

Human Resource Audit

BCG Advisors will conduct a comprehensive audit of your current human resources policies, procedures, documentation and systems. We analyze this data to identify needs for improvement and enhancement of the HR function as well as to ensure compliance with ever-changing rules and regulations. BCG Advisors' then provides the necessary guidance to help you strengthen these areas of concern to minimize risks and streamline systems.

Please complete this form to the best of your ability and email to Regina Filangieri at Rfilangieri@BCGAdvisors.com

All responses are confidential and will not be shared with any third party.

	Yes	No	N/A	Comments
General	General			
Who handles HR responsibilities in your organization?				
How many people are employed within your organization?				

	Yes	No	N/A	Comments
Management	Management			
Do you have HR goals? How often are they updated?				
Are work weeks identified and defined? How?				
Are full-time and part-time hours defined? How?				
Are shifts defined? How?				
Is there open communication to and from the HR /personnel department?				

	Yes	No	N/A	Comments
Hiring	Hiring			
Do job descriptions exist?				
Are job descriptions up to date?				
Are I-9 forms and acceptable documentation reviewed annually?				
Is each new employee required to fill out and I-9?				
Is each new employee required to fill out and W-4?				
Are all applicants required to fill out and sign an application form?				

Are new employees alerted to agreed upon conditions via writing? (offer letter with salary, vacation,etc.)				
Are job openings offered to current employees?				
Are applicant references checked? If so, How?				
Are selection process guidelines and uniform steps followed? If no, BCG will provide sample guidelines.				
Do application forms or offer letters identify that the employment relationship at the organization "at-will"?				
Do employment applications refrain from requesting protected information? i.e, age, race, etc.				
If the organization has a qualifying federal contract, is there an affirmative action plan?				

Employee Handbooks	Employee Handbooks			
Is there an employee handbook?				
Is the employee handbook specific to your workplace?				
Was the handbook updated in the past 5 years?				
Has the handbook been reviewed by your labor attorney?				

New employees	New employees			
Are workplace policies in place?				
Do policies focus on your workplace?				
Are policies communicated? If so, how?				
Are policies enforced?				
Do employee orientations/ job training take place?				
Are employees trained on policies and work rules? If so, how?				
Are employees trained on discrimination issues / made aware of your discrimination policy?				

Wages and hours	Wages and hours			
Are compensation levels monitored and reviewed at least annually?				
Are employees correctly designated as exempt or nonexempt per FLSA?				

Is there a formal pay structure?				
Is the compensation structured reviewed regularly?				
Is working time documented? How? i.e., time cards, clock, etc.				
Are paid time off (vacation, holidays, etc) structures developed?				
Are non-exempt employees paid at least 1.5x their hourly wage for any hours worked beyond 40?				
Is the compensation plan communicated to all employees?				
Are appropriate payroll withholdings performed?				

Benefits	Benefits			
Who answers general questions about the employee benefit program?				
If an employee has a claim or benefit question/issue, what are their resources for resolution?				
How are employee benefit new hire/plan change/applications processed with the carrier? Who monitors accuracy?				
Are employee classes defined as they relate to employer contribution amounts?				
Are the same level of health, dental, left, etc provided to the same members of each class?				
Are employees informed about their benefits?				
Please provide a copy of enrollment materials distributed at the time of eligibility.				
Are Summary Plan Descriptions provided to plan participants?				
Are employees allowed up to 12 weeks of leave under the FMLA NJFLA? (50 or more employees)				
Are managers trained to report employee absences of more than 3 days to HR for FMLA purposes?				
If there is a health care plan, is protected health information kept private?				
Are all Form 5500s completed and reported? (retirement plans - all employers / dental, health, life, LTD, 125B, 100+				
Are general COBRA/continuation notices provided to plan participant terminations, upon enrollment?				
If yes, how long after termination are they sent?				
Do you keep a record of timely mailing of Cobra materials?				
If so, how long are records kept?				

Please provide a copy of the COBRA/continuation notice you send.				
How do you send COBRA notice? Mail, email, etc.?				

Employee relations

Is there a system for performance evaluation?	Employee relations			
Does the system check for effectiveness of the evaluation?				
Is quality and quantity of work evaluated?				
Is performance tied to compensation?				
Is there a process for employees to lodge complaints? If so, what is the process?				
Are there a variety of individuals to whom employees may lodge complaints (supervisor, HR) If so, who?				

Safety and security

Are safety hazards reported to the appropriate personnel? To whom are they reported?	Safety and security			
Are workplace accidents, near-misses, injuries, and illnesses reported and investigated?				
Are measures in place to prevent intruders from entering the grounds or buildings?				
Are measures in place (access badges, etc to keep unauthorized persons from entering the facility)?				
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 / visitors?				
Are minors prohibited from performing hazardous work?				
Are appropriate OSHA regulations followed?				
Are all required OSHA forms filled out and posted?				

Discrimination and employee rights

Are employees trained on discrimination issues?	Discrimination and employee rights			
Is your discrimination policy clearly defined in your employee handbook?				

Are supervisors and managers trained in anti-discriminatory practices?				
Are employment practices in line with the anti-discrimination laws?				
Are you familiar with the anti-discrimination laws?				
Are you familiar with the Fair Labor Standards Act?				
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?				
Are you familiar with the required department of labor postings? If no, BCG can provide you with the requirements.				
Please list posters currently displayed?				

Workers' compensation	Workers' compensation			
Are 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?				

Employee separation	Employee separation			
Do exit interviews take place?				
Are final paychecks provided on time?				
Are recordkeeping and other documentation kept? If so, how?				
Are personnel files current?				
Are all appropriate labor posters displayed in a conspicuous place?				
Are documents regarding employees kept for their required duration? 7 years?				