



# Human Resources Audits: Creating a Roadmap to Success



**Workshops 4:**  
**Wednesday March 28, 9:00 to 10:00**  
**Human Resources Audits: Creating a Roadmap to Success**

The Human Resources Audit Session will provide information to assist your casino or tribal organization to conduct a comprehensive review of your systems and processes so that improvement is possible. The Human Resources audit allows a casino or tribal organization to systematically measure where it currently stands and what actions need to be taken to improve in areas of concern. A Human Resources audit may also reveal areas for improvement that are not obviously apparent. Participants will leave the session with knowledge and tools to conduct and benefit from a Human Resources Audit.

**Speaker:**

[Barbara Sanders](#), Human Resources Director, Leech Lake Band of Ojibwe

**Barbara Sanders, Human Resources Director**  
**Leech Lake Gaming Division**  
**Leech Lake Band of Ojibwe**  
**Cass Lake, Minnesota**

Barbara Sanders is the Human Resources Director for the Leech Lake Gaming Division and an enrolled member of the Leech Lake Band of Ojibwe. She provides leadership in the areas of Employment, Benefits, HR Administration, Employee Relations and Training. She was instrumental in establishing the current in-house Executive Coaching program and HR Generalist program. She has supervised staff who conduct HR Audits within the casino and has conducted HR Audits for other Reservation organizations.

Barbara has 17 years of experience as a human resources professional, seven years of experience as a trainer and training manager and has been a consultant for business, educational and social service organizations in the areas of human development and business systems. Her education includes a Bachelor's Degree in Psychology, a Law Degree and she is a Life Coach certified by the Minnesota Department of Education.

# **Human Resources Audits: Creating a Roadmap to Success**

NIGA 2007

“A human resources (HR) audit is a comprehensive review of a company’s systems and processes to determine if they meet current and projected HR needs, whether such systems are in compliance with current state, local and federal regulations, and whether the company’s internal processes include practices that minimize legal liability (*and complaints, grievances* added). The HR audit allows a company to systematically measure where it currently stands and what actions need to be taken to improve its human resources function.” (HR Audits by Jeff Weintraub, Employment & Labor Update, March 22, 2005)

## **AREAS OF CONCERN FOR AN HR AUDIT**

Policies, Practices, Processes

Indicators (retention, turnover, # of vacancies, grievances, absenteeism, etc.)

## **RATIONALE FOR CONDUCTING AN HR AUDIT**

1. Keep goals in sync with strategic plan
2. Ensure legal requirements are met
3. Identify areas for improvement
4. Find cost reduction opportunities
5. Improve employee communications and morale

6. Stay current with best practices
  
7. Measure ROI from initiatives, programs, etc
  
8. Increase commitment of HR professionals to seek change and improvement

## **BASIC PRINCIPLES OF AUDITS**

1. Identify the Scope
  
2. Develop a Questionnaire
  
3. Collect Data
  
4. Benchmark Findings
  
5. Provide Feedback about Results

6. Create Action Plans

7. Foster Climate of Continuous Improvement

## **ANALYZING SURVEY DATA**

Consider:

1. Purpose of the survey
2. Type and form of questions asked (yes, no, multiple choice, essay)
3. Number of surveys sent out and the number of surveys returned
4. Source of the answers (target group)
5. Success with follow up interviews
6. Percentage of questions answered by respondents

# Human Resources Audits: Creating a Roadmap to Success

## EXERCISE ONE

Take survey from your perspective

How you see you

Take survey from the perspective of employees

How you think they see you

Give survey to the employees

How they see you

To: Human Resources Professionals

Rate the following services **from your perspective** as a Human Resources Professional

| Level of Service  | Great | Very Good | Average | Below Average | Poor |
|---|-------|-----------|---------|---------------|------|
|   |       |           |         |               |      |
| Responds to questions/concerns in a timely manner                       |       |           |         |               |      |
| Provides information that is accurate                                   |       |           |         |               |      |
| Provides information that is consistent                                 |       |           |         |               |      |
| Honors requests for confidentiality                                     |       |           |         |               |      |
| Treats employees with respect and courtesy                              |       |           |         |               |      |
| Returns telephone messages quickly                                      |       |           |         |               |      |
| Possesses the expertise to handle Human Resources questions/concerns    |       |           |         |               |      |
| Goes 'above and beyond' when necessary                                  |       |           |         |               |      |
| Clearly communicates Human Resources Goals and Objectives               |       |           |         |               |      |
| Is available on the days and hours convenient to employees and managers |       |           |         |               |      |
| Other   |       |           |         |               |      |
| Other   |       |           |         |               |      |
| Other   |       |           |         |               |      |

The most important issue the Human Resources needs to address.

The most valuable service to be offered by the Human Resources Department that currently is not offered.

To: Human Resources Professional

Rate the following services from the **perspective of the employees in your company**.  
How would the employees rate your Human Resources Department?

| Level of Service  | Great | Very Good | Average | Below Average | Poor |
|---|-------|-----------|---------|---------------|------|
|   |       |           |         |               |      |
| Responds to questions/concerns in a timely manner                       |       |           |         |               |      |
| Provides information that is accurate                                   |       |           |         |               |      |
| Provides information that is consistent                                 |       |           |         |               |      |
| Honors requests for confidentiality                                     |       |           |         |               |      |
| Treats employees with respect and courtesy                              |       |           |         |               |      |
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| Clearly communicates Human Resources Goals and Objectives               |       |           |         |               |      |
| Is available on the days and hours convenient to employees and managers |       |           |         |               |      |
| Other   |       |           |         |               |      |
| Other   |       |           |         |               |      |
| Other   |       |           |         |               |      |

The most important issue the Human Resources needs to address.

The most valuable service to be offered by the Human Resources Department that currently is not offered.

To: Survey Participant

From: Human Resources Professional

Rate the following services **from your perspective** as a

Manager \_\_\_\_\_, Supervisor \_\_\_\_\_, Front Line Employee \_\_\_\_\_

| Level of Service  | Great | Very Good | Average | Below Average | Poor |
|---|-------|-----------|---------|---------------|------|
|   |       |           |         |               |      |
| Responds to questions/concerns in a timely manner                       |       |           |         |               |      |
| Provides information that is accurate                                   |       |           |         |               |      |
| Provides information that is consistent                                 |       |           |         |               |      |
| Honors requests for confidentiality                                     |       |           |         |               |      |
| Treats employees with respect and courtesy                              |       |           |         |               |      |
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| Possesses the expertise to handle Human Resources questions/concerns    |       |           |         |               |      |
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| Clearly communicates Human Resources Goals and Objectives               |       |           |         |               |      |
| Is available on the days and hours convenient to employees and managers |       |           |         |               |      |
| Other   |       |           |         |               |      |
| Other   |       |           |         |               |      |
| Other   |       |           |         |               |      |

The most important issue the Human Resources needs to address.

The most valuable service to be offered by the Human Resources Department that currently is not offered.

# Human Resources Audit

## Sample Survey Form

Name: (Optional) \_\_\_\_\_ Date: \_\_\_\_\_

Department: \_\_\_\_\_

Manager

Supervisor/Lead

Non Supervisory Staff

### How Are We Doing in the Human Resource Department?

In an effort to evaluate our effectiveness and better serve your needs, we are asking for feedback on what we do and ideas for doing it better. Any comments, constructive feedback, specific examples or compliments are welcome. Please return to Human Resource Department by (date). Thank you in advance for your assistance!

Instructions: Please rate the following areas using a 1-5 rating scale

**Strongly Agree (5)**      **Agree (4)**      **Neutral (3)**      **Disagree (2)**      **Strongly Disagree (1)**      **Don't Know (0)**

Feel free to include comments after each rating question. Specific examples where possible are particularly helpful.

1. Human Resource staff is available when I need them. \_\_\_\_\_

Comments:

2. I feel comfortable discussing problems or concerns with the Human Resource staff. \_\_\_\_\_

Comments:

3. Human Resource staff consistently administers the Human Resources policies. \_\_\_\_\_

Comments:

4. Human Resource staff is responsive to the needs of departments. \_\_\_\_\_

Comments:

5. The Human Resource staff is reasonable in their interpretation of policies. \_\_\_\_\_

Comments:

6. Human Resource staff always responds to my requests in a timely manner. \_\_\_\_\_

Comments:

7. I receive answers when I ask for information from Human Resource staff. \_\_\_\_\_

Comments:

8. The Human Resource staff looks for other ways to assist me when they can't do exactly what I am requesting. \_\_\_\_\_

Comments:

9. The Human Resource staff is courteous and helpful when I call. \_\_\_\_\_

Comments:

10. Human Resource staff adequately represent the interests of non-supervisory employees

Comments:

11. Please rank the following services in order of importance, with 1 being the most important. How often do you use the services?

| SERVICE                       | ORDER OF IMPORTANCE | FREQUENCY OF USE |
|-------------------------------|---------------------|------------------|
| Benefits                      |                     |                  |
| Recruitment                   |                     |                  |
| Selection                     |                     |                  |
| Retirement                    |                     |                  |
| Compensation                  |                     |                  |
| Employee Relations            |                     |                  |
| Job Description Review        |                     |                  |
| Annual Leave Questions        |                     |                  |
| Policy Questions              |                     |                  |
| Workers Compensation Issues   |                     |                  |
| Performance Review Assistance |                     |                  |
| Training                      |                     |                  |
| Orientation                   |                     |                  |
| Wellness Issues               |                     |                  |
| Safety Issues                 |                     |                  |
| Other                         |                     |                  |

12. Something the Human Resource Department could do to make my job easier is:

13. The thing that the Human Resource Department does the best is:

14. The service I would most like to see offered by the Human Resource Department that currently is not is:

15. The most important issue the Human Resource Department needs to address is:

16. One thing I recommend the Human Resources Department do differently is:

17. Any other comments that may be helpful to us?

Thank you again for your time and feedback! Your information will help us meet your needs more efficiently and effectively.

Date : \_\_\_\_\_

Job Location: \_\_\_\_\_

Supervisory : \_\_\_\_\_ Non-Supervisory: \_\_\_\_\_ Choose one

### EMPLOYEE SATISFACTION SURVEY

This survey is to gather information we can use to improve employee relations and satisfaction. This in no way will be used against you as an employee. We would like you to be honest and make any comments about concerns that you feel need to be addressed.

What is your view of the company?

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Do you feel that employees are recognized as individuals?

- Usually
- Sometimes
- Rarely
- Never
- Not Sure

How motivated are you to see the company succeed?

- Very motivated
- Somewhat motivated
- Not very motivated
- Not at all motivated
- Not sure

Do you feel the company communicates its goals and strategies enough?

- Always communicates
- Usually communicates
- Sometimes communicates
- Rarely communicates
- Never communicates
- Not sure if they communicate

Please assign a rating on a scale from 1 to 4 where 1 represents “very dissatisfied” and 4 represents “very satisfied”.

|   |        |        |        |        |
|---|--------|--------|--------|--------|
| Overall Benefits<br>(Overall Medical & Dental etc.) | 1.____ | 2.____ | 3.____ | 4.____ |
| Rate of Pay   | 1.____ | 2.____ | 3.____ | 4.____ |

Is the company flexible about family responsibilities?

- Very
- Somewhat
- Not at all

Would you refer a friend to apply for a job at this company?

- Yes
- No
- Maybe
- Not sure

Have you ever experienced any of the following forms of discrimination or harassment at this company?

- Racial discrimination
- Sexual harassment
- Age discrimination
- Gender orientation discrimination
- Other
- No

Has the company succeeded in creating an exciting work environment?

- Yes
- No
- Sometimes
- Not sure

In thinking about the variety of tasks your position requires, would you say that there are too many, enough or not enough?

- Too many
- Enough
- Not enough
- Not sure

We would like to know if you receive a sense of completion with your job. Would you say you always, usually, sometimes, rarely or never receive a sense of completion?

- Always
- Usually
- Sometimes
- Rarely
- Never
- Not sure

Do you feel that you have enough freedom in your position to take independent action when needed?

- Yes
- No
- Maybe
- Not sure

Do you feel that you have enough freedom in your position to do what is right for the customer?

- Yes
- No
- Maybe
- Not sure

On a scale of 1 to 5, where 1 means 'not at all clear' and 5 means 'very clear' , how clear is your path for career advancement?

- 1
- 2
- 3
- 4
- 5

On a scale of 1 to 5, where 1 means 'not at all clear' and 5 means 'very clear' , how clear are you're your job requirements to you?

- 1
- 2
- 3
- 4
- 5

On a scale of 1 to 5, where 1 means 'poor' and 5 means 'excellent', how would you rate your manager's ability to discuss your job performance with you?

- 1
- 2
- 3
- 4
- 5

How often does your manager give you feedback on your job performance?

- Constantly
- Often
- Sometimes
- Rarely
- Never

Does your manager give you credit for your accomplishments?

- Always
- Sometimes
- Once in a while
- Never

On a scale of 1 to 5, where 1 means 'poor' and 5 means 'excellent', how would you rate your manager overall?

- 1
- 2
- 3
- 4
- 5

We would also like to know if you as an employee would like to have a 'Years of Service Banquet'?

- Yes
- No

We would like to thank you for your time and cooperation. Please place your survey into the blue employee survey satisfaction box in the Casino administration office.