

**HR audit checklist: Employee and labor relations**

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| **Labor management philosophy** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is the organization’s philosophy on labor relations clearly communicated to managers? |  |  |  |  |
| Are key leaders informed and supportive of labor management strategies and goals? |  |  |  |  |

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| **Performance evaluation** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is there a consistent process for performance evaluation? |  |  |  |  |
| If yes, is the effectiveness of performance evaluations regularly evaluated? |  |  |  | *Indicate how often and by which position.* |
| Do managers gather data for performance evaluations throughout the review period or at regular intervals? |  |  |  |  |
| If yes, does this documentation include both positive and negative occurrences? |  |  |  |  |
| Do performance evaluations include a written plan to improve the employee's knowledge and skills? |  |  |  |  |
| Do performance evaluations establish clear objectives, expectations and performance measurement criteria linked to the specific job? |  |  |  |  |
| Are employees asked to complete a self-assessment as part of the evaluation? |  |  |  |  |
| Are self-assessments and completed performance evaluations evaluated? |  |  |  | *Indicate by which position.* |

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| **Workload** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is quality and quantity of work regularly evaluated? |  |  |  | *Indicate how often and by which position.* |
| Is work-life balance supported consistently for all employees? |  |  |  |  |

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| **Workplace policies** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are workplace policies flexible? |  |  |  |  |
| Are disciplinary actions for violating workplace policies flexible? |  |  |  |  |

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| **Random background and drug checks** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Does the organization conduct random criminal background checks and/or drug tests? |  |  |  |  |
| If yes, is the random system applied fairly and consistently? |  |  |  |  |
| If random checks are required for certain job positions only, is the reason justified and appropriately documented? |  |  |  | *Justification may include requirements of a client contract or employer's auto insurance plan.* |

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| **Complaints** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is there an established process for employees to log complaints? |  |  |  |  |
| Are employees able to lodge complaints with various people? |  |  |  | *These might include a supervisor, HR representative or other leader.* |
| Is there a whistleblower policy? |  |  |  |  |

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| **Accommodations** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is there an established policy for handling accommodations? |  |  |  | *A team may be assigned responsibility for accommodations, including reviewing requested accommodations, discussing options for accommodation, and recommending methods for overcoming workplace and job-related barriers and impediments.* |
| Are managers trained to report employee accommodations to the HR department or functional unit? |  |  |  |  |

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| **Unions and collective agreements** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Does the organization have any unions? |  |  |  |  |
| If yes, are the covered positions clearly documented? |  |  |  |  |
| Does the organization have any collective agreements? |  |  |  |  |
| If yes, are expiration dates clearly documented? |  |  |  |  |

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| **Voluntary termination** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is there a voluntary termination process? |  |  |  |  |
| If yes, does it detail the appropriate termination procedures? |  |  |  | *These may include who to notify prior to the termination, how to notify the rest of the staff, and the time frame for revoking a former employee's access to organization email, software or other systems.* |
| Is there a voluntary termination checklist? |  |  |  |  |
| Are exit interviews conducted? |  |  |  | *Indicate by which position.* |
| After voluntary termination, are work spaces and equipment inspected to ensure all files and other organization assets are intact? |  |  |  | *Indicate by which position.* |
| After voluntary termination, is the terminated employee's electronic and physical access to the workplace immediately disconnected? |  |  |  | *Indicate by which position. This includes keys; key cards; company-issued credit cards and electronic devices; and passwords to computers, programs and software.* |

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| **Involuntary termination** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is there an involuntary termination process? |  |  |  |  |
| If yes, does it detail the appropriate termination procedures? |  |  |  | *These may include who to notify prior to the termination, how to notify the rest of the staff, and the time frame for revoking a former employee's access to organization email, software or other systems.* |
| Is there an involuntary termination checklist? |  |  |  |  |
| Are all possible alternatives considered before involuntary termination? |  |  |  | *These may include reassignment, early retirement or voluntary termination.* |
| Is documentation about employee performance or behavior required to support involuntary termination decisions? |  |  |  | *Prior disciplinary actions should be documented in writing.* |
| Is a termination review considered before approving or processing an involuntary termination to detect potential legal issues? |  |  |  | *Legal issues may include an impending or threatened lawsuit, a formal complaint or grievance filed against the organization, a worker’s compensation claim or a known disability.* |
| Is a witness present for involuntary termination meetings? |  |  |  |  |
| Are the necessary state termination forms presented to the employee (if required by state law)? |  |  |  |  |
| After involuntary termination, are work spaces and equipment inspected to ensure all files and other organization assets are intact? |  |  |  | *Indicate by which position.* |
| After involuntary termination, is the terminated employee's electronic and physical access to the workplace immediately disconnected? |  |  |  | *Indicate by which position. This includes keys; key cards; company-issued credit cards and electronic devices; and passwords to computers, programs and software.* |

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| **Final payment** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is there a policy for final payment to employees who resign? |  |  |  |  |
| If yes, has the policy been verified for compliance with the Employee Retirement Income Security Act (ERISA)? |  |  |  |  |
| Is there a policy for final payment to employees who've been involuntarily terminated? |  |  |  |  |
| If yes, has this policy been verified for compliance with ERISA? |  |  |  |  |
| Is severance pay provided upon termination, layoff, resignation or discharge? |  |  |  |  |
| If yes, has this policy been verified for compliance with ERISA? |  |  |  |  |
| Are final paychecks issued in accordance with state and/or federal laws? |  |  |  |  |

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| **Employment verification** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is there an employment verification or reference policy? |  |  |  |  |
| If yes, does it address the relevant factors? |  |  |  | *These may include information that can be provided (or not), approved methods of employment verification (such as by phone, email, fax and/or mailed hard copy), expected response time, and whether written permission is required by the active or inactive employee.* |
| Is a specific position responsible for completing employment verifications? |  |  |  | *Indicate which position.* |
| Are employees who are terminating, either voluntarily or involuntarily, reminded of the employment verification or reference policy during the termination or separation meeting? |  |  |  |  |

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