



Prepping for an HR Audit

To ensure that your audit goes smoothly and efficiently, please have the following items ready for review when the audit begins:

- 5-10 HR files to review (current employees)
- I-9 Binders and verification process (current and former employees)
- Current Handbooks
 - Employee Handbook
 - Other (including state supplements, student/instructor or other job specific handbooks)
 - IIPP (Illness & injury Prevention Program)
 - OSHA Logs, drills, etc. (as required for your type of business)
 - Emergency Action Plan
- New Hire Orientation (sample of forms used, checklist, information given)
- Separation process (checklist, sample documents)
- HR Forms Library
- Training Schedule for mandated CA trainings (e.g. anti-harassment)
- Policy Documents (separate from Handbook)
- Posting area – location of all state/federal labor posters to view
- Benefits Summary – list of benefits offered, brokers used
 - Medical/Dental/Vision
 - Retirement
 - Other (Flex accounts, college savings, etc.)
 - G&L (including Workers Compensation, EPLI and Auto specifics)
- HRIS/Payroll Technology
 - Modules in use
 - Interface / integration challenges (if any)
 - Define current use and “wish list”
 - Payroll - pay frequency
- Planned Organizational Changes that will impact employees
- List of Issues/Challenges that are of immediate concern

The first day will include meetings with key individuals you identify as primarily responsible for human resources compliance within your organization. I will meet with head of department that oversees HR and would like to meet other HR and payroll team members.

Audit process will include these interviews, a review of all HR related documents (all the above plus any additional you currently use), and mapping your internal workflow to get HR related processes completed.

The goal is to provide you with a detailed report of findings, recommendations for improvement, a review of compliance issues that require immediate attention (if found) and the delivery of a forms library that will keep the organization on track. Based on the size of your organization, we will review reporting requirements for compliance.

The length of the audit is dependent on company size; average is 5 business days with one-half day to present debrief report.