requirements monitored?

**Employee separation**

- Do exit interviews take place?
- Are separation and COBRA notices provided on time?
- Are final paychecks provided on time?

**Recordkeeping and other documentation**

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