

Human Resource Audit For Connecticut Employers

Provided by the labor and employment law firm of
Kainen, Escalera & Mchale

How to use the tool

This audit tool is designed to help NESMA members identify and correct possible labor and employment law vulnerabilities before they become costly problems.

Read each item and circle "Y" if you have accomplished the task. If you chose "N" in response to any of these items, you should consider signing-up for the NESMA Employment Law Answer Hotline Service and contacting one of our attorneys for further assistance.

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Privacy, Monitoring and Information Technology Use Issues

1. Does the Company have a policy restricting Internet access and e-mail use for business purposes only during working time (i.e., the time an employee is engaged or should be engaged in performing his/her duties for the Company)?
Y/N
2. Does the Company have a policy allowing limited personal use of Internet and e-mail access during non-working time, to the extent that such use does not interfere with the Company's business operations or others who are working, does not cause the Company to incur any additional expenses, and does not otherwise violate any Company policies or procedures or applicable laws? Y/N
3. Does the Company have a policy prohibiting employees from taking, distributing or posting pictures, videos or audio recordings while on working time (see definition above), in order to ensure employee safety and safety of Company equipment, prevent unlawful harassment, maintain individual privacy, encourage open communication, avoid unnecessary distractions and protect confidential business-related information of the Company from being improperly disclosed.
Y/N

Privacy, Monitoring and Information Technology Use Issues (Cont.)

4. Does the Company have a policy (for some of the same reasons identified above) requiring employees who seek to take, distribute or post pictures, videos or audio recordings of people at the Company (such as other employees, clients or others doing business with the Company) while on non-working time to notify and obtain permission from such other individuals first? Y/N
5. Does the Company have a policy prohibiting employees from taking, distributing or posting pictures, videos or audio recordings of any confidential business-related information of the Company at any time? Y/N
6. Does the Company have a policy prohibiting employees from taking pictures or making recordings of work areas at any time, except if the employee were engaging in any activity protected by the National Labor Relations Act including, for example, taking pictures of health, safety and/or working condition concerns and/or other protected concerted activities, as long as such pictures, videos or audio recordings do not disclose any confidential business-related information of the Company? Y/N
7. Does the Company have a policy prohibiting employees from attaching their personal electronic devices (such as cell phones, tablets, laptops, MP3 players, smartwatches, smartglasses, etc.,) to or charging them on the Company's computers so as to minimize the risk of introducing malware/viruses onto the Company's computer systems? Y/N
8. Does the Company have a policy prohibiting employees from plugging in any storage devices, USB drives, media cards or any other personal storage device into the Company's network or Company owned hardware unless for business purposes only with approval by the Company so as to minimize the risk of employee theft of confidential business-related information? Y/N
9. Does the Company have a policy allowing employees to use their personal electronic devices (such as cell phones, tablets, laptops, MP3 players, smartwatches, smartglasses, etc.,) during non-working time (and/or working time), so long as such use is not disruptive to others (including co-workers, clients, etc.), does not interfere with the Company's business operations, and does not otherwise violate any of the Company's policies (including standards of conduct; confidentiality; etc.) or applicable law? Y/N

Communications & Complaint Resolution Procedure

10. Does the Company have a system, including a procedure to maintain employee anonymity, for gathering employee feedback and obtaining employee suggestions where appropriate? Are actions taken pursuant to such suggestions properly communicated to employees? Y/N

11. Does management have a policy of holding regular small group meetings by shift, department, etc., at which employees are provided time to voice their questions or concerns? Y/N

12. Do supervisors have an open-door policy? Is it used and are such instances recorded? Y/N

13. Are employees permitted to bring complaints to supervisors in an informal manner? Y/N

14. Is there a formal complaint resolution procedure which is communicated to employees and allows employees to, in certain instances, bypass their immediate supervisor? Y/N

15. Are supervisors instructed as to their role in the complaint resolution procedure in order to encourage its use and ensure that complaints are addressed in a timely manner? Y/N

16. Is appropriate documentation maintained regarding the nature of complaints and action taken? Y/N

Evaluation

17. Are written performance evaluations completed at least on an annual basis? Y/N
18. Does the person performing the evaluation have actual knowledge of the employee's performance, acquired over a reasonable period of time? Y/N
19. Do the standard evaluation forms contain appropriate and objectively measurable criteria?
Y/N
20. Does the supervisor have similar expectations for employees who hold the same position with similar levels of experience? Y/N
21. Does the evaluation accurately and specifically describe how the employee performed with respect to each expectation? 22. Is the evaluation as specific and objective as possible? Are specific examples given of how and when problem(s) occurred and what the consequences were for the employee's coworkers, the Company's customers and the organization's ability to achieve its objectives? Y/N
23. If an employee's performance requires dramatic improvement, is the Company's evaluation candid about the consequences if the employee fails to meet those expectations within an expressed time frame? Are written performance improvement plans implemented with deadlines and consequences? Y/N
24. Is an evaluation conference held to review the evaluation and obtain the comments and signature of the employee? Y/N
25. Are employees advised in writing in any performance evaluation document that they may submit a written statement explaining their position if they disagree with any information provided in the evaluation? Y/N