

This checklist will help you determine in about 5 minutes the effectiveness and compliance of your Human Resource functions. The following list of questions is not meant to be comprehensive to every organization, merely a representation of the types of questions that may be asked in a hearing, an HR audit, by your attorney, and/ or by an inspector (OSHA, Immigration, etc.) **If you do not know what some of these items are, or find yourself answering no to many of the questions, please call Alternative HR today to schedule a free 30 minute consultation. 717-855-5589**

Operations

- What are the Vision, Mission, & Values of your organization? Do employees know them?
- Are HR goals/ strategies in line with those of the overall organization?
- Are workweeks identified and defined?
- Are full-time and part-time hours/ shifts defined?

Hiring

- Do job descriptions exist and are they up to date?
- Are I-9 forms and acceptable documentation reviewed bi-annually?
- Are job openings posted/ offered to current employees?
- Are applicant references checked? Are Criminal Backgrounds checked?
- Are drug screens required? Do you have a Substance Abuse Policy?
- Are turnover rates monitored?
- Are all applicants required to complete and sign an application form?
- Are you asking legal interview questions? Are Behavioral questions asked?
- 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 independent contractors and exempt/ non-exempt employees accurately identified?
- If the organization has a qualifying federal contract, is there an affirmative action plan?
- Are all new hires reported to the state and IRS? Do new employees fill out W-4 and W-11 forms?
- Are I-9's, benefit information and medical information kept separately from personnel files?
- Are workplace policies in place (for example, EEO, Harassment, Safety, Attendance, etc...?)
- Are policies communicated and enforced?
- Is there an employee handbook?
- Is the employee handbook specific to your workplace and up to date?
- Do employee orientations take place?
- Are all employees trained on discrimination and harassment issues?

Compensation & Benefits

- Are compensation levels/ plans monitored and reviewed annually (consider Lily Ledbetter Act)?
- Are employees correctly designated as exempt or nonexempt per FLSA?
- Are Independent Contractors correctly identified?
- Is there a formal pay structure? Is performance tied to compensation?
- Is working time documented/ how?
- 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 (including bonuses?)
- Is the compensation plan communicated to all employees?
- Are benefit plans reviewed annually?
- Are employees informed/ oriented regarding their benefits?
- Are Summary Plan Descriptions provided to plan participants?
- Are general COBRA notices provided to plan participants?
- Are employees allowed up to 12/ 26 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 management for FMLA purposes?
- Are all Form 5500s completed and reported?
- Are Total Compensation letters provided?
- Are Open Enrollment Meeting held?
- Have you determined how the HCRA will impact your organization?
- Are minors prohibited from working more than their hours allowed by the Fair Labor Standards Act?
- Are final paychecks provided on time?

Employee relations

- Is there an Open Door Policy?
- Is there a system for performance evaluation? Are you aware of the different types of evaluations?
- Does the system check for effectiveness of the evaluation?
- Is quality and quantity of work evaluated?
- Are disciplinary actions for violating workplace policies flexible? Does documentation exist for each incident?
- Is there a process for employees to lodge complaints?
- Are there a variety of individuals to whom employees may lodge complaints (supervisor, HR representative)?
- Are employment practices in line with the various anti-discrimination laws?
- Are effective policies in place that prohibit retaliation against employees who exercise their rights?
- Are supervisors and managers trained in anti-discriminatory practices?
- Do exit interviews take place?
- Does a member of management evaluate each termination before it takes place?

Safety, Security and Worker's Compensation

- Are safety hazards reported to the appropriate personnel?
- Has a Safety Committee been established? Do you have an Emergency Response Plan?
- Are workplace accidents, near-misses, injuries, and illnesses reported and investigated?
- Is bright, effective lighting installed indoors and outdoors?
- Is there a reliable response system in place in the event an alarm is triggered?
- 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 employees utilizing Powered Industrial Equipment/ Technology properly certified?
- Are MSDS sheets available for every chemical in the building (including cleaning supplies)?
- Is the PA Right to Know Law, Workers Comp Bureau Information, and Panel Provider List posted and distributed to all new hires?
- Are ALL injuries/incidents investigated?
- Is follow-up remediation performed where appropriate?
- Is regular contact made with employees out on lost time?
- 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?

Record keeping and other documentation

- Are personnel files current?
- Are items with medical or protected information kept in a separate, locked location?
- Are all federal and state labor posters displayed in a conspicuous place?
- Are documents regarding employees kept for their required duration (application, personnel files, payroll, I-9's, etc...)?