

Audit Report for Audit ID - AU0083-1

Human Resource Department Audit

Audit Score

81/100

Details

Audit	AU0083
Scheduled Audit	AU0083-1
Location	Hyderabad
Hotel	AVASA Hotel
Department	Human Resources
Checklist	Human Resource Department Audit
Audit Type	Internal
Auditor	Jagan Mohan
Start Date	01-12-2017
End Date	31-12-2017
Submitted Date	02-04-2018
Status	Completed
Assigned By	Administrator Account
Non-Compliance	31
Chronic Issues	23

Comparison

AVASA HOTEL HUMAN RESOURCE DEPARTMENT AUDIT

HUMAN RESOURCE DEPARTMENT AUDIT		Dec 2017	VARIANCE	% of Increase / Decrease (-/ +)
S.No	Sections	SCORE OBTAINED		
1	Manpower Planning & Recruitment	79	-	-
2	Administration Salary Service Charge and Others	77	-	-
3	Time Office	64	-	-
4	Performance Management System	79	-	-
5	Statutory and Insurance	87	-	-
6	Employee Welfare and Cafeteria	82	-	-
7	Employee Motivation Activities	89	-	-
8	Training	88	-	-
9	Security	82	-	-
Audit Score		● 81	-	-

	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: Form -F **NC**
Rating: 0

Section: Administration Salary Service Charge and Others

Subsection: Salary Administration

- 1: Auto Attendance Compiling in HRMS Software. **NC**
Rating: 6

Observation Text :

daily attendance reports are generated due to technical problems

- 2: Leave Management (Adherence to Leave Policy) **NC**
Rating: 7

- 3: Late Coming Details. **NC**
Rating: 5

Observation Text :

generated backdated dates due to technical problem

- 4: Absenteeism Handling. **NC**
Rating: 5

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: 5

Observation Text :

generated backdated dates due to technical problems

- 3: Maintaining of Leave Application File / Online Leave applying procedure. **NC**
Rating: 6

Observation Text :

few employees are submitting manual applications

Section: Performance Management System

Subsection: Half Yearly Performance Review

- 1: Normalization Process (12th Oct, and 12th Mar). **NC**
Rating: 7
- 2: Process Appraisals - Closing (15th Oct, 15th Mar). **NC**
Rating: 7
- 3: Consolidate Appraisal report send to Corporate Office (17th Oct, and 17th Mar) **NC**
Rating: 5

Section: Statutory and Insurance

Subsection: License

- 1: Contract Labour Agreement. **NC**
Rating: 7
- 2: Police License. **NC**
Rating: 0

Section: Employee Welfare and Cafeteria

Subsection: Cafeteria Administration

- 1: Periodic survey about cafeteria function. **NC**
Rating: 7

Section: Employee Motivation Activities

Subsection: Employees Motivation Activities

- 1: Picnics (Yearly) **NC**
Rating: 7

Section: Training

Subsection: Internal Training Calendar Schedule Programme

- 1: Basic Technical Training Programme. **NC**
Rating: 7
- 2: Departmental Co-ordination Meetings (Bimonthly) **NC**
Rating: 7
- 3: Knowledge Sharing Programme. **NC**
Rating: 7

4: Knowledge Bank Orientation. **NC**

Rating: 5

Observation Text :

few departments are not doing, follow up is required

Section: Training**Subsection:** Preparing the Training Budget and its proper Utilisation1: Preparing the Training Budget and its proper utilisation. **NC**

Rating: 7

Section: Security**Subsection:** Internal Auditors Reports1: Maintenance of Internal Audit Report Files and Replies. **NC**

Rating: 7

Section: Security**Subsection:** Employee Grooming Check1: Checking the Employee while Entry & Exit. **NC**

Rating: 7

Section: Security**Subsection:** Briefing of the Guards1: Daily Briefing to be taken by on duty Supervisor. **NC**

Rating: 7

Section: Security**Subsection:** First AID Kits1: Procurement of Medicines and maintaining of Registers. **NC**

Rating: 7

Section: Security**Subsection:** Maintenance of Log book1: Daily updation of Log Book. **NC**

Rating: 7

Observation Text :

advised to write properly. it is not understandable

Section: Security**Subsection:** Security Guards1: Grooming. **NC**

Rating: 7

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

Rating: 7

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

Rating: 6

Observation Text :

periodically it has to be explained to gusrds in briefing by security manager

Chronic

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: Form -F **NC**
Rating: 0

Section: Administration Salary Service Charge and Others

Subsection: Salary Administration

- 1: Auto Attendance Compiling in HRMS Software. **NC**
Rating: 6

Observation Text :

daily attendance reports are generated due to technical problems

- 2: Leave Management (Adherence to Leave Policy) **NC**
Rating: 7

- 3: Late Coming Details. **NC**
Rating: 5

Observation Text :

generated backdated dates due to technical problem

- 4: Absenteeism Handling. **NC**
Rating: 5

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: 5

Observation Text :

generated backdated dates due to technical problems

- 3: Maintaining of Leave Application File / Online Leave applying procedure. **NC**
Rating: 6

Observation Text :

few employees are submitting manual applications

Section: Statutory and Insurance

Subsection: License

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

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

Section: Employee Welfare and Cafeteria

Subsection: Cafeteria Administration

- 1: Periodic survey about cafeteria function. **NC**
Rating: 7

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: 5

Observation Text :

few departments are not doing, follow up is required

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: 7

Section: Security

Subsection: Briefing of the Guards

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

Rating: 7

Section: Security

Subsection: Security Guards

1: Grooming. **NC**

Rating: 7

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

Rating: 7

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

Rating: 6

Observation Text :

periodically it has to be explained to guards in briefing by security manager

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: 9

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.
Rating: 8
- 9: Medical fitness certificate.
Rating: 9
- 10: Appointment Letter.
Rating: 9
- 11: Reference Check Forms.
Rating: 8

12: Form -F **NC**

Rating: 0

13: Induction/Orientation.

Rating: 8

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

Rating: 8

Section: Administration Salary Service Charge and Others

Subsection: Salary Administration

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

Rating: 6

Observation Text :

daily attendance reports are generated due to technical problems

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

Rating: 7

3: Late Coming Details. **NC**

Rating: 5

Observation Text :

generated backdated dates due to technical problem

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

Observation Text :

done as per policy

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

Rating: 9

Observation Text :

done as per policy

3: Pay dates. ☒ Not Applicable

4: Utility of HOD's Discretionary Fund and giving awards for best performer in department. ☒ Not Applicable

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: 9

3: Absentees Names to display in the Notice Board. **NC**

Rating: 0

4: Sending Late Punch Report to GM. **NC**

Rating: 5

Observation Text :

generated backdated dates due to technical problems

5: Maintaining of Leave Application File / Online Leave applying procedure. **NC**

Rating: 6

Observation Text :

few employees are submitting manual applications

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. ☒ Not Applicable

2: Proposal for Employment Status Change (Based on Preceding Quarterly Appraisal).

☒ Not Applicable

3: Forwarding it to Corp. HR (15th of Every Month) ☒ Not Applicable

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: 8
- 3: Review by Counter signing Officer (Unit Head) (10th Oct and 10th Mar).
Rating: 8
- 4: Normalization Process (12th Oct, and 12th Mar). **NC**
Rating: 7
- 5: Process Appraisals - Closing (15th Oct, 15th Mar). **NC**
Rating: 7
- 6: Consolidate Appraisal report send to Corporate Office (17th Oct, and 17th Mar) **NC**
Rating: 5

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.
Rating: 8
- 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. ☒ Not Applicable

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.
Rating: 9

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

Rating: 9

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

Rating: 8

Section: Statutory and Insurance

Subsection: Gratuity

- 1: Claim Forms are to be send to Corp. HR Office. ☒ Not Applicable

- 2: Maintaining Gratuity Payment Register. ☒ Not Applicable

Section: Statutory and Insurance

Subsection: Labour Registration & Renewal

- 1: Annual renewal of Registration Certificate.

Rating: 9

Observation Text :

applied yet to be received

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. ☒ Not Applicable

- 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 Mediclaim.

Rating: 9

2: Additions & Deletions in Group Insurances.

Rating: 9

3: Gratuity Claims Settlement. ☒ Not Applicable

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. ☒ Not Applicable

3: Education Fund Management for Children Education Fund. ☒ Not Applicable

4: Welfare Fund Management. ☒ Not Applicable

Section: Employee Welfare and Cafeteria

Subsection: Cafeteria Administration

1: Weekly Menus.

Rating: 9

2: Follow up of Timings.

Rating: 9

3: Hygiene & Cleanliness.

Rating: 8

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

Rating: 7

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) **NC**

Rating: 7

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) **NC**
Rating: 7
- 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: 5

Observation Text :

few departments are not doing, follow up is required

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

- 1: Process of Nominations.
Rating: 9
- 2: Taking confirmation from HOD.
Rating: 9

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

Rating: 9

- 4: Participants Attendance Verification.

Rating: 9

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. **NC**

Rating: 7

Section: Training

Subsection: Library Maintenance

- 1: Procurement of Books & Inventory.

Rating: 9

Observation Text :

utilisation of library is less, awareness is to be created

- 2: Maintaining of Issue Register with due dates.

Rating: 9

Section: Training

Subsection: Industrial Exposure Training

- 1: Selection from reputed Institutions.

Rating: 9

- 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: 9

- 3: Follow Up of Pending Gate Passes.

Rating: 9

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.

Rating: 8

- 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.

Rating: 8

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: 7

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.

Rating: 8

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: 9

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. **NC**

Rating: 7

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. **NC**

Rating: 7

Observation Text :

advised to write properly. it is not understandable

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: 7

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

Rating: 7

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

Rating: 6

Observation Text :

periodically it has to be explained to guards in briefing by security manager

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

Rating: 8