



## Human Resource Practices: Employment Practices Risk Assessment Overview

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The **Employment Practices Risk Assessment** is provided to you at no cost.

At the initial meeting we will discuss your current employment related practices and concerns and have you provide us with copies of your company's human resource related materials. We will review those materials, take into consideration your current practices and concerns, and prepare the Risk Assessment report.

At the second meeting we will present this report to you. After this meeting you can choose to do nothing, make changes using internal personnel, or make changes using external professionals. If you choose to make changes using external professionals, we hope you will consider using our services.

The purpose of the **Employment Practices Risk Assessment** is to provide you with prioritized recommendations that will allow your organization to more easily reach its goals.

The prioritized recommendations contained in the Risk Assessment are designed to assist you in:

- Increasing your company's regulatory compliance;
- Reducing your company's employee related liabilities and related costs; and
- Enhancing your company's financial health by making that will allow you to attract, hire, and retain the best employees.

We follow two maxims:

- 1) It's far less expensive to hire good people than it is to have to train people to be good employees; and
- 2) Attracting, hiring, and retaining good employees is the key to becoming the best.

### Success!

A.G. Edwards ♦ American Cast Iron Pipe ♦ American Express ♦ Baptist Health Care  
Chick-Fil-A Restaurants ♦ Container Store ♦ Continental Airlines ♦ Edward Jones  
Fannie Mae ♦ General Mills ♦ Harley-Davidson ♦ IBM ♦ John Deere Tractors  
Leo Burnett Advertising ♦ Marriott Hotel ♦ MBNA ♦ SAS Institute ♦ S.C. Johnson & Son  
Southwest Airlines ♦ Starbucks ♦ State Farm Insurance ♦ Wegman's Food Markets

***Do You Know Why These Companies Are The Most Successful In Their Industry?***

***High Profits ♦ High Employee Retention Rates ♦ High Customer Retention Rates***

The **Employment Practices Risk Assessment** can assist you in achieving similar results!

Thank you in advance for the opportunity of assisting you.



## **Human Resource Practices: Materials to be Reviewed**

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**Completed By/Title:** \_\_\_\_\_

**Organization:** \_\_\_\_\_

The Employment Practices Risk Assessment/Compliance Audit is based on information gained by our review of the following program materials provided by you and our discussion of them. Please note which of the following you are including for our review.

YES	NO	
<b>MATERIALS OF PRIMARY IMPORTANCE</b>		
		Applicant Advertising, Selecting, Interviewing, and Testing Materials
		Benefits Materials
		Drug and Alcohol Use/Abuse Policy and/or Program
		Employment Application and/or Application Packet
		Employee Handbook / Standard Operating Procedures
		Employment Practices Charges/Litigation
		Harassment/Discrimination/Violence Prevention Policy/Program
		Internal Recruiting, Retention, and Promotion Program Materials
		Job Descriptions - a sample supervisory one and non-supervisory one
		Organization Chart
		Personnel Files: Confidential, Long Term Employee, New Hire, Workers' Compensation
		Personnel File: Long Term Employee
		Personnel File: Long Term Workers' Compensation Problem
		Personnel File: New Hire
		Postings List: State and Federal Posters, OSHA 300 Log, Panel/90 Day Notice
		Safety Manual
		Staffing: Layoffs, Staff Reductions, Facility Closings, Consolidations
		Transitional Duty/Early Return-to-Work Policy/Program

<b>MATERIALS OF SECONDARY IMPORTANCE (If Available and Applicable)</b>		
		Collective Bargaining Agreement, as applicable
		Communicable/Life-Threatening Diseases/AIDS/HIV/Bloodborne Pathogens, if applicable
		Employee Assistance Program (EAP) Materials
		Employee Discipline and Termination Policy and Forms
		Employee Performance Evaluation Policy and Materials
		Equal Opportunity/Affirmative Action Program
		Exit Interview Policy and Materials
		Family and Medical Leave Act (FMLA) Materials, if applicable
		Management Policies and Procedures
		Marketing/Sales Materials
		Orientation/Training Program Materials
		Pre-Employment: Drug Testing, Job Suitability, Physicals



# Human Resource Practices: Risks & Unbudgeted Costs Questionnaire

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Completed By/Title: \_\_\_\_\_

Organization: \_\_\_\_\_

How Much Of A PROBLEM Are The Following?			
BIG Problem	Small Problem	Not a Problem	
			Absenteeism / Lateness
			Discipline
			Lawsuits
			Productivity / Quality Work
			Regulatory Compliance
			Training / Job Fit
			Turnover / Retention
			Work Related Injuries

Do the following prevent the above problems from being reduced or resolved?				What will reducing or resolving the above problems mean to the organization and/or to you?			
Yes	Somewhat	No		Yes	Somewhat	No	
			Benefits are not competitive				Increased profits
			Location				Increased salaries
			Leadership				Decreased turnover
			Supervisors/Managers				Increased productivity
			State/federal regulations				Less stress
			Too few qualified applicants				Increased benefits
			Wages are not competitive				Improved morale

Hourly Employees	Salaried Employees	Employee Turnover & Productivity Profile
		Total number of employees today?
		Total number of employees hired in the last 12 months?
		Total number of employees who have VOLUNTARILY left in the last 12 months?
		Total number of employees who have INVOLUNTARILY left in the last 12 months?
		Total number of GOOD employees (they exceed expectations)?
		Total number of AVERAGE employees (they meet expectations)?
		Total number of POOR employees (you would fire them if you could)?

Hourly Employees	Salaried Employees	Employee Satisfaction & Dissatisfaction Profile
		What % of employees would recommend a friend to work here?
		What % of employees would leave if they got another job offer?
		What % of employees would rate their supervisor/s as EXCELLENT?
		What % of employees would rate their supervisor/s as AVERAGE?
		What % of employees would rate their supervisor/s as POOR?
		What % of employees would say the company treats them fairly?
		What % of employees would say they have pride in their work?



# Human Resource Practices: Attracting, Hiring, and Retaining Questionnaire

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Completed By/Title: \_\_\_\_\_

Organization: \_\_\_\_\_

## What would your employees say about the company?

- |                                   |                                  |
|-----------------------------------|----------------------------------|
| GE - Greatly exceeds expectations | P - Partially meets expectations |
| E - Exceeds expectation           | F - Fails to meet expectations   |
| M - Meets expectations            |                                  |

- |    |   |   |   |   |                                  |
|----|---|---|---|---|----------------------------------|
| GE | E | M | P | F | Benefits?                        |
| GE | E | M | P | F | Co-Workers?                      |
| GE | E | M | P | F | Days of Work?                    |
| GE | E | M | P | F | Equipment?                       |
| GE | E | M | P | F | Hours of Work?                   |
| GE | E | M | P | F | Job Duties/Tasks?                |
| GE | E | M | P | F | Job Responsibilities?            |
| GE | E | M | P | F | Opportunities for Advancement?   |
| GE | E | M | P | F | Pay?                             |
| GE | E | M | P | F | Performance/Compensation Levels? |
| GE | E | M | P | F | Supervision?                     |
| GE | E | M | P | F | Training?                        |
| GE | E | M | P | F | Working Conditions?              |

## How would your employees rank your specific benefits?

- |    |    |   |   |   |   |   |
|----|----|---|---|---|---|---|
| NA | GE | E | M | P | F | 401k/Profit Sharing?                          |
| NA | GE | E | M | P | F | Bonus: Applicant Referral?                    |
| NA | GE | E | M | P | F | Bonus: Attendance?                            |
| NA | GE | E | M | P | F | Bonus: Longevity?                             |
| NA | GE | E | M | P | F | Bonus: Productivity?                          |
| NA | GE | E | M | P | F | Child/Elder Care Assistance?                  |
| NA | GE | E | M | P | F | Direct Deposit?                               |
| NA | GE | E | M | P | F | Education/Tuition Assistance?                 |
| NA | GE | E | M | P | F | Employee Assistance Program - Paid?           |
| NA | GE | E | M | P | F | Insurance: Disability - Paid Short/Long Term? |
| NA | GE | E | M | P | F | Insurance: Health - Paid Dental/Vision?       |
| NA | GE | E | M | P | F | Insurance: Health - Paid Medical?             |
| NA | GE | E | M | P | F | Insurance: Paid - Life/Accidental D&D?        |
| NA | GE | E | M | P | F | Paid Leave: Personal/Bereavement?             |
| NA | GE | E | M | P | F | Paid Leave: Sickness?                         |
| NA | GE | E | M | P | F | Paid Leave: Vacation?                         |