

	Current Revision: <i>ver 1.0</i> Policy Number:	
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HUMAN RESOURCES AUDIT.

DOCUMENT APPROVAL

	Name	Signature	Date
Responsible Person:			

Date of Last Review:

Key words:

Reference documents:

Contents:-

1. Conducting a Human Resources Audit

- 1.1 Preliminary Steps
- 1.2 Goals of the Audit
- 1.3 Areas to Audit

2. Sample Audit Questions

- A. Employment Practices
 - B. Hiring: Non-Discrimination
 - C. Hiring: Medical Testing
 - D. Hiring: Psychological testing and other similar assessments
 - E. Hiring: Written Particulars of Employment
 - F. Informing Employees of their Rights
 - G. Keeping of Records
 - H. Payment of Remuneration
 - I. Information about Remuneration
 - J. Job Descriptions
 - K. Application Forms
 - L. Employment Contracts / employee handbooks.
 - M. References
 - N. Employee Evaluations: Performance Appraisals
 - O. Employee Evaluations: Promotions
 - P. Employee Discipline: Rule Infractions (Misconduct)
 - Q. Employee Discipline: Poor Performance
 - R. Employee Discipline: Suspension
 - S. Employee Discipline: Termination
 - T. Post-Termination
 - U. Affirmative Action Measures
 - V. Duty to Inform
 - W. Income Differentials
 - X. Organizational Development Audit
 - Culture
 - Organization
-

- People
- Systems

Y. Internal Human Resources Audit (example)

1. CONDUCTING A HUMAN RESOURCES AUDIT.

Employment law is an ever-changing field. Your policies and procedures must change with the laws if you hope to avoid litigation. Employers are aware that one of the best ways to avoid employee lawsuits is to have a comprehensive policy manual. That's good advice, but it's not enough. You must regularly conduct an employment law / human resources audit to make sure that your policies reflect changes in employment laws.

1.1 PRELIMINARY STEPS

There are two issues that must be considered before implementing an employment law audit:-

- When should the audit take place? And,
- Who should conduct the audit?

Since the Municipality already utilizes a variety of employment-related practices and procedures, the audit should be conducted as soon as possible, if you have never audited such procedures before. After the initial audit, follow-up audits should be conducted annually. When putting together an audit team, include either in-house or outside legal counsel, a representative from Human Resources, and any other individuals needed to represent a cross-section of staff functions. All team members should be warned ahead of time regarding the handling of confidential information.

1.2 GOALS OF THE AUDIT.

The review process should provide answers to several important questions regarding the application of Municipality's policies. The audit's goals are to determine whether your policies are being applied consistently, whether they are the norm for your industry and geographic location, and whether they are consistently communicated to all employees. The audit should also provide insight as to which individuals are responsible for the implementation and enforcement of policies. Finally, it should distinguish between policies that are applicable to nonunion employees, and the terms and conditions of employment for employees who are represented by a labour organization.

1.3 AREAS TO AUDIT.

Most lawsuits can be traced to four distinct stages of the employment relationship: hiring, employee evaluation, employee discipline or termination, and post-employment. Therefore, your self-audit should target these areas. Sample audit questions from each of these four areas appear on the following pages. In addition to these four areas, your employment audit should also target state regulations. Here are a few examples.

1. Review all your labour contract provisions for their impact on employees with disabilities.
2. Review all job specifications for hiring and placement of employees.
3. Review all employment applications for illegal questions dealing with employees
4. Review and prepare all current job descriptions setting forth essential job elements.
5. Review current facilities to ensure accessibility for individuals with disabilities.
6. Review all pre- employment tests.
7. Review all company or organization policies and procedures, in line with any statutory regulations or Acts, any applicable code of good practice in line with the Labour Relations Act 66 of 95 as amended, the Basic Conditions of Employment Act and the Employment Equity Act.
8. Act and the Employment Equity Act.

2. SAMPLE AUDIT QUESTIONS.

Note: The questions provided here represent a sample of what should be included in a human resources audit. This list is not all-inclusive, and should be adapted to meet your specific needs.

A. EMPLOYMENT PRACTICES.

In conducting your human resources audit, an employment policy or practice includes, but is not limited to-

- Recruitment procedures, advertising and selection criteria;
- Appointments and the appointment process;
- Job classification and grading;
- Remuneration, employment benefits and terms and conditions of employment;
- Job assignments;
- The working environment and facilities;
- Training and development;
- Work performance evaluation systems;
- Promotion;
- Transfer;
- Demotion;
- Disciplinary procedures and measures other than dismissal; and also dismissal procedures and measures.

B. HIRING: NON-DISCRIMINATION.

Does the Municipality unfairly discriminate, directly or indirectly, against an employee, in any employment policy or practice, on one or more grounds, including:

- Race
 - Gender
 - Sex
 - Pregnancy
 - Marital status
 - Family responsibility
 - Ethnic or social responsibility
 - Conscience
 - Belief
 - Political opinion
 - Colour
 - Sexual orientation
 - Age
 - Disability
 - Religion
 - HIV status
 - Culture
 - Trade union membership
 - Language
-

Does the Municipality employment practices prohibit the harassment of an employee on any of the grounds mentioned above?

Does your employment policies distinguish, exclude or prefer any person on the basis of an inherent requirement of a job. If so, are such inherent requirements legitimate, objective and easily ascertainable to a third party, such as a Commissioner or an Arbitrator?

C. HIRING: MEDICAL TESTING .

Does the Municipality have requirements for medical testing of employees, and if so,

- Is it permitted in terms of any applicable legislation; or
- Is it justifiable in the light of medical facts, employment conditions, social policy, the fair distribution of employee benefits or the inherent requirements of a job?

D. HIRING: PSYCHOLOGICAL TESTING AND OTHER SIMILAR ASSESSMENTS.

Does the Municipality implement psychological testing and other similar assessments of an employee, and if so, have such test or assessments being used-

- Shown to be scientifically valid and reliable
- Applied fairly to all employees, and
- Not biased against any employee or groups?

E. HIRING: WRITTEN PARTICULARS OF EMPLOYMENT.

Do or have you supplied your employee, when the *employee* commences employment, with the following particulars in writing-

- Your full name and address;
 - The name and occupation of the *employee*, or a brief description of the work for which the employee is employed;
 - The place of work, and, where the employee is required or permitted to work at various places, an indication of this;
 - The date on which the employment began;
 - The employees ordinary hours of work and days of work;
-

- The employees wage or rate and method of calculating wages;
- The rate of pay for overtime work;
- Any other cash payments that the employee is entitled to;
- Any payment in kind that the employee is entitled to and the value of the payment in kind;
- How frequently and when remuneration will be paid;
- Any deductions to be made from the employees remuneration;
- The leave to which the employee is entitled to;
- The period of notice required to terminate employment, or if employment is for a specific period, the date when employment is to terminate (e.g. fixed term contracts by either date or project based);
- A description of any Statutory Council or Sectoral determination (Wage Determination), Collective Agreement which covers the employer's business;
- Any period of employment with a previous employer that counts towards the employee's period of employment;
- A list of any other documents that form part of the contract of employment, indicating a place that is reasonably accessible to the employee where a copy of each may be obtained;
- When any term or condition of employment of an employee changes do you change the written particulars to reflect the change; and do you supply the employee with a copy of the document reflecting the change;
- If an employee is not able to understand the written particulars, do you ensure that they are explained to the employee in a language and in a manner that the employee understands?
- Have you made provision for keeping written particulars of employment of your employees for a period of three years after the termination of employment
- Have you given the Employee a copy of the Employee handbook, rules and regulations or informed the employee in writing where copies of such documentation are available for perusal?

F. INFORMING THE EMPLOYEES OF THEIR RIGHTS.

Do you display at the *workplace* where it can be read by *employees* a summary in the *prescribed* form of the *employee's* rights in terms of the Labour Relations Act, Basic

Conditions of Employment Act, Occupational Health and Safety Act, Collective Agreements, Statutory Council Main Agreements etc in the official languages, which are spoken in the *workplace*.

G. KEEPING OF EMPLOYEE RECORDS.

Do you keep a record of your employees (personnel files) containing at least the following information?

- Your employees name and occupation.
- The time worked by each employee.
- The remuneration paid to each employee and copies of pay slips, schedules of earnings.
- The date of birth of any employee under 18 years of age.
- Are such records kept for a period of three years from the date of the last entry in the record?
- Copies of work performance assessments, job descriptions, key performance areas, objectives to improve on last performance assessment, Performance planning and progress discussions, career planning, training and development courses etc.
- Copies of any disciplinary action taken, minutes of discussion with employees regarding minor misconduct, counseling of employees or warnings issued?
- Annual leave, sick leave, compassionate leave, special leave reconciliation's of such?
- Staff or study loans reconciliation's.
- Documents relating to promotions, demotions and transfers?
- Copies of the letter of appointment and the signed contract of employment.
- Signed copy of a performance agreement.

H. PAYMENT OF REMUNERATION.

Do you pay your employees any remuneration that is paid in money-

- In South African currency; daily, weekly, fortnightly or monthly; and in cash, by cheque or direct deposit into an account designated by the employee?
-

- At the workplace or at least at a place agreed to with the employee; during the employees working hours or within 15 minutes of the commencement or conclusion of those hours; and in a sealed envelope which becomes the property of the employee?
- No later than 7 days after the completion of a period for which the remuneration is payable; or the termination of the contract of employment?
- A detailed statement indicating to the employee how the remuneration is made up?

I. INFORMATION ABOUT REMUNERATION.

Do you provide your employees with the following information in writing on each day the employee is paid or for any pay period?

- Your name and address.
 - Your employees name and occupation.
 - The period for which the payment is made
 - Your employees remuneration in money
 - The amount and purpose of any deduction made from the remuneration
 - The actual amount paid to your employees; and
 - If relevant to the calculation of any employees remuneration-
 - The employees rate of remuneration and overtime rate;
 - The number of ordinary and overtime hours worked by the employee during the period for which the payment is made;
 - The number of hours worked by the employee on a Sunday or Public Holiday during that period; and
 - If an *agreement* to average working time has been concluded in terms of section 12 of the Basic Conditions of Employment Act, the total number of ordinary and *overtime* hours worked by the *employee* in the period of averaging.
-

- Is such written information given to each *employee* at the *workplace* or at a place agreed to by the *employee*; and during the *employee's* ordinary working hours or within 15 minutes of the commencement or conclusion of those hours.

J. JOB DESCRIPTION.

- Do they avoid generalities, vague terms, and professional jargon?
- Are there physical requirements that don't have a direct correlation to the job you describing?
- Is there any language that could be considered sexist?
- Do they consolidate job responsibilities and list the most important ones first?
- Is there any language that discriminates against older employees?
- Are unessential requirements listed that could block the hiring of a person with a disability?
- Do they describe to the employee what need to be accomplished, rather than the method for performing the job?
- Are undesirable working conditions, such as worksite temperatures, noise levels, gasses, fumes, or hazardous materials, and space restrictions listed?
- Are required interpersonal skills explained?
- Is the job function detailed and specified in all instances?
- Does the job description include all key aspects of the job such as – routine tasks, job related and mandatory tasks, managing subordinates and teamwork, targets to be met, individually, departmental and divisional, self development objectives and training.
- Measurement criteria.
- Agreed key performance aspects.
- Does the job description allow for any restraints in achieving the objectives set.

K. APPLICATION FORMS.

- Do you have a written policy explaining how long application will be considered active, and when and how applicants can update them?
 - Do you purge your files on a regular basis in accordance with your policy?
 - Does your application form have the following disclaimers?
-

- Falsification or omission of information can lead to refusal to hire or to summarily discharge?
- Applicant gives employer consent to check references, verify information, and obtain reports from consumer reporting agencies?
- Does your application form ask for any of the following information that **may** be considered discriminatory?
 - Applicant's sex, or sexual preferences, practices or orientation.
 - Applicant's weight or height, unless a bona fide occupational qualification exists?
 - If the applicant is single, married or divorced?
 - If the applicant is pregnant, has children, or must make arrangements for childcare?
 - Applicant's age, other than to determine that the applicant meets minimum state requirements
 - Dates applicants attended high school
 - Applicant's military status, unless military status is related to his / her ability to perform the work.
 - Applicant's memberships to trade unions or employee groups.
 - General questions about arrest records
 - Applicants religious affiliation
 - Applicants general state of health
 - If the Applicant is a citizen of another country
 - Applicant's attitude about trade union organizations.

L. EMPLOYMENT CONTRACTS / EMPLOYEE HANDBOOK.

- Does your employee handbook contain a general disclaimer?
 - Does your handbook contain a statement indicating that it is intended to provide employment related information only, is not a binding contract of employment, and can be modified at any time?
 - Do you have employees sign acknowledgement forms stating that they have received the handbook and understand it or been given in writing instructions on where and how to obtain a copy for perusal?
-

- Are your disclaimers in large type and placed in prominent positions?
- Does your handbook indicate that serious offenses can circumvent your progressive discipline policy and result in immediate termination through disciplinary action?
- Does your handbook contain statements promising or promoting a promotion – from-within policy?
- Can your employee handbook be used as an induction session for newly appointed employees?
- Does your employee handbook / contract of employment clearly state what procedure is available to employees who wish to refer a dispute to a bargaining council or any other form of dispute resolution mechanism?
- Does your employee handbook state that performance appraisals are held together with the employee and briefly stating the procedure that will be followed during such session.
- Does your employee handbook make mention of the general employer rules and regulations and state that detailed information on these policies and procedures are available to all employees?

M. REFERENCES.

- Does your application state that references will be checked carefully and will influence the hiring decision based on a fair and objective manner?
 - Do you avoid recording discriminatory information even if it is given in a reference check?
 - Does the person who is conducting the reference check understand the inherent job requirements?
 - Do you keep written documentation on every reference check
 - Do you ask applicants to sign a release absolving previous employers from liability for the information they provide?
 - Do you understand the restrictions on gathering medical information on applicants?
 - Do you apply the results of your reference checks consistently to all applicants?
 - Do you ask employees who are resigning or being terminated to sign a reference request?
-

- Do you authorize only a few individuals to respond to reference requests and provide them with a guideline on permissible information to be divulged?
- Do you refuse to give oral or written references?
- Do you require prospective employers to furnish consent forms before giving out references?
- Do you screen prospective employers calling telephonically for references by taking a telephone number and calling back?
- Are your references based on both positive and negative factors?
- Do you have a standard set format for obtaining reference checks from previous employers?
- Do you issue the employee with an official written certificate of service clearly stating the period of employment, last remuneration benefits received, highest position held in the organization at the time of termination and / or resignation.

N. EMPLOYEE EVALUATIONS: PERFORMANCE APPRAISAL.

- Do all evaluations follow the written schedule described in your employee handbook and company policy manual?
 - Are all your managers conducting a performance appraisal properly trained to conduct a performance appraisal?
 - Do your evaluators have a clear idea of what are considered subjective terms in a performance evaluation?
 - Are your evaluators aware of the danger of using the performance appraisal form as a retaliatory weapon?
 - Do appraisers understand how a lowered performance rating could trigger an age discrimination lawsuit?
 - Do you require managers to explain sudden drops in performance appraisal ratings?
 - Do you have an appeal process for employees who are not satisfied with their ratings?
 - Are evaluators aware of the type of statements made in a performance appraisal that might be considered defamatory?
 - Do appraisers understand why the result of performance appraisals should be given only to those with a need to know?
-

- Does your performance appraisal system provide for coaching of employees to mould them into model employees?
- Does your performance appraisal system recognize the importance of the development and retention of human intellectual capital?
- Are your performance appraisal procedure developed in the best interest of both the employee and the employer?
- Does your employee have a fair understanding of the performance appraisal system and the importance of participating in such procedure?

O. EMPLOYEE EVALUATIONS: PROMOTIONS.

- Do you have objective guidelines on which to base promotion decisions?
 - Is the decision for promotion, demotion or transfer based on the objective outcomes from your performance appraisal system?
 - Do you consider all promotion candidates equally, without regard to sex, race, age or disability?
 - Are all aspects of your promotion process completely up to date?
 - Do you regularly review job requirements to see if requiring less experience or offering more training would increase your promotion pool?
 - Do you actively promote the concept of promotional opportunities as an incentive to employees?
 - Do you keep records of all interview notes, which enter into promotion decisions?
 - Do you publish requirements necessary for promotion?
 - Does your promotion policy provide for a probationary period with a review of the objectives and agreed key performance aspects set prior to a permanent appointment into the new position?
 - Does the employee understand that a promotion is subject to an acceptable review after the probationary period?
 - Do you check out all complaints from employees who claim they are being passed over for promotion for discriminatory or any other reasons?
 - Do you question managers who never seem to recommend woman, minorities or any other employees for promotion?
 - Is there any evidence that a manager may be passing over employees for promotion for retaliatory reasons?
-

P. EMPLOYEE DISCIPLINE: RULE INFRACTIONS (MISCONDUCT).

- Are you familiar with and does your codes of conduct, rules and regulations comply with the Code of Good Practice on Unfair Dismissals?
- Is the rule which was violated a reasonable one?
- Was the employee aware of the rule?
- Was the employee aware of the consequences for violating the rule?
- Does the discipline follow your progressive discipline system?
- Could the discipline be considered retaliation against an employee who has filed a discrimination complaint?
- Did the employee offer an excuse or reason for the rule violation?
- Could obeying the rule have harmed the employee?
- Does the rule violate safety or state regulations?
- Does the rule serve a useful purpose, or is it frivolous?
- Could the employee have been trapped into a rule violation?
- Is there sufficient proof to show that the employee broke the rule?
- Are there extenuating circumstances that should be taken into account?
- Have you considered the employee's past disciplinary record in selecting the penalty?
- Is the outcome or sanction consistently been applied in the past.

Q. EMPLOYEE DISCIPLINE: POOR PERFORMANCE.

- Are you familiar with and does your performance management procedures comply with the Code of Good Practice on Unfair Dismissals and the Incapacity procedure?
 - Has the employee been properly warned about his / her performance?
 - Was the Employee given adequate training and reasonable improvement goals?
 - Have you carefully reviewed the employee's prior disciplinary history?
 - Have you handled similar performance problems in the past?
 - Have you considered any new information that may be related to the problem?
 - Have you checked company policy to ensure consistency and fairness?
-

- Have you plan to involve the employee in helping to set improvement goals?
- Does the employee understand what can happen if improvement goals are not met?
- Could a basic review or additional training improve performance?
- Does the employee have a signed job description with specific, reasonable and achievable key performance areas to be evaluated?
- Was all restraints or barriers taken into account to determine the performance appraisal outcome.

R. EMPLOYEE DISCIPLINE: SUSPENSION.

- Does the suspension follow the progressive discipline policy spelled out in your handbook or policy manual?
- Is suspension really the correct option prior to the disciplinary enquiry?
- Is the suspension period reasonable, as the employee has the right to a speedy resolution?
- Is the suspension decision the result of a fair proper procedure?
- Was the employee properly warned about the possibility of a suspension?
- Could the suspension be seen as a form of retaliation?
- Is the employee being suspended a member of a protected class or has he / she filed a discrimination complaint?
- Was the relevant trade union consulted prior to the suspension of a shop steward?
- Was the employee given the opportunity to plea against a suspension?

S. EMPLOYEE DISCIPLINE: TERMINATION.

- Are you familiar with and does your termination procedure comply with the Code of Good Practice on Unfair Dismissals?
 - Has the termination decision been compared to other penalties imposed on other employees for similar infractions?
 - Is the termination consistent with the employee's disciplinary record?
 - Are there any potential legal problems, such as age, race or sex discrimination, wrongful termination, or sexual harassment?
-

- Has the employee been properly warned and given sufficient time to improve performance or behaviors?
- Is the offence for which the employee is being terminated spelled out in the handbook or company policy manual as an offense warranting discharge?
- Is termination the only option?
- Was the terminated employee given the opportunity to use the Municipality's complaint or review procedure?
- Do you have the documentation to show that the employee was given a sufficient amount of time and help to remedy the problem?
- Have you given full consideration to the employee's length of service and past contribution to the Municipality?
- Have you considered all possible alternatives to discharge, including reassignment, early retirement, or voluntary resignation?
- Have you carefully considered the possible consequences on the company of a voluntary resignation, to avoid a claim for a constructive dismissal?
- Does the employee have any pending litigation against the company? If so, could the termination be considered a form of retaliation?

T. POST – TERMINATION.

- Do you conduct an exit interview with employees who quit or who are terminated?
 - Does your documentation support your termination decision?
 - Were you able to reduce tension and resentment by showing the employee that he / she had been given proper warning and time to improve performance or behavior?
 - What reasons were given by an employee who felt that he / she was being treated unfairly?
 - How did you respond to questions about providing future references?
 - Did the employee request that he / she be allowed to resign in lieu of being terminated?
 - Did you agree to allow the employee to give his / her own reasons for the "resignation".
-

- Did the employee accept the termination or did he / she raise the possibility of a discrimination claim or lawsuit?
- Did you obtain all keys, badges, uniforms, and other security items?
- Do you have a clearly –written, published policy explaining that the Municipality will provide honest and accurate references to those with a valid reason to know?
- Do you understand how the laws of defamation apply to employer references?
- Do you remind employees who are terminating, either voluntarily or involuntarily, about your reference policy during the exit interview?
- Do you provide the employee with a certificate of service upon termination?
- Do you provide the employee with all relevant documentation to claim against the Unemployment Insurance Fund at the time of termination through disciplinary action taken?

U. AFFIRMATIVE ACTION MEASURES.

- In terms of the Employment Equity Act, you are required by law to implement an Affirmative Action Plan.
 - Have you implemented affirmative action measures designed to ensure that suitable qualified people from designated groups have equal employment opportunities and are equitably represented in all occupational categories and levels in the workforce?
 - Does such a plan include-
 - Measures to identify and eliminate employment barriers, including unfair discrimination, which adversely affect people from designated groups?
 - Measures designed to further diversity in the workplace based on equal dignity and respect for all people.
 - Making reasonable accommodation for people from designated groups in order to ensure that they enjoy equal opportunities and are equitably represented in the workforce of a designated employer.
 - Reasonable preferential treatment and numerical goals for employees from designated groups?
-

Have you –

- Assigned one or more senior managers to take responsibility for monitoring and implementing an employment equity plan;
- Have you included this responsibility as a key performance area in the job description of the elected senior manager(s);
- Are the senior manager(s) adequately trained who are taking the responsibility to implement the Employment Equity Plan?
- Provided the managers with the authority and means to perform their functions; and
- Taken reasonable steps to ensure that the managers perform their functions?

V. DUTY TO INFORM:

- Do you display at the workplace where it can be read by all employees a notice in the prescribed form, informing them about the provisions of the Employment Equity Act and the most recent employment equity plan prepared by the Municipality?
- Do you constantly update, communicate and inform all employees of any Employment Equity activities and progress made to date, with feed back meetings and notices on notice boards?

W. INCOME DIFFERENTIALS.

- Are you able to compile a statement on the remuneration and benefits received in each occupational category and level of your workforce?
 - Where disproportionate income differentials are reflected in that statement, have you taken measures to progressively reduce such differentials?
 - Does your recruitment or promotion policies and procedures take in to account a job applicant or employees
 - Formal qualifications.
 - Prior learning.
 - Relevant experience; or
-

- Capacity to acquire, within a reasonable time, the ability to do the job, when determining whether the employee or applicant may be suitably qualified for a job?

X. ORGANISZATIONAL DEVELOPMENT AUDIT.

- The following check-lists present some questions which may prove helpful for you to think about when planning your development programs for the people in your organization. Use them to provoke thought and to stimulate discussion. Consult with others in your organization. They will help you to identify the critical human resource issues facing your organization. The aim is to begin to explore how a considered and planned approach to people management can improve business performance, to the benefit of all.

General considerations.

The Municipality is more than likely in trouble if any of the following holds true –

- Chronic industrial relations problems
 - No means of resolving employee grievances
 - Increasing /erratic employee turnover
 - Increasing number of customer complaints
 - No pride in the organization
 - Inter—group conflicts
 - No career paths for ambitious talented employees
 - Dissatisfaction with pay and conditions
 - Unclear job roles
 - Un clear performance measures
 - Quality is unimportant
 - Bad product service /delivery records
 - Poor recruitment standards /practices
 - No management development programs
 - No employee development programs
 - No induction training for new employees
 - Critical skill shortages
 - Inter-departmental warfare
-

- You do not know if any of the above are applicable
- You ignore any of the above

Culture.

- Do your staff identify with the organization and 'the success of the organization' as being of direct benefit to themselves?
- Does your staff see themselves as having common interests with their work colleagues and group? Is there a strong team spirit?
- Is work allocated on the basis of individual expertise rather than position in the organization?
- Are there sufficient skills/ power bases in the organization?
- Are there appropriate leadership skills within the organization?
- Is your staff encouraged to say what they think about the organization?
- Does the Municipality encourage innovation and creativity amongst staff?
- Does your staff feel a sense of personal responsibility for their work?
- Is quality emphasized in all aspects of the organization?

Organization.

- Does the structure of your organization encourage effective performance?
 - Is the organization structure flexible in the face of changing demands?
 - Is the structure too complex? If so in what areas?
 - Does your staff have clearly defined roles and responsibilities?
 - Does the Municipality structure tend to push problems up rather than resolve them at the point where they occur?
 - Does your procedures and management practices facilitate the accomplishment of tasks?
 - Do you constantly seek to challenge your organizations structure?
 - Does all employees truly understand the Municipality structure and where they fit into the structure?
 - Does all employees understand the importance of their position and the contribution they can make through their own position?
-

People.

- Does your staff have the necessary skills and knowledge to perform their jobs in the most effective manner?
- Does your staff understand their jobs and how they contribute to overall business performance i.e. have clear goals and objectives?
- Does your staff have a customer service orientation? Are people with potential spotted and developed for the future?
- Is your staff encouraged to perform well through the giving of recognition, feedback, etc?
- Does all the employees know what their expected performance standards are?
- Does all the employees share the view to succeed in the Municipality or are they merely doing the work for the pay?
- Does all the employees know the overall objective of the Municipality, or is it a secret?
- Does the Municipality view the employees as a valuable asset or a direct liability?

Systems

- Does your Municipality systems (e.g. recruitment, promotion, planning, management, information and control) encourage effective performance among your staff?
 - Are these systems consistent across the organization?
 - Are there clear rewards for effective performance within your work group?
 - Are the systems in place user friendly and easy to work with?
 - Are the systems in place new, updated systems or are the systems outdated?
 - Does the Municipality review its systems frequently to ensure they mutually support each other?
-

Now consider and write down:

1. What are the three critical people issues facing your business?

2. What plans / actions are you taking to address them?

INTERNAL HUMAN RESOURCES AUDIT.

Please complete the following questionnaire as accurately and thoroughly as possible, attaching relevant documentation where necessary, and return to _____ by no later than _____

Municipality details.

Municipality name : Registered as _____
Trading as _____

Contact person : Name _____

Contact numbers: Tel. _____
Fax. _____
Cell no. _____
E-mail _____@_____

Physical address: _____

Postal address: _____

MUNICIPALITY DETAILS.

Does the municipality have a formal organogram?

(If yes, please attach. If no, please attach a list of all the positions in the Municipality).

YES	NO
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Does the Municipality have comprehensive job-descriptions for all said positions?

YES	NO
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Employee Headcount Permanent Employees _____

Permanent Part- Time Employees _____

Contract Employees _____

Casual Staff _____

Other _____

(Specify) _____

Does the Municipality have a formal HR manual?

YES	NO
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Does the Municipality have a formal HR filing system?

YES	NO
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Does the Municipality have a computerized HR / Payroll System?

HR : YES _____ NO _____

Brand Name: _____

PAYROLL: YES _____ NO _____

Brand Name: _____

What Records and Control measures are in place?

EMPLOYMENT DETAILS.

(For each category, please indicate if applicable to all employees. If not, please supply details. Further, please indicate whether a policy in regard to that specific category is in place or not and attach it o this document).

Working Hours: Hours per day: _____ Days per week: _____

Working Hours Policy: **YES / NO.**

Overtime: Hours per day: _____ Days per week: _____

Overtime policy in place : **YES / NO.**

Annual leave : _____ working days per annum

Sick leave : _____ days per year / 36 month cycle.

Maternity leave : _____ months per occasion

Family Responsibility Leave : _____ per occasion _____ per year.

Study leave : _____ per examination _____ per year.

Unpaid leave : _____

LEAVE POLICY IN PLACE	Annual	Yes	No
	Sick		
	Maternity		
	Family Responsibility		
	Study		
	Unpaid		

REMUNERATION AND BENEFIT DETAILS.

(Please indicate if a policy in regard to each specific category is in place or not, and attach it to this document)

If available, please supply a copy of the following:

1. Letter / offer of Employment.
2. Contract of Employment.
3. Restraint of trade.
4. Payslip.
5. Induction Programme.
6. Employee Handbook.
7. Certificate of Service.
8. Application for employment form.

Medical Aid : Name of fund : _____
Company contribution details : _____
Employee contribution details: _____

PENSION / PROVIDENT FUND.

Fund Type : Pension / Provident.
Name of fund : _____
Company contribution details : _____

Employee contribution details : _____

Employment Policy : **YES / NO.**

(If yes, please attach)

How are employees salary packages structured : _____

Company vehicle policy : **YES / NO.**

(If yes, please attach)

Transfer and relocation Policy : **YES / NO.**

(If yes, please attach)

Retrenchment policy : **YES / NO.**

(If yes, please attach)

What is the Official Retirement Age of the Municipality? Male: ____ years
Female ____ years

Early Retirement Policy : **YES / NO.**

Does the Municipality offer Educational Assistance? **YES / NO.**
(If yes, please attach)

If yes, to whom: Employees Only **Y / N**

Employees and employees children **Y / N**

Does the Municipality offer any Loan Facility: **YES / NO.**

OTHER.

(Please indicate if the Municipality has a policy in regard to each specific category listed below, and if so please attach a copy).

Aids & Life Threatening Diseases Policy : **YES / NO.**
Disciplinary and Grievance Procedure : **YES / NO.**
Harassment Policy and procedure : **YES / NO.**
Non- Discrimination Policy : **YES / NO.**
Smoking Policy : **YES / NO.**
Poor work performance / Incapacity procedure : **YES / NO.**
Remuneration Policy : **YES / NO.**
Job Grading Policy : **YES / NO.**
Performance Appraisal Policy and Procedure : **YES / NO.**
Retrenchment Policy and Procedure : **YES / NO.**
HR budget Policy and Procedure : **YES / NO.**

What are the total Municipality's ratios of employees? (Including employees with disabilities)

	COMPANY TOTAL	WHITE	BLACK	MALE	FEMALE
SENIOR MANAGEMENT					
MIDDLE MANAGEMENT					
SUPERVISORY					
GENERAL STAFF					

What is the total number of employees with disabilities **ONLY**.

	MUNICIPALITY TOTAL	WHITE	BLACK	MALE	FEMALE
SENIOR MANAGEMENT					
MIDDLE MANAGEMENT					
SUPERVISORY					
GENERAL STAFF					

Employment Equity Policy : **YES / NO.**

INFORMATION SYSTEMS:

What computer software programmes do you use:

Do your employees have their own email addresses: **YES / NO.**

Do you have a Corporate Website: **YES / NO.**

If yes, please specify URL: <http://www.>_____

How many employees have access to e-mail within your municipality: _____

Do you have an Inter –Net policy in place? **YES / NO.**

(If yes, please attach)

Do any employees work on a contract basis: **YES / NO.**

Do any employees work from home: **YES / NO.**

RESTRUCTURING.

Is it likely that the terms and conditions of employees may be restructured in the next 6 months? **YES / NO.**

Is it likely that the company may undertake a restructuring programme within the next 6 months? **YES / NO.**

Are you familiar with the requirements of:

The new Basic of Conditions of Employment Act **YES / NO**

Employment Equity Act **YES / NO.**

Code of good practice – Sexual Harassment **YES / NO.**

Labour Relations Act 66 of 1995 (as amended) **YES / NO**

Skills Development Act **YES / NO.**

Code of good practice – Regulation of Working time **YES / NO.**

Code of good practice – Maternity Leave **YES / NO.**

Do you offer to employee's in-house training, by company employees only.

YES / NO.

Do you offer to employees external training.

YES / NO.

What training courses have you done in the last 12 months for employees?

Internal / External.

Internal / External

Do you participate in any Corporate Social Investment Schemes **YES / NO.**

If yes, please specify, which organization and give brief details
