

Audit Report for Audit ID - AU0041-1

Human Resource Department Audit

Audit Score

70/100

Details

Audit	AU0041
Scheduled Audit	AU0041-1
Location	Hyderabad
Hotel	AVASA Hotel
Department	Human Resources
Checklist	Human Resource Department Audit
Audit Type	Internal
Auditor	Jagan Mohan
Start Date	01-08-2017
End Date	30-08-2017
Submitted Date	01-02-2018
Status	Completed
Assigned By	Administrator Account
Non-Compliance	46
Chronic Issues	0

Comparison

AVASA HOTEL HUMAN RESOURCE DEPARTMENT AUDIT

HUMAN RESOURCE DEPARTMENT AUDIT		Aug 2017	VARIANCE	% of Increase / Decrease (-/ +)
S.No	Sections	SCORE OBTAINED		
1	Manpower Planning & Recruitment	73	-	-
2	Administration Salary Service Charge and Others	64	-	-
3	Time Office	54	-	-
4	Performance Management System	64	-	-
5	Statutory and Insurance	70	-	-
6	Employee Welfare and Cafeteria	51	-	-
7	Employee Motivation Activities	91	-	-
8	Training	88	-	-
9	Security	79	-	-
Audit Score		70	-	-

	80-100 = Green	Good / Excellent
	61-79 = Yellow	Average
	60 below is Red	Poor / Fair

Non-Compliance

Section: Manpower Planning & Recruitment

Subsection: Sanctioned Manpower Vs Actuals Department Wise

- 1: Sanctioned Manpower Vs Actuals (Department Wise) **NC**
Rating: 7

Section: Manpower Planning & Recruitment

Subsection: Personal File Management

- 1: Photo copy of relieving letter from last employment. **NC**
Rating: 7
- 2: Photo copies of relevant experience certificate **NC**
Rating: 7
- 3: Proof of last salary drawn. **NC**
Rating: 6
- 4: Reference Check Forms. **NC**
Rating: 6
- 5: Form -F **NC**
Rating: 0
- 6: Bank account No./ PF No./Temporary ESIC ID Card & No. **NC**
Rating: 5

Section: Administration Salary Service Charge and Others

Subsection: Salary Administration

- 1: Auto Attendance Compiling in HRMS Software. **NC**
Rating: 6
- 2: Leave Management (Adherence to Leave Policy) **NC**
Rating: 7
- 3: Late Coming Details. **NC**
Rating: 0
- 4: Absenteeism Handling. **NC**
Rating: 5

Section: Administration Salary Service Charge and Others

Subsection: Service Charges

- 1: Utility of HOD's Discretionary Fund and giving awards for best performer in department. **NC**
Rating: 0

Section: Time Office**Subsection:** Time Office

- 1: Absentees Names to display in the Notice Board. **NC**
Rating: 0
- 2: Sending Late Punch Report to GM. **NC**
Rating: 0
- 3: Maintaining of Leave Application File / Online Leave applying procedure. **NC**
Rating: 5

Section: Performance Management System**Subsection:** Periodic Performance Appraisal for New Employees

- 1: Making the proposals. **NC**
Rating: 0
- 2: Proposal for Employment Status Change (Based on Preceding Quarterly Appraisal). **NC**
Rating: 0
- 3: Forwarding it to Corp. HR (15th of Every Month) **NC**
Rating: 0

Section: Statutory and Insurance**Subsection:** Provident Fund

- 1: Declaration Form in Personal File. **NC**
Rating: 6
- 2: Any discrepancy should be brought to the notice to corporate office. **NC**
Rating: 0

Section: Statutory and Insurance**Subsection:** E S I

- 1: Maintaining Inspection Book. **NC**
Rating: 7
- 2: ESIC Temporary ID Cards in the Personal File & Distributing to Employees. **NC**
Rating: 7

Section: Statutory and Insurance**Subsection:** Gratuity

- 1: Claim Forms are to be send to Corp. HR Office. **NC**
Rating: 0
- 2: Maintaining Gratuity Payment Register. **NC**
Rating: 0

Section: Statutory and Insurance**Subsection:** Labour Registration & Renewal

- 1: Annual renewal of Registration Certificate. **NC**
Rating: 7

Section: Statutory and Insurance**Subsection:** License

- 1: Contract Labour Agreement. **NC**
Rating: 7

- 2: Police License. **NC**
Rating: 0

- 3: 24 Hours Coffee shop. **NC**
Rating: 0

Section: Statutory and Insurance**Subsection:** Life Insurance

- 1: Gratuity Claims Settlement. **NC**
Rating: 0

Section: Employee Welfare and Cafeteria**Subsection:** Employee Welfare Activities

- 1: Education Fund Management for Self Education Fund. **NC**
Rating: 0

- 2: Education Fund Management for Children Education Fund. **NC**
Rating: 0

- 3: Welfare Fund Management. **NC**
Rating: 0

Section: Employee Welfare and Cafeteria**Subsection:** Cafeteria Administration

- 1: Hygiene & Cleanliness. **NC**
Rating: 7

- 2: Periodic survey about cafeteria function. **NC**
Rating: 5

Section: Training**Subsection:** Internal Training Calendar Schedule Programme

- 1: Basic Technical Training Programme. **NC**
Rating: 7

- 2: Knowledge Sharing Programme. **NC**

Rating: 7

3: Knowledge Bank Orientation. **NC**

Rating: 7

Section: Security

Subsection: Movement Register

1: Maintaining of Staff Gate Passes. **NC**

Rating: 5

Section: Security

Subsection: Staff Cash Register

1: Maintaining Cash discrepancy Register. **NC**

Rating: 7

Section: Security

Subsection: Internal Auditors Reports

1: Maintenance of Internal Audit Report Files and Replies. **NC**

Rating: 7

Section: Security

Subsection: Employee Grooming Check

1: Checking the Employee while Entry & Exit. **NC**

Rating: 5

Section: Security

Subsection: Briefing of the Guards

1: Daily Briefing to be taken by on duty Supervisor. **NC**

Rating: 7

Section: Security

Subsection: Conducting Fire Fighting Sessions for New Employees

1: Conducting Fire Fighting Sessions for New Employees. **NC**

Rating: 7

Section: Security

Subsection: Security Guards

1: Grooming. **NC**

Rating: 6

2: Alert and activeness of guards @ post. **NC**

Rating: 7

3: Knowledge of the required posts deployed. **NC**

Rating: 6

Chronic

No chronic issues found

Audit Questionnaire

Section: Manpower Planning & Recruitment

Subsection: Sanctioned Manpower Vs Actuals Department Wise

- 1: Sanctioned Manpower Vs Actuals (Department Wise) **NC**
Rating: 7

Section: Manpower Planning & Recruitment

Subsection: Recruitment Process

- 1: Recruitment Process
Rating: 8

Section: Manpower Planning & Recruitment

Subsection: Personal File Management

- 1: Three Passport Photographs
Rating: 10
- 2: Resume / Employment Application Form
Rating: 8
- 3: Interview assessment Form
Rating: 10
- 4: Photo copy of the Birth Certificate
Rating: 10
- 5: Photo copies of certificates of Academic & Professional Qualifications.
Rating: 8
- 6: Photo copy of relieving letter from last employment. **NC**
Rating: 7
- 7: Photo copies of relevant experience certificate **NC**
Rating: 7
- 8: Proof of last salary drawn. **NC**
Rating: 6
- 9: Medical fitness certificate.
Rating: 8
- 10: Appointment Letter.
Rating: 8
- 11: Reference Check Forms. **NC**
Rating: 6

12: Form -F **NC**

Rating: 0

13: Induction/Orientation.

Rating: 8

14: Bank account No./ PF No./Temporary ESIC ID Card & No. **NC**

Rating: 5

Section: Administration Salary Service Charge and Others

Subsection: Salary Administration

1: Auto Attendance Compiling in HRMS Software. **NC**

Rating: 6

2: Leave Management (Adherence to Leave Policy) **NC**

Rating: 7

3: Late Coming Details. **NC**

Rating: 0

4: Absenteeism Handling. **NC**

Rating: 5

5: Pay Dates.

Rating: 10

6: Forwarding PF, PT & ESI Reports to A/C Dept. for Payment.

Rating: 9

Section: Administration Salary Service Charge and Others

Subsection: Service Charges

1: Fund Bifurcation.

Rating: 9

2: Preparation of distribution sheets as per the appropriate Points Systems.

Rating: 9

3: Pay dates. ☒ Not Applicable

4: Utility of HOD's Discretionary Fund and giving awards for best performer in department. **NC**

Rating: 0

5: Direct Disbursement in to employees accounts.

Rating: 9

Section: Time Office

Subsection: Time Office

- 1: Monthly Schedule Creation by HOD
Rating: 8
- 2: Sending Manager's Punches to Unit Head.
Rating: 8
- 3: Absentees Names to display in the Notice Board. **NC**
Rating: 0
- 4: Sending Late Punch Report to GM. **NC**
Rating: 0
- 5: Maintaining of Leave Application File / Online Leave applying procedure. **NC**
Rating: 5
- 6: Maintaining of Tour Application File.
Rating: 9
- 7: Updating Staff Leave Balances.
Rating: 8

Section: Performance Management System

Subsection: Periodic Performance Appraisal for New Employees

- 1: Making the proposals. **NC**
Rating: 0
- 2: Proposal for Employment Status Change (Based on Preceding Quarterly Appraisal).
NC
Rating: 0
- 3: Forwarding it to Corp. HR (15th of Every Month) **NC**
Rating: 0

Section: Performance Management System

Subsection: Half Yearly Performance Review

- 1: Calendar Creation & Employees Mapping (1st Oct, 1st Mar)
Rating: 9
- 2: Perform Employee Appraisals (3rd Oct, and 3rd Mar).
Rating: 9
- 3: Review by Counter signing Officer (Unit Head) (10th Oct and 10th Mar).
Rating: 9
- 4: Normalization Process (12th Oct, and 12th Mar).
Rating: 8
- 5: Process Appraisals - Closing (15th Oct, 15th Mar).

Rating: 8

- 6: Consolidate Appraisal report send to Corporate Office (17th Oct, and 17th Mar)

Rating: 8

Section: Performance Management System

Subsection: Annual Performance Appraisal

- 1: Consolidating two half Yearly appraisal ratings.

Rating: 9

- 2: Initiating the proposal for Increments & promotion April - September October - March

Rating: 10

Section: Statutory and Insurance

Subsection: Provident Fund

- 1: Declaration Form in Personal File. **NC**

Rating: 6

- 2: Monthly reconciliation and Challan payment (15th of every month)

Rating: 9

- 3: All Audit / Inspection Reports should be sent to Corp. HR Office.

Rating: 8

- 4: Any discrepancy should be brought to the notice to corporate office. **NC**

Rating: 0

Section: Statutory and Insurance

Subsection: E S I

- 1: Declaration Form in to Personal File.

Rating: 9

- 2: Monthly reconciliation and Challan payment (15th of every month)

Rating: 9

- 3: Maintaining Inspection Book. **NC**

Rating: 7

- 4: All Audit / Inspection Reports should be sent to Corp. HR Office.

Rating: 8

- 5: ESIC Temporary ID Cards in the Personal File & Distributing to Employees. **NC**

Rating: 7

Section: Statutory and Insurance

Subsection: Gratuity

- 1: Claim Forms are to be send to Corp. HR Office. **NC**

Rating: 0

- 2: Maintaining Gratuity Payment Register. **NC**

Rating: 0

Section: Statutory and Insurance

Subsection: Labour Registration & Renewal

- 1: Annual renewal of Registration Certificate. **NC**

Rating: 7

Section: Statutory and Insurance

Subsection: License

- 1: Contract Labour Agreement. **NC**

Rating: 7

- 2: Contract Labour License & Renewal.

Rating: 9

- 3: Municipal License

Rating: 10

- 4: Food License.

Rating: 10

- 5: Fire License.

Rating: 10

- 6: Police License. **NC**

Rating: 0

- 7: 24 Hours Coffee shop. **NC**

Rating: 0

- 8: P C B Consent.

Rating: 10

- 9: Weights & Measures.

Rating: 10

- 10: Weights & Measures (Peg Measure).

Rating: 10

- 11: Explosive License

Rating: 10

Section: Statutory and Insurance

Subsection: General Insurance

- 1: Coverage of all assets.
Rating: 8
- 2: Additions & Deletions of Assets.
Rating: 9
- 3: Claim Management.
Rating: 9
- 4: Unsettled Claims.
Rating: 9

Section: Statutory and Insurance

Subsection: Life Insurance

- 1: Additions & Deletions in Medclaim.
Rating: 9
- 2: Additions & Deletions in Group Insurances.
Rating: 9
- 3: Gratuity Claims Settlement. **NC**
Rating: 0

Section: Employee Welfare and Cafeteria

Subsection: Employee Welfare Activities

- 1: Salary Loans (Adherence to Policy).
Rating: 8
- 2: Education Fund Management for Self Education Fund. **NC**
Rating: 0
- 3: Education Fund Management for Children Education Fund. **NC**
Rating: 0
- 4: Welfare Fund Management. **NC**
Rating: 0

Section: Employee Welfare and Cafeteria

Subsection: Cafeteria Administration

- 1: Weekly Menus.
Rating: 9
- 2: Follow up of Timings.
Rating: 9
- 3: Hygiene & Cleanliness. **NC**
Rating: 7

- 4: Periodic survey about cafeteria function. **NC**

Rating: 5

- 5: Ambience & Seating Comfortability.

Rating: 8

Section: Employee Motivation Activities

Subsection: Employees Motivation Activities

- 1: Staff Award get together (Quarterly).

Rating: 9

- 2: Executive Award get together (Quarterly)

Rating: 8

- 3: Picnics (Yearly)

Rating: 9

- 4: Cafeteria Events.

Rating: 8

Section: Employee Motivation Activities

Subsection: Awards

- 1: Nomination Forms Verification (Monthly).

Rating: 10

- 2: Collection of Forms.

Rating: 10

- 3: Conducting Staff Day Function.

Rating: 10

- 4: Utility of Weldon Coupons.

Rating: 9

Section: Training

Subsection: Joining Checklist

- 1: Joining Checklist.

Rating: 10

Section: Training

Subsection: Induction Schedule

- 1: Induction Schedule.

Rating: 10

Section: Training

Subsection: Orientation & ReInduction

- 1: Orientation & Re-Induction (if necessary).

Rating: 9

Section: Training

Subsection: Internal Training Calendar Schedule Programme

- 1: Fire-Fighting Evacuation and Training.

Rating: 10

- 2: Basic Technical Training Programme. **NC**

Rating: 7

- 3: Induction Associate Development Programme.

Rating: 10

- 4: Management Training Programme.

Rating: 10

- 5: Departmental Co-ordination Meetings (Bimonthly)

Rating: 9

- 6: 2nd Level Meetings.

Rating: 9

- 7: Monthly Departmental Meetings.

Rating: 8

- 8: New Employees Meeting(Monthly).

Rating: 9

- 9: Knowledge Sharing Programme. **NC**

Rating: 7

- 10: Knowledge Bank Orientation. **NC**

Rating: 7

Section: Training

Subsection: External Training Calendar Schedule Programme

- 1: Process of Nominations.

Rating: 8

- 2: Taking confirmation from HOD.

Rating: 8

- 3: Displaying it on the Notice Board and informing it to Individual.

Rating: 8

- 4: Participants Attendance Verification.

Rating: 8

Section: Training

Subsection: Co ordinating with other Units

- 1: Co-ordinating with other Units.

Rating: 9

Section: Training**Subsection:** Preparing the Training Budget and its proper Utilisation

- 1: Preparing the Training Budget and its proper utilisation.

Rating: 8

Section: Training**Subsection:** Library Maintenance

- 1: Procurement of Books & Inventory.

Rating: 9

- 2: Maintaining of Issue Register with due dates.

Rating: 9

Section: Training**Subsection:** Industrial Exposure Training

- 1: Selection from reputed Institutions.

Rating: 8

- 2: Budgeted Industrial Trainees.

Rating: 10

- 3: Fortnight Industrial Exposure Training Meetings.

Rating: 10

Section: Security**Subsection:** Returnable Gate Passes

- 1: Authorisation as per the Policy.

Rating: 8

- 2: Updating Due Time for getting Material as per the Policy.

Rating: 8

- 3: Follow Up of Pending Gate Passes.

Rating: 8

Section: Security**Subsection:** Non Returnable Gate Passes

- 1: Authorisation as per the Policy.

Rating: 9

Section: Security**Subsection:** Keys Register

- 1: Maintenance of Key Issue Register.

Rating: 8

- 2: Maintaining Duplicate Keys.

Rating: 8

Section: Security

Subsection: Movement Register

- 1: Maintaining Executive Movement Register.

Rating: 8

- 2: Maintaining of Staff Gate Passes. **NC**

Rating: 5

- 3: Maintaining Visitors Movement Register.

Rating: 8

Section: Security

Subsection: Vehicle Movement Register

- 1: Maintaining of Vehicle Movement Register.

Rating: 8

Section: Security

Subsection: Staff Cash Register

- 1: Maintaining Cash discrepancy Register. **NC**

Rating: 7

Section: Security

Subsection: Inward & Outward Register

- 1: Maintaining of Inward Material Register.

Rating: 9

- 2: Maintaining of Outward Material Register.

Rating: 9

Section: Security

Subsection: Internal Auditors Reports

- 1: Maintenance of Internal Audit Report Files and Replies. **NC**

Rating: 7

Section: Security

Subsection: Employee Grooming Check

- 1: Checking the Employee while Entry & Exit. **NC**

Rating: 5

Section: Security

Subsection: Briefing of the Guards

- 1: Daily Briefing to be taken by on duty Supervisor. **NC**
Rating: 7

Section: Security**Subsection:** Conducting Fire Fighting Sessions for New Employees

- 1: Conducting Fire Fighting Sessions for New Employees. **NC**
Rating: 7

Section: Security**Subsection:** Emergency Fire Fighting Team Meeting Monthly Once

- 1: Emergency Fire Fighting Team Meeting Monthly.
Rating: 10

Section: Security**Subsection:** First AID Team

- 1: First AID Team.
Rating: 8

Section: Security**Subsection:** First AID Kits

- 1: To be kept in Engineering Department and in all Kitchens.
Rating: 8
- 2: Procurement of Medicines and maintaining of Registers.
Rating: 8

Section: Security**Subsection:** Security Induction

- 1: Induction should be taken on the first day of new Employee.
Rating: 8

Section: Security**Subsection:** Fire Extinguishers Periodic Check

- 1: Checking of Expiry Date.
Rating: 8
- 2: Checking of Sprinklers.
Rating: 9
- 3: Checking of Smoke Detectors.
Rating: 9

Section: Security**Subsection:** Maintenance of Log book

- 1: Daily updation of Log Book.

Rating: 9

- 2: Log Book has to be sent to GM's Office for GM's Signature.

Rating: 9

Section: Security

Subsection: Maintaining good relation with Local Police

- 1: Maintaining good relation with Local Police Station.

Rating: 9

Section: Security

Subsection: Providing Special Security

- 1: Providing Special Security at PUB & Mid Night Buffet.

Rating: 8

Section: Security

Subsection: Security on VIP Visits

- 1: Taking care of VIP Parking.

Rating: 8

- 2: Checking the material.

Rating: 8

Section: Security

Subsection: Lost and Found items Management

- 1: Receiving the Item.

Rating: 9

- 2: Storing the Item.

Rating: 9

- 3: Maintaining the Lost Items Register.

Rating: 9

Section: Security

Subsection: Staff Rotation

- 1: Staff Rotation.

Rating: 8

Section: Security

Subsection: Security Guards

- 1: Grooming. **NC**

Rating: 6

- 2: Alert and activeness of guards @ post. **NC**

Rating: 7

3: Knowledge of the required posts deployed. **NC**

Rating: 6

4: Additional gear & equipment for posts like main road entrance /entry point of the hotel etc.,

Rating: 8