

**HR audit checklist: Strategic management**

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| **HR department or functional unit** |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Has a department or functional unit been assigned accountability for HR activities? |  |  |  |  |
| Is there open communication between the HR department or functional unit and the rest of the organization? |  |  |  |  |
| Are HR goals in line with those of the organization? |  |  |  |  |
| Does the HR department or functional unit have a mission, vision or values statement that clearly describes the department's purpose in the organization?  |  |  |  |  |
| If yes, has the statement been coordinated with the organization's mission, vision or values statement? |  |  |  |  |

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| **Succession planning** |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is a succession plan in place? |  |  |  |  |
| If yes, are the key decision makers directly involved in the planning process? |  |  |  |  |
| Is the succession plan carefully monitored and updated as needed? |  |  |  | *Indicate how often and by which position.* |

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| **Mission, vision and value statements** |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Does the organization have a mission statement, and has it been published or otherwise communicated to employees? |  |  |  |  |
| Does the organization have a vision statement, and has it been published or otherwise communicated to employees? |  |  |  |  |
| Does the organization have a values statement, and has it been published or otherwise communicated to employees? |  |  |  |  |
| Are the mission, vision and values statements regularly reviewed? |  |  |  | *Indicate how often and by which position.* |

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| **Strategic planning** |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is a strategic plan in place? |  |  |  |  |
| If yes, does the strategic plan include objectives for the HR department or functional unit and the organization's projected workforce requirements? |  |  |  |  |
| Does the HR department or functional unit have a strategic plan? |  |  |  |  |
| If yes, is the plan coordinated with the organization's strategic plan? |  |  |  |  |
| Is an HR representative involved in the organization’s strategic planning process? |  |  |  |  |

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| **Tactical planning** |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is a tactical plan in place? |  |  |  |  |
| If yes, does the tactical plan include objectives for the HR department or functional unit? |  |  |  |  |
| Does the HR department or functional unit have a tactical plan? |  |  |  |  |
| If yes, is the plan coordinated with the organization's tactical plan? |  |  |  |  |
| Is an HR representative involved in the organization’s tactical planning process? |  |  |  |  |

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| **Working hours** |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are workweeks clearly defined, including beginning and ending days? |  |  |  |  |
| Are workday and workweek hours clearly defined? |  |  |  |  |
| Are full-time and part-time hours clearly defined? |  |  |  |  |
| Do any employees work more than six days in a week? |  |  |  |  |
| If yes, are the circumstances clearly defined? |  |  |  |  |
| Is there a policy for authorization of work beyond regular work hours? |  |  |  |  |
| If yes, is the overtime authorization policy regularly monitored and properly enforced? |  |  |  |  |
| Are employees notified of overtime work in a clear and consistent manner? |  |  |  |  |
| Are overtime hours properly recorded? |  |  |  |  |
| Is there a flex-time policy? |  |  |  |  |
| If yes, is the flex-time policy properly documented? |  |  |  |  |
| Are employees notified of flex-time opportunities in a clear and consistent manner? |  |  |  |  |

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| **Shifts** |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are shifts clearly defined? |  |  |  |  |
| Do all employees work the same shift? |  |  |  |  |
| If no, how are shift assignments made? |  |  |  |  |
| Are shifts clearly defined, including beginning and ending times?  |  |  |  |  |

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| **Break times and meal periods** |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are break times or meal periods provided? |  |  |  |  |
| If yes, are timing and duration clearly defined? |  |  |  |  |
| Are break times or meal periods recorded? |  |  |  |  |
| Does local law permit an employee's voluntary waiver of a break time or meal period? |  |  |  |  |
| Are any employees required to eat on the job? |  |  |  |  |
| If yes, are legal requirements for on-the-job meal periods met? |  |  |  |  |

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