

**HR audit checklist: HR information systems and metrics**

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| **HR technology** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is an HR information system in use? |  |  |  |  |
| If yes, is the HR information system compatible with (or part of) the payroll system? |  |  |  |  |
| Is new HR technology being considered? |  |  |  | *Examples may include employee portals, self-service applications and document imaging.* |
| Are business processes related to HR technology actively monitored and improved? |  |  |  | *Indicate how often and by which position.* |
| Is a disaster recovery system in place? |  |  |  |  |

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| **HR reports** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is HR data compiled and reported to managers or executives? |  |  |  | *Indicate type of data, how often and by which position.* |
| Is a specific position responsible for analyzing HR reports for trends and variances? |  |  |  | *Indicate which position.* |
| Does the HR department or functional unit have quantitative benchmarks to evaluate their performance? |  |  |  |  |
| If yes, are the benchmarks regularly reviewed? |  |  |  | *Indicate how often and by which position.* |

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| **Data integrity** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is data in the organization's HR information system clean and verified? |  |  |  |  |
| Are employee records audited for data integrity? |  |  |  | *Indicate how.* |
| Are employees encouraged to update personal information on a regular basis? |  |  |  | *Indicate how often and the method of communication used to prompt the updates.* |
| Are changes in employee status actively recorded? |  |  |  | *These may include promotions, changes in pay, changes in address or emergency contact information, and leaves of absence.* |
| Is there a procedure to ensure that new employees receive the first paycheck on time, that benefits begin on the first day of the benefits plan and that benefit premiums are deducted from employee paychecks on the correct paycheck date? |  |  |  |  |

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| **Access to HR information** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is access to the organization's HR information system and personnel files appropriately controlled and monitored? |  |  |  |  |
| Is there a procedure to ensure that new employee information and/or changes to employee personnel information are given to the necessary positions in HR and payroll? |  |  |  |  |

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| **Personnel files** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are managers and employees trained about proper use of or access to personnel files? |  |  |  |  |
| Are personnel files stored in a controlled and secure location? |  |  |  | *Indicate where.* |
| Are relevant documents maintained separately from personnel files? |  |  |  | *Examples include:*   * *I-9s and any copies of identification* * *Investigation notes and reports* * *Drug test or background check results* * *Payroll records containing Social Security numbers or other protected information, including W-4s and garnishments* * *Medical records* * *Records that include protected information, such as birth date, marital status, religious beliefs and so on* * *Benefit enrollment forms* * *Beneficiary and benefit claim forms* * *Leave of absence documentation* * *Disability or workers' compensation documentation* |
| Is there a policy for shadow personnel files, including appropriate retention and storage requirements? |  |  |  | *Shadow personnel files might be necessary if your organization has more than one location.* |
| If yes, are shadow files kept in a different location than the original files? |  |  |  |  |

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| **Legal requirements** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is a specific position responsible for ensuring that the organization's HR information system and employee documentation meet all legal requirements? |  |  |  |  |
| Are personnel or employment records maintained for the required duration, based on guidelines from the Equal Employment Opportunity Commission? |  |  |  |  |
| Are managers and employees trained to document employment matters (to avoid risks of documenting too little or too much)? |  |  |  |  |
| Is there a procedure for destroying confidential or private information that's no longer required? |  |  |  |  |

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