

Using HR Audits to Reduce Risk, Retain Employees and Improve Profitability

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The webinar will start at 10:00 am CT



Carrie Wiegand, PHR, SHRM-CP
Senior Organizational Consultant

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About the Speaker



Carrie Wiegand, PHR

Senior Organizational Consultant

Experience in variety of HR functions

SHRM-CP

Certified PHR

Meyers-Briggs Type Indicator®
practitioner



Today's Objectives

- ✓ Understand the components of an HR audit and the methods used.
- ✓ Identify the risks and areas for improvement that an HR audit may bring to light.
- ✓ Learn how to use the results of an HR audit to improve an organization.



Polling Question #1

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What is an Audit?

Financial

Regular and systematic examination of an organization's financial documents to verify or correct accounts.

Human Resources

Regular and systematic examination of organizational practices to ensure compliance or contribute to quality improvement.

Financial vs. HR Audit



Financial



Human Resources

Financial vs. HR Audit



Financial



Human Resources



Polling Question #2

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Why Audit?

- Compliance
- Strategy

AUDIT

Breathe Easier



**Know you are doing things correctly,
consistently and fairly.**

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Do Better



- **Attract and retain employees**
- **Improve processes**

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When to Audit

- Change in HR or organizational leadership
- Excessive turnover
- Change in size
- Organizational change



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Polling Question #3

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What to Audit

- Personnel records
- Required employee notices/documentation
- Employment policies
- Managerial practices





Legal Compliance

- ADA & ADAAA
- ADEA
- COBRA
- DOL
- EEOC
- ERISA
- FLSA
- FMLA
- GINA
- HIPAA
- IRCA
- NLRA
- OFCCP
- OSHA
- PDA
- PPACA
- USERRA

Legal Compliance: Recruitment

ADA & ADAAA

ADEA

EEOC

OFCCP

PDA

USERRA



Test Yourself



Legal Compliance: Onboarding

ADA & ADAAA

COBRA

EEOC

ERISA

FMLA

IRCA

OFCCP

OSHA

PPACA

USERRA



Legal Compliance: Pay

ADEA

DOL

EEOC

FLSA

NLRA

OFCCP

USERRA



Test Yourself



Legal Compliance: Benefits

ADEA
COBRA
DOL
ERISA
FMLA
GINA
HIPAA
NLRA
PDA
PPACA
USERRA



Legal Compliance: Policies

ADA & ADAAA

ADEA

EEOC

FLSA

FMLA

NLRA

OFCCP

PDA

USERRA



Test Yourself



Legal Compliance: Performance

ADA & ADAAA

ADEA

EEOC

FMLA

PDA

USERRA



Legal Compliance: Training

ADA & ADAAA

ADEA

EEOC

FMLA

OSHA

PDA

USERRA



Legal Compliance: Termination

ADA & ADAAA

ADEA

COBRA

EEOC

ERISA

FLSA

PDA

USERRA



Case Study: Compliance



HR Strategy



Case Study: Strategy





Polling Question #4

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Implementation

It takes humility to seek feedback. It takes wisdom to understand it, analyze it, and appropriately act on it.

--Stephen R. Covey in "First Things First"

Areas of Focus

- FLSA
- I-9 audits
- EEOC





Top 4 Audit Findings

- Form I-9 improperly completed
- Lack of documentation
- Practice does not match established policy or procedure
- Documents are outdated

Other Considerations

- Employee input
- Legal advice



HRCI Credit



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Thank you!

Carrie Wiegand, PHR, SHRM-CP

Senior Organizational Development Consultant

 carrie.wiegand@aghemployersolutions.com

 www.linkedin.com/in/carriewiegand

 [@carriewiegand](https://twitter.com/carriewiegand)

 316.291.4022

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emily.juhnke@aghlc.com

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