



THIS HUMAN RESOURCES SELF-CHECK HAS BEEN DEVELOPED AS A TOOL FOR YOUR ORGANIZATION TO SELF- ASSESS THE STATUS OF YOUR ADMINISTRATIVE HUMAN RESOURCE COMPONENTS. THIS IS NOT MEANT TO SERVE AS A FULL OR LEGAL ASSESSMENT. A FULL HUMAN RESOURCE AUDIT BY A TRUSTED AND PROFESSIONAL SOURCE IS RECOMMENDED.

### HUMAN RESOURCES SELF-CHECK

Date of Self Check \_\_\_\_\_ Company \_\_\_\_\_

Person Completing \_\_\_\_\_ Title \_\_\_\_\_

Company Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Phone \_\_\_\_\_ Fax \_\_\_\_\_ Email \_\_\_\_\_

#### SECTION I-Personnel Policy Review

My company has developed formal written personnel policies and procedures. \_\_\_\_\_yes \_\_\_\_\_no  
 If yes, my company's personnel policies & procedures are revised annually. \_\_\_\_\_yes \_\_\_\_\_no

Place a checkmark in the boxes below if you have a formal written policy for the corresponding subject.  
 (more than just statements in your employee handbook)

SUBJECT	✓	SUBJECT	✓
Employment At Will		Performance Appraisal	
EEO ( <i>Equal Employment</i> )		Grievance or Complaint Resolution	
Anti-Discrimination/Sexual Harassment		FMLA ( <i>50 employees or more</i> )	
ADA ( <i>American's with Disabilities</i> )		Paid and Unpaid Leave	
Progressive Discipline		Safety Compliant w/OSHA and BWC	
Personnel Records/Record Retention		Drug Free Workplace	
Vehicles ( <i>company and employee owned</i> )		Uniforms and Dress	
Lockers and Storage		PPE ( <i>Personal Protective Equipment</i> )	



## SECTION II - Employee Performance Appraisals

Place a checkmark in the boxes below if your performance appraisals meet the criteria listed below.

CRITERIA	✓
Our performance appraisal process is noted in a handbook, and explained in a procedures manual	
We have a performance appraisal form/tool to ensure consistent and fair appraisals	
Our performance appraisal form/tool includes a place for employee input or feedback	
Our performance appraisal form/tool includes an employee development plan	
The employee's development plan is tracked and measured over the course of time until the next appraisal	
Our Managers are formally trained in how to deliver an effective performance appraisal	
Appraisals are done on a regular and communicated schedule and completed in a timely fashion	
Appraisal includes written corrective action and written commendations from the prior year	

## SECTION III- Critical Compliance Review

Place a checkmark in the boxes below if you meet the listed critical compliance criteria listed below.

CRITERIA	✓
My company files an EEO-1 report every September <i>(If you have 100 or more employees)</i>	
My company prepares complete OSHA 300, 300A and 301 forms and posts accordingly	
My company reports payroll data to the Department of Human Services <i>(companies that do own payroll)</i>	
My company's employees are formally identified as exempt or non-exempt / professional, administrative or executive exemptions	
My company has all of the current required posters up and posted in the appropriate places	
My company complies with the Consumer Credit Reporting Act when doing background checks	

### SECTION IV- Personnel File Review

CRITERIA	✓
My company maintains records for every employee	
My company retains job application and candidate interview information for three years	
My company stores health related records for employees separate from personnel files	
My company performs an assessment of our files annually	
My company performs an HR Audit of all functional areas of human resources annually or bi-annually	

### SECTION V- Records Review

Place a checkmark in the boxes below if you have maintained the corresponding records for all of your employees and audit them annually, ensuring presence of files and compliant duration for storage.

SUBJECT	✓	SUBJECT	✓
Job Application		Worker's Compensation Records	
Letter of Employment Offer		Emergency Notification Form	
I-9 and copies of I-9 verification		COBRA acknowledgement signature if you offer health insurance (20 employees or more)	
Position Description		Performance Evaluations	
Corrective Action Documentation		Required Training (Drug Free Workplace, OSHA, annual training, etc.)	
Required Background Checks		Signed certification & release forms (safety, dfwp, sexual harassment, vehicle, etc.)	
Drug & Alcohol testing results and documentation where applicable		Workers' Compensation records & documentation	

## SECTION VI- Employee Benefits

CRITERIA	✓
My company has had a competitive benefit bid/evaluation in the last 12-18 months	
My company has formally compared our plan to other companies like ours ( <i>benchmark</i> )	
My company has had an increase in healthcare premiums less than 15% last renewal	
My company has had the same carrier year after year without formal comparison/bid	

## SECTION VII- Key performance indicators

Place a check in the boxes below if you have a corresponding record

CRITERIA	✓
I have researched/tracked our turnover and it is less than 30%	
I have researched/tracked our turnover and know what positions/levels/units/etc. have X% turnover	
Our unemployment rate is less than 3%	
Our vacancy rate is lower than 20%	
Our Worker's Compensation EMR is 1 or less	
The Company is not eligible for Group Rating for Workers' Compensation	
We have had two or more accidents in the last year at work	
The Company has not had any employee-generated lawsuits	
The Company has not had any employee generated Equal Opportunity or Discrimination/Harassment complaints ( <i>formal or informal</i> )	

This HR Self-Check is not meant to be used in place of a full HR Audit, as it is not inclusive and is general in nature. If you would like to discuss your results, have any questions, and/or are interested in discussing the benefits of a full comprehensive HR Audit, please contact:

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