

# Common HR Audit Findings

- Improper acceptance and retention of resumes and applications
- Illegal questions on applications or during interviews
- Improper information retained in primary personnel files
- Inadequate or improper background and reference checking forms
- Improper classification of exempt and non-exempt employees
- Noncompliance with immigration law and use of I-9 forms
- Improper classification of independent contractors (1099 workers)
- Inadequate job descriptions, including ADA requirements
- Benefit plans legal Summary Plan Descriptions not provided
- Required COBRA notices not provided at time of enrollment
- Illegal pay deductions from exempt employees and not paying non-exempts for all time worked
- Out-of-date or non-applicable employment laws posters used
- Inadequate employment-at-will disclaimer in handbook
- Improper mandatory language in handbooks
- Insufficient policies on privacy, electronic communications, social networking, etc.
- Inadequate performance and compensation management tools