

HUMAN RESOURCES CATEGORY AUDIT

Human resources can include a wide variety of activities. For this audit sixteen categories of activities have been utilized.

These categories reflect currently accepted human resource activities. However, a firm's particular human resources activity may not be in existence, or the individual charged with the activity may be accountable for other responsibilities outside of human resources. During the audit you will be asked questions that will permit audit results that generally reflect your firm's current human capital management efforts.

Some perceived human resources activities, such as payroll, are not included in the sixteen categories. It is currently accepted that areas such as payroll are not actually human resources activities, as control of the payroll function can result in elimination of payroll as a check and balance to HR activities.

TERMS

Organization—used in the audit to refer to the overall company, division, corporation, or other entity of which human resources is a part

Department—used to formally identify functions within an Organization, such as accounting, distribution or marketing

Managers or Management—a group of managers within a specific department, function, or the entire Organization

Senior Executive—the top management position within the Organization

Senior Manager—the top manager within a specific department, function, or entire Organization

Manager—anyone in a managerial position

Supervisor—a manager who directly supervises people doing the work of an area

CURRENT HR FUNCTIONS, IMPORTANCE AND ACCOUNTABILITY AUDIT

The sixteen human resources categories used in this audit and their definitions appear below and on the next page. To assist us in a the audit please:

1. Read all category titles and their definitions before selecting. Do not check a category title that you feel is currently not performed or, as currently performed, significantly different from the description provided
2. Place a “X” on the short line preceding **any category that does not currently exist** in your firm
3. Place a “P” on the short line preceding **any category that is performed within your organization, but by individuals with other business responsibilities not human resource related.** (Example: accounting, outside legal counsel, operations management)
4. Indicate how important you feel each existing category is to the operation of your business by assigning a number rating to each. The number can be from 0 to 100, but you only have 100 points in total to assign. An existing category you view as more important for your business should be given a higher number than a category of less importance. **Do not assign numbers to categories that do not currently exist in your business.**
5. When you have assigned an X or a number to every category, please total the numbers to ensure they equal 100.

This short audit and numeric assignment is critical to establishing a foundation for additional in depth information-gathering questions asked during the full audit process.

CATEGORY AUDIT
(X-does not exist/P-Performed with other duties)

_____ **Human Resource Mission**—The importance of establishing an overall objective or purpose of HR within your Organization and its relationship to the Organization’s overall mission
SCORE _____

_____ **Human Resource Organization**—The importance of the HR function’s internal relationships; relationships with other functions, departments, and employees of the Organization, including the structuring of resources provided to the individual(s) charged with carrying out HR responsibilities
SCORE _____

_____ **Human Resource Staff**— The importance of selection, training, motivation, development, and retention of a qualified human resources team
SCORE _____

_____ **Employee and Labor Relations**—The importance of the human resources role in the relationship between the Organization and its non-union employees and/or any bargaining unit of an employee-organized labor group, including labor-organizing campaigns
SCORE _____

_____ **Recruitment, Selection and Employment**— The importance of recruiting and evaluating qualified candidates from internal and external sources for positions throughout the Organization; Ensuring compliance with Federal, Local and State employment regulations; Ensuring effective orientation of new employees
SCORE _____

_____ **Education, Training, and Development**— The importance of providing performance skills training and career development to employees, utilizing both internal and external resources; including providing expertise in assessing education, training, and development needs and identification of high-potential employees
SCORE _____



Your Workforce Management
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_____ **Human Resources Policy and Procedures**—The importance of formal policies and procedures governing all conditions of employment, including specific human resources activities not otherwise categorized

SCORE _____

_____ **Benefits**—The importance of non-cash compensation provided to employees of the Organization including, but not limited to, such components as insurances, retirement saving plans, paid time off, and the systems, support services, and communications to successfully deliver the benefits and support employee recruitment, productivity and retention. In addition, benefit plan development and cost control

SCORE _____

_____ **Compensation**—The importance of cash payments to employees, the systems by which positions and performance are evaluated, determining salary/wage ranges/ bands, and other compensation forms such as commissions, lump sum payments, incentive payments and bonuses. In addition, compensation planning and cost control

SCORE _____

_____ **Human Resources Planning**—The importance of collection and analysis of data to support long-term (strategic) and short-term (tactical) business plans, forecasts and human resource return on investment expectations that support and enhance the Organization's mission and financial goals, including such activities as productivity enhancement, succession planning, leadership development, and recruiting/retention

SCORE _____

_____ **Organization Development**— The importance of Improving communication and understanding within the Organization to produce effective, functioning management and employee teams; establishing or changing to a desired culture; responding to changing conditions; and analyzing and influencing Organization personnel, systems, structures, policies, and rewards to ensure synergy and maximize internal consistency with the Organization's mission and financial goals

SCORE _____



Your Workforce Management
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_____ **Equal Employment Opportunity and Diversity**— The importance of developing, implementing and managing workforce programs to maximize employment of productive people with different characteristics, qualifications, and talents while recognizing the legal requirements, social responsibilities and potential liabilities regarding equal treatment for all employees; implementing pro active methods necessary to ensure these requirements are met.

SCORE _____

_____ **Safety and Environment**—The importance of training, communication, and leadership to provide a safe working environment; to provide an appropriate level of employee involvement and responsibility for implementing safe practices, using safety equipment, and complying with Organization safety rules and practices; and to ensure that federal, state, and local safety and environmental requirements are met. In addition, injury rate, cost and return to work management and control

SCORE _____

_____ **Security**— The importance of maintaining and protecting the Organization’s employees, assets, information and human resource data

SCORE _____

_____ **Human Resource Equipment and Facilities**—Providing the necessary equipment and facilities to fulfill the human resource function’s responsibilities in supporting the Organization’s mission and to provide optimum service to the Organization and its employees

SCORE _____

_____ **Documentation and Information Systems**—The importance of preparing, storing, maintaining and securing employment records, compensation/benefits and other employee/Organization information that meet federal, state, and local requirements, including computerized human resources information systems

SCORE _____