# 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?
* 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?

* 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?