

# 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 Connecticut employers 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 addressing the issue as soon as possible. If one of our attorneys can help, please don't hesitate to call for further assistance.**

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## Employee Leave

1. Does the Company provide and comply with state and federal military leave requirements? Y/N
2. Does the Company provide and comply with state jury duty leave requirements? Y/N
3. Does the Company provide and comply with state witness and crime victim leave requirements? Y/N
4. Does the Company provide and comply with state family violence victim leave requirements? Y/N
5. Does the Company provide and comply with state emergency responder leave requirements? Y/N
6. Does the Company provide and comply with state legislative leave requirements? Y/N
7. Does the Company provide and comply with state paid sick leave for service workers (as applicable)? Y/N
8. Does either the federal (50 or more employees) or state (CT: 75 or more employees) family and medical leave act ("FMLA") apply? Y/N
9. If either the state or federal FMLA applies, does the Company have the proper policies, designation forms and certification forms in place? Y/N

## Employee Leave (Cont.)

10. If an employee requests medical leave or goes out on workers' compensation or short-term disability, does the Company simultaneously determine if the condition satisfies the criteria to commence FMLA leave? Y/N

11. If the employee is about to exhaust his FMLA entitlement, does the Company advise the employee that the leave period is about to be exhausted and request a medical update on the employee's condition and/or return to work status report? Y/N

12. Does the Company have policies which specify whether employees are eligible for wage advances, vacation time advances and/or loans, and if so, also have proper forms (as approved by the CT Department of Labor, as necessary) to obtain reimbursement of such advances and/or security for such loans? Y/N

## Communications & Complaint Resolution Procedure

13. 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

14. 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

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

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

17. 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

18. 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

# Evaluation

19. Are written performance evaluations completed at least on an annual basis? Y/N
20. Does the person performing the evaluation have actual knowledge of the employee's performance, acquired over a reasonable period of time? Y/N
21. Do the standard evaluation forms contain appropriate and objectively measurable criteria? Y/N
22. Does the supervisor have similar expectations for employees who hold the same position with similar levels of experience? Y/N
23. Does the evaluation accurately and specifically describe how the employee performed with respect to each expectation?
24. 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
25. 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
26. Is an evaluation conference held to review the evaluation and obtain the comments and signature of the employee? Y/N
27. 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