

**HR audit checklist: Workforce planning and selection**

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| **Workforce planning** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are formal workforce plans in place? |  |  |  |  |
| If yes, are the workforce plans consistent with the organization's objectives? For example, is the organization overstaffed or understaffed? Are the backup personnel adequate? Is talent appropriately distributed? |  |  |  |  |
| Are the workforce plans updated regularly? |  |  |  | *Indicate how often and by which position.* |
| Are planning techniques in place for both short-term and long-term staffing goals? |  |  |  |  |
| If yes, are the planning criteria appropriate for determining the organization's needs? |  |  |  |  |
| Do planners work closely with department heads? |  |  |  |  |

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| **Employee classification and designation** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are employees correctly designated as exempt or nonexempt, and is this information clearly communicated to employees? |  |  |  |  |
| Is the total number of employees regularly tracked? |  |  |  |  |
| Is the total number of employees tracked by full-time status, part-time status or temporary status? |  |  |  |  |
| Does the organization have employees in multiple states? |  |  |  |  |
| If yes, are state-specific employment laws regularly monitored? |  |  |  | *Indicate how often and by which position.* |
| Is there an organizational chart? |  |  |  |  |
| If yes, is it regularly updated and communicated to employees? |  |  |  |  |

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| **Recruitment practices** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are primary recruitment sources (such as advertising, internal referrals, employment agencies or executive search firms) in place? |  |  |  |  |
| Is the annual cost of each recruitment source tracked and monitored? |  |  |  | *Indicate how often and by which position.* |
| Is there an internal referral program and/or formal internal posting program? |  |  |  |  |
| If yes, are referral policies clearly documented and communicated to employees? |  |  |  |  |
| Do recruiting procedures ensure fairness, consistency and quality in hiring? |  |  |  |  |
| Are applicants given a realistic picture of the position to be filled? |  |  |  |  |
| Are selection determinations appropriately communicated to candidates? |  |  |  |  |
| Is there a formal hiring approval process? |  |  |  |  |
| If yes, it is consistently administrated and communicated? |  |  |  |  |
| Is a resume or candidate tracking system in place? |  |  |  |  |

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| **Employment applications** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are all applicants required to fill out and sign an application form? |  |  |  |  |
| If yes, is the application form updated regularly? |  |  |  |  |
| Is there a written policy explaining how long applications will be considered active, and when and how application forms can be updated? |  |  |  |  |
| Does the application form have any disclaimers? |  |  |  | *These may include statements about falsification or omission of information leading to refusal to hire or to summarily discharge.* |
| Does the application form refrain from requesting protected information? |  |  |  | *These may include questions about age, weight, height and military status — unless related to a true occupational qualification — as well as sex, sexual orientation, preferences or practices, marital status, pregnancy status, number of children, need for childcare arrangements, high school attendance dates, religious affiliation, general health status, memberships to or attitude about trade unions or employee groups, citizenship status and arrest records.* |

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| **Affirmative action** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are selection processes in compliance with applicable laws? |  |  |  | *These may include Equal Employment Opportunity Commission uniform guidelines on employee selection.* |
| Has the organization determined whether an affirmative action plan is required? |  |  |  |  |
| If yes, is the plan tailored to meet the organization's objectives? |  |  |  |  |
| If no, how often is the need evaluated to make sure the responsibility hasn't changed? |  |  |  |  |
| Is a specific position responsible for the affirmative action plan? |  |  |  | *Indicate which position.* |
| Are applicants asked to voluntarily identify their affirmative action information? |  |  |  |  |
| Are new hires invited to self-identify for documentation purposes? |  |  |  |  |

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| **Job descriptions** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are job descriptions available for all positions? |  |  |  |  |
| Are job descriptions regularly reviewed? |  |  |  | *Indicate how often and by which position.* |
| Is there a process for creating job descriptions for new positions? |  |  |  |  |
| Is the need for new job descriptions regularly monitored? |  |  |  |  |
| Do job descriptions clearly specify the appropriate details? |  |  |  | *These typically include classification and position type, expected working hours, salary grade or pay range, job summary or purpose, essential job functions, competencies, qualifications and requirements, work environment, physical demands, travel requirements, and other duties and functions.* |

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| **Interviews** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are hiring managers and interviewers trained to conduct interviews? |  |  |  |  |
| Are standard forms, processes and scripted interview questions provided to these staff members? |  |  |  |  |

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| **Background and reference checks** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are applicant identities, criminal backgrounds and credit reports checked? |  |  |  |  |
| Are references checked? |  |  |  |  |
| Are drug tests done? |  |  |  |  |
| If yes, are the appropriate disclosure and authorization forms signed by the applicant? |  |  |  |  |
| If these steps are required for certain positions only, is the reason justified and appropriately documented? |  |  |  | *Justification may include requirements of a client contract or employer's auto insurance plan.* |
| Are laws regarding applicant criminal background and credit report checks actively monitored? |  |  |  | *Indicate how often and by which position.* |

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| **Workforce statistics** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is the number of new hires tracked and monitored? |  |  |  |  |
| Is the number of vacancies filled by internal transfers or promotions tracked and monitored? |  |  |  |  |
| Is the number of offers made tracked and monitored? |  |  |  |  |
| Is the ratio of interview/offer/acceptance tracked and monitored? |  |  |  |  |

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| **Independent contractors** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are independent contractors routinely hired? |  |  |  |  |
| If yes, are independent contractors accurately identified? |  |  |  |  |
| Are independent contractors covered by a written contractor agreement? |  |  |  |  |
| Is independent contractor status appropriately verified? |  |  |  |  |

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| **Volunteers** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is there a volunteer handbook and policy and, if yes, is it in compliance with applicable labor laws? |  |  |  | *These include labor laws from the Federal Labor Standards Act and U.S. Department of Labor.* |
| Is the volunteer handbook kept separate from the employee handbook? |  |  |  |  |
| Are position descriptions available for volunteer roles? |  |  |  |  |
| Does the volunteer agreement emphasize volunteer status and make it clear that no compensation will be provided and no benefits should be expected? |  |  |  |  |
| Are employees allowed to perform volunteer work for the organization? |  |  |  |  |
| If yes, are employee volunteers treated in compliance with applicable labor laws? |  |  |  |  |
| Are hours worked by nonexempt employees who also perform volunteer work tracked to ensure appropriate compensation? |  |  |  |  |
| Are volunteer files kept separately from employee files? |  |  |  |  |
| Are the appropriate factors used to evaluate volunteer opportunities both before and during the volunteer's activity period (such as working under the supervision of, rather than replacing, existing staff)? |  |  |  |  |

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| **Interns** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is there an intern handbook and policy and, if yes, is it in compliance with applicable labor laws? |  |  |  | *These include labor laws from the Federal Labor Standards Act and U.S. Department of Labor.* |
| Is the intern handbook kept separate from the employee handbook? |  |  |  |  |
| Are position descriptions available for intern roles? |  |  |  |  |
| Does the intern agreement emphasize intern status and make it clear that no compensation will be provided and no benefits should be expected? |  |  |  |  |
| Are intern files kept separately from employee files? |  |  |  |  |
| Are the appropriate factors used to evaluate intern opportunities both before and during the intern's activity period (such as working under the supervision of, rather than replacing, existing staff)? |  |  |  |  |

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| **Skills shortages and outsourcing** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Are critical skills shortages actively monitored? |  |  |  | *Indicate how often and by which position.* |
| Are there any outsourcing arrangements? |  |  |  |  |
| If yes, are the arrangements regularly reviewed? |  |  |  | *Indicate how often and by which position.* |

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| **Non-compete agreements** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Does the organization use non-compete agreements? |  |  |  |  |
| If yes, are there appropriate policies to protect the organization from solicitation by employees or former employees of clients? |  |  |  |  |
| Are the agreements narrowly tailored to protect the organization's interests? |  |  |  |  |

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| **File retention** | | | | |
|  | **Yes** | **No** | **In Progress** | **Observations** |
| Is there a policy for storing and purging employment files? |  |  |  |  |
| If yes, are files maintained and purged in accordance with the policy? |  |  |  |  |

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