## HR Observation: FY BA: Audit Period: FYTD Completed By:

Human resource audits are to be performed by a member of the Wharton Human Resources team, to ensure compliance with Wharton and University policies or when a suspected infraction has occurred within the unit. The policies listed below are intended for use as a general guide in ensuring the department’s practices follow Wharton and University policies. Any exceptions or deviations identified during the audit will be reported through this document. Following completion of the audit, you will receive an evaluation and rating. Your department head and the Sr. Director of Wharton Human Resources will receive a copy.

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|  | **Employment** | **Observations** | **Completed by** |
|  | * [Employment Advertising](https://www.hr.upenn.edu/myhr/resources/policy/recruitment/employment-advertising)- Policy 102 * [Posting of Position Openings](https://www.hr.upenn.edu/myhr/resources/policy/recruitment/posting-of-position-openings)- Policy 104 * [Staff Requisitioning, Recruitment, Selection, Reference Checks, Employment Offer, and Offer Letters](https://www.hr.upenn.edu/myhr/resources/policy/recruitment/staffrequisitioning)- Policy 101 * [The Hiring Process](https://hr.wharton.upenn.edu/employment/) |  |  |
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|  | **Affirmative Action** | **Observations** | **Completed by** |
|  | * [Equal Opportunity and Affirmative Action](https://www.hr.upenn.edu/myhr/resources/policy/recruitment/equal-opportunity-and-affirmative-action)- Policy 004 * [Affirmative Action Compliance Form](http://www.upenn.edu/affirm-action/docs/online_AACF.pdf) |  |  |
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|  | **Employee Files** | **Observations** | **Completed by** |
|  | * [Confidentiality of Records](https://www.hr.upenn.edu/myhr/resources/policy/other/confidentialityofrecords)- Policy 201 * [Records Retention for HR Files](https://hr.wharton.upenn.edu/records-retention/) |  |  |
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|  | **PTO and Sick Time (u@penn@pobox.upenn.edu)** | **Observations** | **Completed by** |
|  | * [Attendance](https://www.hr.upenn.edu/myhr/resources/policy/timeoff/attendance)- Policy 603 * [Paid Time Off](https://www.hr.upenn.edu/myhr/resources/policy/timeoff/pto)- Policy 607 * [Sick Leave-](https://www.hr.upenn.edu/myhr/resources/policy/timeoff/sick) Policy 612 * [Sick Leave and Paid Time Off Credit for Transferred Staff and/or Staff Whose Position Classification or Grade Changes](https://www.hr.upenn.edu/myhr/resources/policy/timeoff/transferred)- Policy 614 * [Family and Medical Leave (FMLA)-](https://www.hr.upenn.edu/myhr/resources/policy/timeoff/fmla) Policy 631 |  |  |
|  | **Compensation/Payroll** | **Observations** | **Completed by** |
|  | * [Pay Practices and Procedures](https://www.hr.upenn.edu/myhr/resources/policy/compensation/pay-practices)- Policy 307 * [Overtime Compensation and/or Compensatory Time](https://www.hr.upenn.edu/myhr/resources/policy/compensation/overtime)- Policy 302 * [Wharton’s Procedures for Flexible Work Options](https://hr.wharton.upenn.edu/flex-time/) |  |  |
|  | **Temporary Workers** | **Observations** | **Completed by** |
|  | * [Temporary Extra Persons](https://www.hr.upenn.edu/myhr/resources/policy/recruitment/temporary-extra-persons)- Policy 114 * [Access Privileges for Temporary Employees](https://hr.wharton.upenn.edu/access-privileges-for-temporary-employees/) |  |  |
|  | **Staff Relations** | **Observations** | **Completed by** |
|  | * [Staff and Labor Relations](https://www.hr.upenn.edu/myhr/workplaceissues) website * [Confidentiality of Records](https://www.hr.upenn.edu/myhr/resources/policy/other/confidentialityofrecords)- Policy 201 * [Performance Improvement/Discipline](https://www.hr.upenn.edu/myhr/resources/policy/performance/performance-improvement-discipline)- Policy 621 * [Equal Employment and Affirmative Action](https://www.hr.upenn.edu/myhr/resources/policy/recruitment/equal-opportunity-and-affirmative-action)- Policy 004 |  |  |

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|  | **Performance Appraisals** | **Observations** | **Completed by** |
|  | * [Introductory Period](https://www.hr.upenn.edu/myhr/resources/policy/performance/introductory)- Policy 618 * [Performance and Staff Development Guidelines](https://www.hr.upenn.edu/myhr/resources/policy/performance/performance-and-staff-development-program) * [Performance and Staff Development Program](https://hr.wharton.upenn.edu/forms/)- all forms |  |  |

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|  | **Professional Development** | **Observations** | **Completed by** |
|  | * [Performance and Staff Development Program](https://www.hr.upenn.edu/myhr/resources/policy/performance/performance-and-staff-development-program)- Policy 619 * [Professional Development](https://hr.wharton.upenn.edu/professional-development/)- Wharton HR website |  |  |

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| Overall Rating: |  |

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| **Rating Categories** |
| **5** |
| No adverse observations were identified. Processes are functioning as intended and no additional actions are necessary at this time. |
| **3** |
| Minor observation(s) requiring correction were identified. Essentially, the processes are functioning as intended; however, minor changes are necessary to make processes more compliant. |
| **1** |
| Several observations not relating to intentional noncompliance were identified. Immediate actions need to be taken to address the deficiencies noted. |
| **X** |
| Several observations were identified that demonstrated intentional noncompliance. Follow up/re-audit in 6 months. |
| **N/A** |
| Not enough information to rate. Knowledge is up to par. |

Business Administrator Date

Wharton Human Resources Representative Date