

# DOCUMENTATION AND INFORMATION SYSTEMS— INFORMATION GATHERING

Preparing, storing, and maintaining employee records and information, including computerized human resources information systems, and meeting federal, state, and local requirements.

- \_\_\_\_\_ 1. Is there an individual within the human resources department accountable for ensuring employee documentation meets all legal requirements?  
\_\_\_\_\_ Yes \_\_\_\_\_ No
- \_\_\_\_\_ 2. Has employee documentation been reviewed to ensure individual privacy rights are not violated?  
\_\_\_\_\_ Yes \_\_\_\_\_ No
- \_\_\_\_\_ 3. Is an individual allowed to review all documentation regarding him?  
\_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Not applicable
- \_\_\_\_\_ 4. If your answer to the previous question was no, is there an identified reason for not allowing full employee review?  
\_\_\_\_\_ Yes \_\_\_\_\_ No
- \_\_\_\_\_ 5. Which employee notifications for poor or otherwise unacceptable performance are kept in a confidential file—current performance data and/or past performance data? (Check just one.)  
\_\_\_\_\_ Current \_\_\_\_\_ Past \_\_\_\_\_ Neither
- \_\_\_\_\_ 6. Are employee reference checks kept in a separate file?  
\_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Not applicable

- \_\_\_\_\_ 7. Are employee test results and medical information kept in a separate restricted file?
- \_\_\_\_\_ Yes    \_\_\_\_\_ No    \_\_\_\_\_ Not applicable
- \_\_\_\_\_ 8. Which of the following employee statistics are regularly calculated? (Check all that apply.)
- \_\_\_\_\_ Employee turnover
- \_\_\_\_\_ Employee absences
- \_\_\_\_\_ Employee lateness
- \_\_\_\_\_ Employee first aid visits
- \_\_\_\_\_ Training costs
- \_\_\_\_\_ Employee accident frequency
- \_\_\_\_\_ Employee accident severity
- \_\_\_\_\_ Employee accident lost time
- \_\_\_\_\_ Employee benefit costs
- \_\_\_\_\_ Employee productivity
- \_\_\_\_\_ Average compensation increases
- \_\_\_\_\_ Recruiting cost per employee hired
- \_\_\_\_\_ Average benefit cost per employee
- \_\_\_\_\_ Other
- \_\_\_\_\_ 9. How often are such reports calculated? (Check no more than two.)
- \_\_\_\_\_ Every month
- \_\_\_\_\_ Every three months

- \_\_\_\_\_  Every six months
- \_\_\_\_\_  At least once a year
- \_\_\_\_\_  Every year or more
- \_\_\_\_\_  When requested
- \_\_\_\_\_  Whenever required by the government
- \_\_\_\_\_  Never
- \_\_\_\_\_ 10. To whom are such reports sent? (Check all that apply.)
- \_\_\_\_\_  Individual department heads
- \_\_\_\_\_  Human resources
- \_\_\_\_\_  External sources such as insurance companies
- \_\_\_\_\_  Senior company managers
- \_\_\_\_\_  Consultants
- \_\_\_\_\_  No one
- \_\_\_\_\_ 11. Does someone within the human resources department analyze such statistics?
- \_\_\_\_\_  Yes     No
- \_\_\_\_\_ 12. Is there a formal human resources information system that maintains all employee information?
- \_\_\_\_\_  Yes     No
- \_\_\_\_\_ 13. Is employee information computerized?
- \_\_\_\_\_  Yes     No
- \_\_\_\_\_ 14. Is access to the human resources information system controlled?
- \_\_\_\_\_  Yes     No

- \_\_\_\_\_ 15. If an employee with access to the human resources information system leaves the department, is that individual's access canceled, voided, or terminated?
- \_\_\_\_\_ Yes \_\_\_\_\_ No
- \_\_\_\_\_ 16. If your answer to the previous question was yes, is the system run on a department PC or on a mainframe, network, or server located outside the department? (Check just one.)
- \_\_\_\_\_ Department PC
- \_\_\_\_\_ Mainframe, network, or server located outside the human resources department
- \_\_\_\_\_ 17. If your answer to the previous question was outside the department, is the system protected so that only qualified human resources personnel may access it?
- \_\_\_\_\_ Yes \_\_\_\_\_ No
- \_\_\_\_\_ 18. If your answer to Question 13 was no, has the possibility of using a computerized system been considered?
- \_\_\_\_\_ Yes \_\_\_\_\_ No
- \_\_\_\_\_ 19. Is there a procedure for updating employee information?
- \_\_\_\_\_ Yes \_\_\_\_\_ No
- \_\_\_\_\_ 20. How frequently are employees requested to update their personal information? (Check just one.)
- \_\_\_\_\_ Every month
- \_\_\_\_\_ Every six months
- \_\_\_\_\_ At least once a year
- \_\_\_\_\_ Every year or more
- \_\_\_\_\_ Never
- \_\_\_\_\_ 21. Are comparisons of employee statistics made with similar companies or other companies in the area?
- \_\_\_\_\_ Yes \_\_\_\_\_ No

- \_\_\_\_\_ 22. If your answer to the previous question was yes, does the human resources department conduct any analyses of differences?  
\_\_\_\_\_ Yes \_\_\_\_\_ No \_\_\_\_\_ Not applicable
- \_\_\_\_\_ 23. Has the possibility of outsourcing employee information been considered?  
\_\_\_\_\_ Yes \_\_\_\_\_ No
- \_\_\_\_\_ 24. On a scale of one to nine (one being low, five being typical, and nine being high), how do you think the human resources department has performed in this category? \_\_\_\_\_
- \_\_\_\_\_ 25. On a scale of one to nine (one being low, five being typical, and nine being high), how do you think employees of the human resources department feel the human resources department has performed in this category? \_\_\_\_\_
- \_\_\_\_\_ 26. On a scale of one to nine (one being low, five being typical, and nine being high), how do you think the clients of the human resources department within the Organization feel the human resources department has performed in this category? \_\_\_\_\_