

HUMAN RESOURCES AUDIT: CONCEPTS AND CRITERIA

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Abstract— Human Resources Audit (HRU) has been an important process for an organization. There are many concepts based upon different criteria. The process varies from one organization to another and despite the fact that certain concepts and criteria remain constant. Therefore, this particular article would assist students, managers, and professionals of Human Resources Management (HRM) to plan and execute an HR audit appropriately. This would provide a significant framework and manual for planning, execution, and reporting an HR audit. Various levels of HR audit has been also described.

Key words: HR Audit; Concepts & Criteria for HR Audit; Levels of HR Audit; Reporting an HR Audit.

INTRODUCTION AND CONCEPTUALIZATION

An HR Audit is required to assess the efficacy of an organization's human resource (HR) status, HR Management (HRM) policies and practices. An HR audit enables organizations to identify deficiencies, areas for improvement and significance actions. Ultimately, it would help to address gaps in practices and policies.

An HR audit is a comprehensive assessment of the organization's HR function, its structure, systems and procedures, and value delivered to the organization. An audit identifies the relevant effectiveness (or lack thereof) of human resource management practices within an organization as well as measure compliance with ever-changing rules and regulations. A properly executed audit will reveal potential areas of concern and provide recommendations for their remedy.

A human resources audit is an expertise which is carried out periodically in the administration system of human resources, including monitoring and collecting information, their analysis and assessment on this basis of the efficiency the organization uses human resources with. The main goal is to improve the employees' performance and job satisfaction. The purpose of human resources audit is to emphasize the strengths and weaknesses in the nonprofit system of human resources and managing the possible issues and the auditor is the landmark in the correct and legal carrying out of the audit. The human resources audit domain is much more comprehensive than the mere personal activity control. Human resources audit requires the study of the human resources system within the organization on different hierarchical levels. (Costel, 2008)

HR audit is a measure of success and it's not like a periodical employee performance evaluation. It has the objectives to measure the effectiveness of HR functions with respect to output, competence, and optimism. Human Resources Audit is a comprehensive process to review current human resources policies, procedures,

documentation and systems to identify needs for improvement and enhancement of the HR function as well as to assess compliance with ever-changing rules and regulations. From procedures, HR policies to HR practices, everything is reviewed in a compliance audit. The HR audit has a very wide scope and generally includes record keepings, proper documentation of files, employee compensation and benefits, performance evaluations, and employee participation levels are reviewed among other things in a functional audit. The basis of HR audit, which it considers the management of human resources being much involved with the practice of recruiting, hiring, retaining and firing employees. It examines the concept of 'people management' by supervisors at all levels.

HR audits can diagnose issues before they become real problems and in turn it assists in adopting some corrective measures. HR audit differs from an HRD audit as the latter is a comprehensive evaluation of the current HRD strategies, structure, systems, styles and skills in the context of the short and long-term business plans of a company. HRD audit attempts to find out the future HRD needs of the company after assessing the current HRD activities and inputs.

One of the modern HRM requirements has compelled organizations to associate it with the top levels of management for effectiveness. HR audit doesn't only measure the compliance with laws, however, also it measure the compliance with the objectives, strategies, and values of the organization.

It takes into account the entire range of functions related to Selection, recruitment, hiring and employment policies and procedures. It also included training, development, career planning, succession planning, reward and compensation.

A Human Resources audit broadly includes the following;

- Legislative Compliance (Industrial Relations, EEO)
- Strategy.
- Benefits and Compensation.
- Training and Staff Development.
- Recruitment.

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- Employee Engagement.
- Performance Management

PURPOSE AND OBJECTIVES

The purpose of the audit could be to provide assurance on the adequacy of the design and operation of the management framework, practices and controls in place to manage and oversee an OSFI's Performance Management process to ensure its quality, fairness, transparency, and consistency. (OSFI, 2010) The objectives may be also to determine the efficacy of policies and procedures addressing the activities of an organization, whether they are properly developed, documented, and distributed. In addition, the objectives could be also to evaluate the adequacy of the policies and procedures and are they clearly articulated and communicated. Objectives would be ultimately to judge the output, successes, failures, of weaknesses, and ultimately suggesting possible remedies.

Every business faces challenges with various rules, laws, regulations, and general business issues. The purpose of this paper is to highlight the key areas of human resources activities that could pose risks to the business if not done or improperly managed. The paper has come out with a suggestive questionnaire that would enable the collection of the desired information in an HR audit.

THE SCOPE OF THE HR AUDIT

The scope of the audit in general may include Performance Management process, including performance planning, monitoring, and reviewing as well as management oversight controls around the performance process. It may also include the rewarding performance. The audit can include reviewing a completed performance cycle, our audit work focused primarily on the performance management activities carried out.

INCLUSION AND EXCLUSION CRITERIA

Certain inclusion and exclusion criteria may be followed. There are certain frameworks for exclusion and inclusion criteria. Sometimes it is advisable to follow the *COSO Framework* to help ascertain the extent to which existing management controls and ensures that Performance Management is properly mitigated and monitored.

There has been standards for an internal or external auditing. The Institute of Internal Auditors' International Standards for the Professional Practice can be used for an Internal Auditing. Different organizations followed different standards even a government can have its own standards. Even audit can be done in the absence of any clear standards.

HR AUDIT AND NONPROFIT ORGANIZATIONS

HR audit is also highly useful for a nonprofit organization. It is a common fact that many nonprofit organizations are unable to employ a human resource professional to manage the function. HR is often managed by staff from the financial or administrative teams. More often than not, in nonprofits fortunate enough to have an HR professional, this person may also wear many non-HR hats. Either of the above are scary propositions, given the often cumbersome oversight of federal, state and local government regulatory authorities. Most, if not all, nonprofits sacrifice investing in administrative processes in favor of service delivery. While a logical and time-tested approach, the argument can be made that investing in an HR audit significantly reduces both short- and long-term exposure and liability for the organization. Audits do not place a significant burden on staff and usually can be completed in a few weeks. Without exception, the ROI on an HR audit, investment is almost always immediate. (Smith, 2010).

However, there are many toolkits very much similar or even deferring to the CHS. An HR auditing exercise identifies gaps, limitations and appropriate interventions. It would be able to identify both the good and bad HR practices. Many governments also initiate an HR audit in a periodical manner. There are department of personnel, administrative reforms or even civil services commission, which usually conducts such audits. However, in India such practices are not done regularly in any government sector because the functioning of the government has been largely marred by overriding principles and practices. Even there are provisions and policies whereby a person would be preferred for recruitment, promotion, and would be incentivized even without adequate knowledge, merit and performance. The controversial issue of reservation of jobs in the government sector as well as in admissions has caused the governmental institutions to decline and not meeting their core objectives. However, most private organizations depend upon an HR audit for proper evaluation of their employees. It improves competencies in a competitive environment.

METHODS AND TOOLS

An HR audit can be either internal or external though any dedicated agencies. Many organizations follow and guided by the nine obligations of the Core Humanitarian Standard (CHS). CHS can be adapted accordingly to the organizational structure and functions. CHS offers a set of analytical questionnaires, guidelines and instructions. (Start, 2015). Many scholars have suggested many tools and techniques to conduct an HR audit, however, each of them depended upon certain spatial and temporal consideration. The methods and techniques could vary one organization to another

and one time to another. There are various templates available online, however, HR managers and auditors should learn the whole concept and techniques to develop their own specific templates, questionnaires, or checklists. Despite such variance there are certain common ingredients that usually remained constant in almost all HR audits. Such constraints may be summarized as follows:-

- Determining the scope and type of audit.
- Developing the audit questionnaire.
- Collecting the data.
- Benchmarking the findings.
- Providing feedback about the results.
- Creating action plans

I have developed a most common type of template that can be adjusted to suit the requirements. The template has been annexed hereto, this article as Appendix 1.

DIFFERENT PARAMETERS OF AN HR AUDIT

Parameters are not a constant thing and the following parameters are just an indication:-

The Functions of Human Resources Sub-system	:	The Content of Human Resources Audit
Formation of personnel policy in the organization	:	The assessment of the current situation of personnel policies, the degree of compliance to the development strategy of the firm; the evaluation of relationships among the personnel policy, the features of the organization and the internal conditions
Planning the human resources	:	The assessment of existing resources, targets and development prospects, future personnel request; analysis of planning plan and staff turnover planning analysis
Utilization of human resources	:	Degree of personnel occupation analysis; personnel stability analysis.
Recruitment and selection of human resources	:	Assessment of methods and procedures used in recruiting personnel; recruitment costs; recruitment efficiency in filling in the vacant positions; filling in possible positions in the future; efficiency of selection procedures.

Professional assessment of human resources	:	The analysis of methods used in the personnel assessment, their effectiveness; assessment of the results and effects of the personnel evaluation process.
Human resources adaptation	:	Analysis of the methods used for personnel adaptation, their efficiency, identification and diagnosis of issues which appeared in the adaptation process.
Human resources training	:	Analysis of targets and forms of training, their compliance with the purposes of the organization; study of the training program; assessment of personnel after completing training, the efficiency and results of the training program.
Professional career development of human resources	:	Analysis of the development system of personnel in the organization; job analysis, analysis of the plan for personnel development, the efficiency of methods used.
Organization and progress of the working process	:	Analysis of work environment, security techniques; analysis of work standardization process; evaluation of work productivity; analysis of investments in this area and results.
Human resources' motivation and stimulation	:	Analysis of motivation forms, their relationship with personnel motivation; analysis of the level and structure of payment forms; assessment of compliance between the motivation forms and the targets of the organization.
Development of teamwork spirit	:	Diagnose of socio-psychological climate, assessment of the relationship strains between employees, hostility towards changes; organizational culture diagnose; the type of leadership practiced.

LEVELS OF AN HR AUDIT

A human resources system usually requires analysis of human resources on three levels: strategic, functional and medium. At the strategic level, the human resources audit is carried out from the point of view of the organization's strategy. It generally included a checking of the integration of administration practice of human resources in strategic planning within the organization, and the relationship between the human resources department and the other departments, referring to the formation of utilization of human potential within the organization. In doing this it would require studying the organization strategy by interviewing staff, studying strategic plans, systemizing external and internal factors of the firm and establishing the dynamics of changes. The study of strategy has a major impact on planning the personnel policies, motivation system, work relationships and other aspects in the human resources field.

The competitive strength in the work market is the organization's capacity to be chosen for a workplace, i.e. the sum of all the work conditions offered by the employer, which makes the difference between the organization and others within the same line of business. The personal levels of satisfaction and stability can be taken as indicators.

Secondly, the functional level requires checking the effectiveness of functional departments' activity within the organization's human resources system. To this end it required examining the target versus achievements, cost, and is it possible to cut the cost.

Lastly, at the medium (management) level requires checking the accuracy of the middle-managers, especially how they implemented personnel practices, Industrial Relation Environment, and Employee Employer Relations. Interviewing employees, managers, union's people, external social organizations, shareholders, and other stakeholders.

REPORTING AN HR AUDIT

After conducting the HR audit the work is still not over, however, the same may undergo different drafts presentations before final approval of the report by the top management. Therefore, it would require to present a draft report and submit for initial evaluations. After preliminary evaluations some specialized evaluations would be required. Then after, the modifications, alterations, and changes may be required that would lead to a final audit report. The audit report may be structured, however, could not be limited to have the following main contents:-

1. Background.....
2. Audit Objectives, Scope, Approach, and Crite-

- ria.....
3. Methods and tools.....
4. Audit Conclusion.....
5. Discussion.....
6. Limitations.....
7. Management Re-
sponse.....
8. Observations and Recommendations.....

Appendix A – Performance Management Control Criteria.....

Appendix B – Questionnaire.....

Appendix C – Checklist.....

VITAE

The Author has worked as Divisional Program Manager under the aegis of the *National Rural Health Mission* with the Jharkhand Government. He has remained an ICSSR doctoral and postdoctoral fellows. Taught students at the UG and PG levels subject, such as HR Management and Organizational Behavior.

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Appendix 1

A. General Information about the organization		
1. Name of the organization		
2. Address of the organization		
3. Whether public, private, or nonprofit		
4. Entity of the organization		
5. Whether registered or not registered		
6. Legal status: Limited or Private Limited Company, OPC, LLP, Cooperative society or other society		
B. Statutory Compliances		
1. Other Constructions Workers' (Regulation of Employment & Conditions of Service) Act, 1996		Yes/ No
2. The Interstate Migrant Workmen (Regulation of Employment & Conditions of Service) Act, 1979		Yes/ No
3. The Payment of Gratuity Act, 1972		Yes/ No
4. The Contract Labor (Regulation and Abolition) Act, 1970		Yes/ No
5. The Employees' Provident Funds and Miscellaneous Provisions Act, 1952		Yes/ No
6. The Employees' State Insurance Act, 1948		Yes/ No
7. Unions subject to a collective-bargaining agreement		Yes/ No
8. Employment laws and regulations impacting the organization		Yes/ No
9. Any regular system for monitoring and auditing human resources		Yes/ No
10. The number of disputes recorded under different laws		Yes/ No
11. The number of disputes disposed under different laws		Yes/ No
12. The number of disputes pending under different laws		Yes/ No

13. The number of disputes under different tribunals, forums, or courts recorded under different laws	Yes/ No
14. Particulars of mediations, arbitrations, administrative hearings, internal grievances, and attorney demands	Yes/ No
15. Having employment practices liability insurance coverage?	Yes/ No
16. Management personnel trained in human resources practices	Yes/ No
C. Hiring, staffing, and onboarding	
1. Whether a recruitment process that includes defining the job prior to advertising openings and training hiring managers in the process?	Yes/ No
2. Whether job advertisements, compliant with nondiscrimination, equal employment opportunity, and disability regulations?	Yes/ No
3. Whether job descriptions comply with the Disabilities Act?	Yes/ No
4. Whether structured interview checklist with legally-compliant interview?	Yes/ No
5. Whether background checks, employment and educational verification, criminal records, driving records, credit checks, and job-related testing is done?	Yes/ No
6. Whether drug testing is conducted prior to offering an employment?	Yes/ No
7. Whether medical testing is conducted prior to offering an employment?	Yes/ No
8. Whether the tests and assessments you conduct job-related and validated based on actual job performance?	Yes/ No
9. Whether a procedure to inform applicants of their acceptance or rejection?	Yes/ No
10. Whether there is use of any independent contractors/contingent workers? If so, do you have them sign a contract confirming that their independent business is compliant with all labor, immigration, and tax laws and that the business has liability insurance?	Yes/ No
11. Whether there are ready for unloading by preparing paperwork, people, policies and procedures, performance expectations workstation ready, assigning a work buddy and a 60-90 day work plan?	Yes/ No
12. Are workplace policies and procedures reviewed with all new hires?	Yes/ No
13. Are company policies and procedures applicable to the work environment?	Yes/ No
14. Are all policies and procedures communicated and enforced?	Yes/ No
15. Is the employee handbook specific to your workplace?	Yes/ No
16. Is there an orientation or on-boarding policy?	Yes/ No
17. Are new hires introduced to other employees, including management?	Yes/ No
18. Are new hires trained appropriately for their job?	Yes/ No
D. TRAINING & DEVELOPMENT	
1. Are employees provided training for new processes and procedures required to complete their job duties?	Yes/ No
2. Are employees provided with opportunities to develop their existing skills?	Yes/ No
3. Are employees evaluated after completion of training programs?	Yes/ No
4. Are training initiatives within budget?	Yes/ No
5. How are managers and supervisors trained and prepared for their roles?	Yes/ No
E. Employment relations and practices	
1. Whether having an updated employee handbook compliant with federal and state rules for the areas where your company operates?	Yes/ No
2. Whether there used to be an employee handbook contain provisions for "employment at will" and the acknowledgement of handbook receipt?	Yes/ No
3. Whether having an arbitration or mediation agreement for resolving employee claims signed by employees and maintained separately from your employee handbook?	Yes/ No
4. Whether having a standard process for measuring and reviewing performance with employees? Does whether the employee handbook contain language that states that the company will not tolerate any form of harassment, discrimination, or other illegal and unethical conduct?	Yes/ No
5. Whether an employee handbook contain an Equal Employment Opportunity policy statement, and is that also included in your employment application and posted in prominent employee areas of your company?	Yes/ No
6. Having a company ethics policy that includes the process for reporting illegal or unethical activity?	Yes/ No
7. Having a standard process for employees to communicate issues of concern (open door policy)?	Yes/ No
8. Having a documented process, designated investigators, and management training for conducting an investigation of sexual harassment, discrimination, or other complaints?	Yes/ No
9. Do the employee handbook outline standards of conduct and progressive disciplinary measures?	Yes/ No
10. Having an established process and managers trained to ensure that company standards are being followed prior to disciplining or terminating an employee?	Yes/ No
11. Having the process includes a second level of review prior to taking significant disciplinary action?	Yes/ No

12. In the case of employment terminations, does the organization have a process in place to manage compliance with final paycheck regulations, required notifications for termination reasons, unemployment and benefits continuation rights, or any other notification, collection of company equipment, and exit interview process?	Yes/ No
13. Are there job descriptions for each position within the organization?	Yes/ No
14. Are all job descriptions up to date?	Yes/ No
15. Are current employees made aware of job openings within the organization?	Yes/ No
16. Do the company use job advertisements?	Yes/ No
17. Are applicants required to complete application forms for open positions?	Yes/ No
18. Do application forms refrain from asking information about prohibited grounds?	Yes/ No
19. Is there a standard offer letter?	Yes/ No
20. Is there a standard contract? Has it been checked by a lawyer?	Yes/ No
21. Are all new hires reported to the concerned authorities?	Yes/ No
22. Are the references of job applicants checked?	Yes/ No
23. Is attrition/turnover monitored?	Yes/ No
24. Is the cost per new hire being calculated?	Yes/ No
25. Are hiring costs within budget?	Yes/ No
26. Is training provided for those who conduct interviews?	Yes/ No
F. Wages, Benefits, and Work Hours	
1. Does the organization have clearly defined employee classifications (i.e., Full-time, part-time, temporary, short-term, exempt, non-exempt, regular employee, independent contractor)?	Yes/ No
2. Does the organization ensure that you are paying your exempt and nonexempt employees in compliance with federal and state wage and hour laws?	Yes/ No
3. Does the organization have systems and communications in place to accurately track time worked, including meal and rest periods, as required under federal and state laws, for purposes of overtime and regulatory compliance?	Yes/ No
4. Does the organization have a process in place to approve time worked or to make scheduled work time changes (such as requests for time off, make-up time requests or schedule changes)?	Yes/ No
5. Does the organization have a written policy for absenteeism and punctuality?	Yes/ No
6. Does the organization have clearly defined paid time off policies (vacation, sick, holiday, other)?	Yes/ No
7. Does your sales compensation program clearly define when a commission is "earned" and what happens to uncollected commissions after an employee leaves the job?	Yes/ No
8. Does the organization comply with regulatory rules for the employment of minors (work permits, hours of work)?	Yes/ No
9. Do the organization offer group health benefits programs to your employees, do you have Summary Plan Descriptions for the required plans?	Yes/ No
10. Does the organization benefit plans clearly communicated to eligible employees?	Yes/ No
11. Do the organization plans that are subject to Employee Retirement Income Security meet the design, notification, nondiscrimination, and recordkeeping requirements of those plans?	Yes/ No
12. Do the organization benefit and wellness plans comply with the portability and privacy requirements of the Health Insurance Portability and Accountability?	Yes/ No
13. Does the organization process and communications for participants eligible for health care continuation?	Yes/ No
14. Does the organization work with your broker to ensure that your plans comply with the plan design, notification, and recordkeeping requirements under the Affordable Care Act?	Yes/ No
15. Do the organization retirement plans comply with all requirements?	Yes/ No
16. Does the organization discretionary bonus and benefit plans defined and communicated?	Yes/ No
17. Does the organization have a severance pay plan, does it comply with statutory requirements if any?	Yes/ No
18. Does the organization severance pay plan require employees to sign a Release of Claims Agreement as a condition to receiving any severance package?	Yes/ No
19. Does the organization have a policy about managing various leaves of absence, pregnancy, disability, military leaves or other types of special time off needs?	Yes/ No
20. Is there a formal pay structure?	Yes/ No
21. Is the pay structure reviewed regularly?	Yes/ No
22. Is there documentation pertaining to hours worked?	Yes/ No
23. Has the compensation plan been communicated to all employees?	Yes/ No
24. Are the appropriate payroll deductions being made?	Yes/ No
25. Are employees paid on time, and is paid free from discrepancies?	Yes/ No
26. Does the compensation structure adhere to employment standards?	Yes/ No
27. Are there procedures developed pertaining to paid time off (vacation, stat holidays, etc.)?	Yes/ No
28. Are there incentives in place?	Yes/ No

29. Is there a benefit plan in place?	Yes/ No
30. Are employees aware of the details of their benefit plans and incentives?	Yes/ No
31. Who administers the benefits?	Yes/ No
32. Is the employee's health care information kept in a private, confidential location?	Yes/ No
33. Is there a recognition program in place?	
G. Records and HR Data	
1. Does the organization is aware about the types of records, registers, and information to be maintained?	Yes/ No
2. Does the organization is aware about the time period for which the information are to be maintained?	Yes/ No
3. Does the information are maintained digitally?	Yes/ No
4. Does the information or data are easily accessible?	Yes/ No
5. Does any kind of information specified or classified?	Yes/ No
6. Whether having a process of notification and communication with the authorities and stakeholders?	Yes/ No
7. Has employee filed up to date and retained for the appropriate length of time?	Yes/ No
8. Is employee information kept confidential?	Yes/ No
9. Are records of all training (i.e. Health & Safety) received, maintained and updated?	Yes/ No
H. Health and Safety	
1. Does the organization have an injury prevention program (IIP) that is compliant with the safety regulations in your company locations?	Yes/ No
2. Does the organization have a designated safety officer that manages periodic safety inspections/audits and corrections?	Yes/ No
3. Does the organization have a safety training program?	Yes/ No
4. Does the organization have an emergency response and communications plan?	Yes/ No
5. Does the organization have your process and communications in place for employees and managers to immediately report all occupational injuries to your human resources contact and/or workers' compensation carrier?	Yes/ No
6. Does the organization maintain your annual OSHA log to record all employee work-related illnesses and injuries and comply with all OSHA recordkeeping and posting requirements?	Yes/ No
7. Does the organization have a hazardous substance communication and disclosure policy that is communicated within your organization?	Yes/ No
8. Does the organization have a process for managing the employee communications and administration of workers' compensation leaves of absence, including your return-to-work protocols?	Yes/ No
9. Does the organization have a process for reviewing your losses and experience ratings with workers' compensation agent or carrier?	Yes/ No
10. Does the organization evaluated workplace for safety issues, including proper ergonomics, office equipment, VDT exposure, or other potential repetitive motion issues?	Yes/ No
11. Does the organization have a policy, procedures, and communications plan for managing potential violence in the workplace issues?	Yes/ No
12. Does the organization have employee wellness programs in place that are compliant with all applicable health care and privacy regulations and designed to improve health outcomes?	Yes/ No
13. Does the organization complied with all health, safety related and notification requirements related to your industry?	Yes/ No
14. Are all employees provided by Health & Safety training?	Yes/ No
15. Are all employees provided with emergency numbers, human rights commission and labor board information?	Yes/ No
16. Are employees encouraged to promptly report incidents, and suggest ways to reduce or eliminate risks?	Yes/ No
17. Are workplace injuries, near misses and accidents being reported, documented, and investigated?	Yes/ No
18. Are employees' workers' compensation files kept secure and separate from their employee file?	Yes/ No
19. Is regular contact made by employees out on workers' compensation?	Yes/ No
20. Is there a Health & Safety Policy updated on an annual basis?	Yes/ No
21. Is there an effective Return to Work Policy and Procedure in place?	Yes/ No
22. Is the Health & Safety Policy posted in a conspicuous place and signed by the head of the organization?	Yes/ No
23. Are there first aid stations with posted first aid regulations?	Yes/ No
24. Are emergency evacuation plans and procedures established?	Yes/ No
25. Are measures in place to prevent intruders from entering the grounds or buildings?	Yes/ No
26. Is bright, effective lighting installed indoors and outdoors?	Yes/ No
27. Is there a Health & Safety committee established?	Yes/ No
28. Are workplace inspections conducted monthly and documented?	Yes/ No

29. Are workplace inspection documents reviewed and signed by management?	Yes/ No
30. Is there a policy on discrimination and harassment?	Yes/ No
31. Is there an established wellness program?	Yes/ No
32. Is office and building infrastructure accessible to disabled employees?	Yes/ No
I. ADMINISTRATION	
1. Do the goals of the Human Resources department align with those of the organization?	Yes/ No
2. Are the hours of work established for each role within the organization (including full-time and part-time)?	Yes/ No
3. Is there open communication to and from the HR department?	Yes/ No
4. Termination of Employment	Yes/ No
5. Are exit interviews conducted?	Yes/ No
6. Is the information garnered through	Yes/ No
7. Is there a progressive discipline policy in place?	Yes/ No
8. Is this policy communicated to all employees?	Yes/ No
9. Do terminations adhere to employment standards with respect to notice, termination pay, etc.?	Yes/ No
J. Management	
1. Are HR goals in line with those of the organization?	Yes/ No
2. Is there open communication to and from the HR department?	Yes/ No
3. Is the HR department/manager/leader at the same pay level as other senior executives?	Yes/ No
4. Is the HR department/manager/leader consulted with the other senior executives during planning?	Yes/ No
5. Are all supervisors and managers trained in all HR policies (discrimination, harassment, health, safety, etc.?)	Yes/ No
6. Is there a talent management plan in place?	Yes/ No
K. PERFORMANCE MANAGEMENT	
1. Is there a performance management policy in place?	Yes/ No
2. Is the effectiveness of the performance management practices reviewed on a regular basis?	Yes/ No
3. Is the quality and quantity of work evaluated?	Yes/ No
4. Is there a correlation between performance and compensation?	Yes/ No
5. Is there a process for employees to lodge complaints?	Yes/ No
6. Is there a whistleblower policy?	Yes/ No
L. ATTENDANCE MANAGEMENT	
1. Is there an attendance management program?	Yes/ No
2. Is there an effective leave policy in place?	Yes/ No
3. Are workweeks identified and defined?	Yes/ No
4. Are full-time and part-time hours defined?	Yes/ No
5. Are shifts defined?	Yes/ No
