CHECKLIST | HUMAN RESOURCES ISSUES TO CONSIDER

Presented by Casimere Insurance Services

HR audits are essential for companies to ensure that they are avoiding any legal or regulatory liability associated with their HR policies and practices. In addition, audits can provide the opportunity to benchmark your strategies and practices against the best practices of other companies in your industry.

Use this checklist as a way to assess possible issues before an audit. Simply check yes or no in response to the questions asked.

LEGAL REQUIREMENTS AND COMPLIANCE	YES	NO
Are you an applicable large employer (ALE) under the Affordable Care Act (ACA)?	☐	☐
Are you considered a small business under federal law?	☐	☐
Are you familiar with the laws and regulations that apply to an organization of your size?	☐	☐
Is your organization in compliance with ACA provisions?	☐	☐
Does your organization have questions about your obligations under the ACA?	☐	☐
Is your organization familiar with the rules and regulations imposed by HIPAA?	☐	☐
Does your organization have questions regarding HIPAA?	☐	☐
Has your organization had a HIPAA data breach in the past three years?	☐	☐
Does your organization train employees on the proper storage and protection of health information, as it applies to HIPAA?	☐	☐
Does your organization have a program in place to effectively respond to a HIPAA data breach?	☐	☐
Is your organization familiar with its responsibilities under the ADA?	☐	☐
Does your organization have questions regarding the ADA?	☐	☐
Does your organization have policies and procedures in place to ensure its compliance with the ADA?	☐	☐
Is your organization familiar with its responsibilities under the FMLA?	☐	☐
Is your organization keeping up with the ever-changing rules under the FMLA?	☐	☐
Does your organization have questions about the FMLA?	☐	☐
Is your organization familiar with its responsibilities under the FLSA?	☐	☐
Is your organization keeping up with the ever-changing rules under the FLSA?	☐	☐
Does your organization have questions about the FLSA?	☐	☐
Is your organization prepared for a DOL audit?	☐	☐
Is your organization familiar with its responsibilities under ERISA?	☐	☐
Does your organization have questions about ERISA's rules?	☐	☐
Do you have a system in place to ensure that your policies and procedures are up to date with legal developments when they occur?	☐	☐

HR GENERAL QUESTIONS	YES	NO
Is your management personnel trained in human resources practices and compliance with company policies and the law?	☐	☐
Do you have an up-to-date, comprehensive employee handbook?	☐	☐
Is your handbook readily available to employees?	☐	☐
Have you reviewed and updated your sexual harassment policy and procedure within the last year?	☐	☐
Do you know which drug testing methods detect opioids and which do not?	☐	☐
Are you offering employees flexible work hours at least some of the time?	☐	☐
Have you discussed gender inequality and wage issues openly with your workforce to encourage a constructive dialogue?	☐	☐
Is your organization active in strategic benefit planning based on your employees' unique needs?	☐	☐
Do you provide employees with year-round benefits communications?	☐	☐
Are you proactively offering stress management and mental health resources to employees?	☐	☐
Have you adapted your intern policy to accommodate trending hiring practices?	☐	☐
Are employees instructed on creating strong passwords and the best practices for using them, like not repeating passwords used for personal email accounts?	☐	☐
Are employees provided with resources for maintaining their health while still fulfilling their job duties?	☐	☐
Do you regularly engage with employees through consistent communication, like monthly newsletters?	☐	☐
Are you using social media to offer employees another route for having their HR questions answered?	☐	☐

RECRUITING, INTERVIEWING AND ONBOARDING	YES	NO
Does your organization have a recruitment marketing strategy?	☐	☐
Does your organization use social media to attract job applicants?	☐	☐
Does your organization use online communities to attract job applicants?	☐	☐
Does your organization use job boards to attract job applicants?	☐	☐
Does your organization use employee referral programs for filling open positions?	☐	☐
Does your organization try to recruit from within to fill open positions?	☐	☐
Does your organization have best practices in place for conducting conversations with job applicants?	☐	☐
Does your organization have well-written job descriptions?	☐	☐

	YES	NO
Are your organization's job descriptions compliant with nondiscrimination, disability and equal employment opportunity laws?	☐	☐
Does your organization annually review its job descriptions?	☐	☐
Does your organization have a prewritten list of interview questions to ask applicants?	☐	☐
Does your organization conduct prescreening interviews prior to bringing a candidate to interview with hiring managers?	☐	☐
Does your organization understand what interview questions are illegal to ask under federal law?	☐	☐
Does your organization understand what interview questions are illegal to ask under your state's laws?	☐	☐
Does your organization conduct background checks prior to making an offer of employment?	☐	☐
Does your organization conduct drug testing prior to making an offer of employment?	☐	☐
Does your organization use an objective candidate evaluation checklist to vet candidates?	☐	☐
Do you follow up with candidates regardless of whether or not they got the job?	☐	☐
Are new hires assigned a mentor within the first two days of starting?	☐	☐
Does your organization provide welcome gifts to new employees?	☐	☐
Do you have a standardized onboarding plan that all new hires must complete?	☐	☐
Do you have onboarding plans that differ between each new hire?	☐	☐
Does your training program include activities that will hold new hires' interest?	☐	☐
Is your training program technology-based?	☐	☐
Does your organization use technology to track a new hire's progress?	☐	☐
Do you hold meet-and-greet events for new employees to meet existing employees?	☐	☐
Do you survey new hires' satisfaction with their onboarding experience?	☐	☐
Are new hires given a packet of necessary documents on their first day, including HR forms, a training schedule, contact lists and software logins?	☐	☐
Do new hires have a time set at least once a week to meet with their managers and ask questions during the onboarding experience?	☐	☐
Does your organization communicate onboarding goals and metrics to new hires?	☐	☐

RETENTION	YES	NO
Does your organization conduct audits to determine your employee retention rate?	☐	☐
Does your organization have a retention strategy in place?	☐	☐
Does your organization conduct benchmarking to determine how your benefits stack up against those of your competition?	☐	☐
Does your organization conduct employee engagement surveys?	☐	☐

Does your organization conduct workplace satisfaction surveys?	☐	☐
Do you regularly check in with employees to ensure they feel comfortable and included in the workplace environment?	☐	☐
Does upper management regularly communicate company information and decisions to employees?	☐	☐
Does your organization provide and discuss career planning opportunities with employees?	☐	☐
Does your organization offer incentives beyond health benefits to employees?	☐	☐
Do you monitor the market to ensure that top performers are appropriately compensated?	☐	☐
Have you reviewed employee pay scales within the last three years?	☐	☐
Do you have a strategy in place for when a top performer comes to you with another offer?	☐	☐

WORKPLACE CULTURE AND FLEXIBILITY	YES	NO
Does your organization focus on cultivating its culture?	☐	☐
Does your organization know the difference between a strong and weak company culture?	☐	☐
Do you promote your culture within your organization and to job applicants?	☐	☐
Do you throw companywide events for employees?	☐	☐
Does your organization recognize and reward valuable employee contributions?	☐	☐
Does your organization have an employee recognition program in place?	☐	☐
Does your organization encourage employee autonomy?	☐	☐
Does your organization provide regular and timely feedback?	☐	☐
Does your organization embrace workplace transparency?	☐	☐
Does your organization promote professional relationships?	☐	☐
Does your organization have a mentoring program in place?	☐	☐
Does your organization offer "soft" benefits like wellness incentives, voluntary benefits, child care benefits and fringe benefits?	☐	☐
Do you want to offer a flexible workplace to your workforce?	☐	☐
Does your culture support workplace flexibility?	☐	☐
Do you offer a flextime policy that aligns with your company's goals?	☐	☐
Do you communicate your flexible scheduling options to your employees?	☐	☐
Do you offer a telecommuting policy that aligns with your company's goals?	☐	☐
Do you offer an unlimited paid time off (PTO) policy that aligns with industry standards?	☐	☐
Do you have an alternate scheduling policy that aligns with your company's goals?	☐	☐
Do you offer resources or programs to full- or part-time employees who are also caregivers?	☐	☐

EMPLOYEE BENEFITS AND POLICIES	YES	NO
Does your organization have clearly defined employee classifications?	☐	☐
Is your organization's compensation for both exempt and nonexempt employees in compliance with federal and state wage and hour laws?	☐	☐
Does your organization track time worked, meals, break and rest periods?	☐	☐
Does your organization communicate time worked, meals, break and rest period rules to employees?	☐	☐
Does your organization have a process in place to approve time worked or to make scheduled work time changes?	☐	☐
Does your organization communicate time worked or requested time changes, expectations and policies to employees?	☐	☐
Does your organization have a written policy for absenteeism and punctuality?	☐	☐
Does your organization communicate the absenteeism and punctuality policy to employees?	☐	☐
Does your organization have written PTO policies?	☐	☐
Does your organization communicate PTO policies to employees?	☐	☐
Does your organization have summary plan descriptions for your group health plans?	☐	☐
Does your organization communicate its benefits plans to eligible employees?	☐	☐
Does your organization have group health plans that meet the design, notification, nondiscrimination and recordkeeping requirements of federal laws like ERISA?	☐	☐
Does your organization offer benefits and wellness plans that are in compliance with HIPAA?	☐	☐
Does your organization offer group health plans that comply with the plan design, notification and recordkeeping requirements under the ACA?	☐	☐
Does your organization offer retirement plans, such as a pension, 401(k), 403(b), that comply with ERISA?	☐	☐
Does your organization define its discretionary bonus and benefits plans?	☐	☐
Does your organization have a policy that discusses leaves of absences, including pregnancy, disability and military leave?	☐	☐
Does your organization have a policy on FMLA leave?	☐	☐
Do you regularly send benefits descriptions to employees at least a month before open enrollment?	☐	☐
Does your organization conduct an in-person benefits meeting with employees prior to enrollment?	☐	☐
Do you provide employees with videos that explain their benefits in easy-to-understand terms?	☐	☐
Do employees receive clear instructions and reminders so they go through open enrollment on time?	☐	☐
Are employees sent informative articles about their benefits options to pre-empt any questions?	☐	☐

Are you offering health and wellness communications to employees in addition to traditional benefits information?	☐	☐
Do employees know about all the ways your organization invests in their benefits?	☐	☐
Do you send employees benefits communications through methods besides email, like mail-home flyers, printed articles or payroll stuffers?	☐	☐
Are employees given a clear point person for all their benefits questions?	☐	☐
Do you offer more than one method for answering employee benefits questions, like a designated email address, in-person office hours or a distributed questionnaire?	☐	☐

EMPLOYEE COMMUNICATIONS	YES	NO
Do you offer monthly newsletters on topics employees find interesting?	☐	☐
Do employees receive easy-to-understand descriptions of their benefits prior to open enrollment?	☐	☐
Does your organization hold in-person, all-staff meetings at least once a year?	☐	☐
Are your internal communications written so that everyone can easily understand them?	☐	☐
Are employees kept up to date on important news regarding the company, like mergers, executive-level structure changes or open positions?	☐	☐
When relaying important news, do you set aside time for employee questions and feedback?	☐	☐
Have you surveyed employees in the past two years about their preferred methods of communication?	☐	☐
Do employees receive praise in a semi-public forum, like a team meeting or an all-company email?	☐	☐
Are employee promotions announced to individuals outside of the immediate department?	☐	☐
Does your organization have a year-round communication campaign?	☐	☐

EMPLOYEE WELLNESS AND STRESS MITIGATION	YES	NO
Are educational wellness posters featured visibly around the office?	☐	☐
Do employees have access to health care education materials?	☐	☐
Does your organization utilize wellness programs or initiatives that are focused on employee health?	☐	☐
Does your organization offer any disease management programs?	☐	☐
Do you offer disease management resources?	☐	☐
Does your organization offer any nutritional education programs?	☐	☐
Is your organization doing enough to lower employee stress?	☐	☐
Is your organization actively promoting smoking cessation practices?	☐	☐
Has your organization recently benchmarked its wellness programs against industry competitors?	☐	☐

Has your organization ever conducted a health fair?	☐	☐
Do you communicate regularly with employees about ways to stay healthy?	☐	☐
Do you provide employees with general stress mitigation tips?	☐	☐
Do you offer an employee assistance program (EAP)?	☐	☐
Do you offer a flexible office or PTO policy that aligns with your company's goals?	☐	☐
Do you have an effective plan to communicate business or benefits changes to employees?	☐	☐
Do you offer competitive compensation?	☐	☐
Do you offer a retirement plan?	☐	☐
Do you provide employees with the resources to make wise health care decisions?	☐	☐
Do you offer health and wellness resources?	☐	☐

HEALTH CARE CONSUMERISM AND HR	YES	NO
Are you offering employees resources to make them smarter health care consumers?	☐	☐
Do you provide detailed information on employee health benefits?	☐	☐
Are you poised to answer any employee health care questions?	☐	☐
Have you discussed or researched alternative plan designs, like an HSA, FSA or HRA?	☐	☐
Are you providing employees with varied plan designs to fit their unique health care needs?	☐	☐
Are your health care offerings competitive for your industry?	☐	☐
Has it been over a year since you last reviewed your benefits package?	☐	☐
Has it been over a year since your last health care compliance audit?	☐	☐
Is your company investing in employee wellness?	☐	☐
Are you prepared to adapt to potential health care changes?	☐	☐
Do you understand your company's legal obligations under the HIPAA Privacy Rules?	☐	☐
Does your broker provide you with applicable enrollment forms?	☐	☐
Do you have access to important HR tools, such as surveys, checklists, interviews, applications, letters and forms?	☐	☐
Have you ever conducted an employee satisfaction survey?	☐	☐
Does your broker supply an annual report or review that demonstrates the value they provided that year?	☐	☐

CYBER RISK MANAGEMENT	YES	NO
Does your organization have a wireless network?	☐	☐
Do your employees access internal systems from remote locations?	☐	☐
Does your organization use cloud-based software?	☐	☐
Does your organization have a "bring your own device" policy that allows employees to use personal devices for business use or on a company network?	☐	☐
Are any employees allowed to access administrative privileges on your network or computers?	☐	☐
Does your organization have critical operational systems connected to a public network?	☐	☐
Does anyone in your organization use computers to access bank accounts or initiate money transfers?	☐	☐
Does your organization store sensitive information that could potentially compromise your organization if stolen?	☐	☐
Does your organization digitally store the personally identifiable information of employees or customers?	☐	☐
Is your organization part of a supply chain?	☐	☐
Does your organization conduct business in foreign countries?	☐	☐
Does your organization have enforceable policies regarding the acceptable use of computers, email and the internet?	☐	☐
Can the general public access your office without the use of an ID card?	☐	☐
Does your organization conduct mandatory cyber security training for employees?	☐	☐
Can employees use their computers without regularly updating passwords?	☐	☐
Does your organization have anti-virus software?	☐	☐
Does your organization conduct regular vulnerability checks?	☐	☐
Would your organization lose critical information in the event of a system failure?	☐	☐
Has your organization reviewed its cyber security policies within the past year?	☐	☐

OPIOID RISK MANAGEMENT	YES	NO
Does your organization have an EAP that offers substance abuse services?	☐	☐
Have you reviewed your internal substance abuse policies within the last two years?	☐	☐
Have you discussed prescription drug limits with your pharmacy benefit manager and/or carrier?	☐	☐
Are you regularly engaging with employees about the dangers of prescription opioids?	☐	☐
Have you reviewed substance abuse training for managers within the last two years and adjusted for the newfound prominence of prescription painkillers?	☐	☐
Are your internal policies up to date, especially those concerning FMLA and the ADA?	☐	☐

Have your policies been reviewed by legal counsel to account for an increasing need for substance abuse rehabilitation services?	☐	☐
Have you reviewed your substance abuse testing procedures within the last year?	☐	☐
Do you offer pain management solutions besides prescription opioids, like acupuncture, physical therapy and over-the-counter alternatives?	☐	☐
Have you analyzed your prescription drug benefits to assess exactly how much opioids are costing your business?	☐	☐