

Audit Report for Audit ID - AU00164-1

VA-Human Resources Function

Audit Score

90/100

Details

Audit	AU00164
Scheduled Audit	AU00164-1
Location	Chennai
Hotel	GreenPark Hotel- GPC
Department	Human Resources
Checklist	VA-Human Resources Function
Audit Type	External
Auditor	Ms ASWINI
Start Date	22-06-2018
End Date	26-06-2018
Submitted Date	27-06-2018
Status	Completed
Assigned By	Administrator Account
Non-Compliance	0
Chronic Issues	0

Comparison

GREENPARK HOTEL- GPC VA-HUMAN RESOURCES FUNCTION				
VA-HUMAN RESOURCES FUNCTION		Jun 2018	VARIANCE	% of Increase / Decrease (-/ +)
S.No	Sections	SCORE OBTAINED		
1	HR Functions	90	-	-
Audit Score		● 90	-	-

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

Non-Compliance

No non-compliances found

Chronic

No chronic issues found

Audit Questionnaire

Section: HR Functions

Subsection: Recruitment

1: Whether Resume, ID proof, photo, interview evaluation sheet, educational certificates, last drawn pay slip, experience certificate, relieving letter, medical fitness certificates are obtained and documented for all the employees and new recruits?

Rating: 9

Attachments :

QUE1_DOC_20180626_122911.xlsx

2: Whether for all the recruits, interview assessment form is attached with all the required fields and comments filled up?

Rating: 9

3: Whether proper and adequate background checks are carried out either in-house or through an appointed agent / vendor and acted upon?

Rating: 9

4: Are there surprise checks carried out by the department by verifying the credentials report given by the agent / vendor? ☒ Not Applicable

5: Whether vendor performance is done on an yearly basis and then only renewal is undertaken? ☒ Not Applicable

6: Whether the background checks are undertaken prior to the employee joining?

Rating: 9

7: Whether the pathology laboratory is NABL accredited and whether Medical fitness certificates are signed by referring to the RMP No. of the Practitioner? ☒ Not Applicable

Section: HR Functions

Subsection: Payroll expenses

1: Whether all the salaries are paid through cheque or bank transfer?

Rating: 9

2: Whether Provident Fund contribution (both) are done accurately as per the statute mentioned rates and statute mentioned components of salary?

Rating: 9

Attachments :

QUE9_DOC_20180626_123111.xlsx

3: Whether ESI contribution (both) are done accurately as per the statute mentioned rates and statute mentioned components of salary?

Rating: 9

4: Whether professional tax deductions are done accurately as per the statute mentioned

rates and statute mentioned components of salary?

Rating: 9

Attachments :

QUE11_DOC_20180626_123209.xlsx

5: Whether all the statutory remittance are done within the due date?

Rating: 8

Attachments :

QUE12_DOC_20180627_122253.xlsx

6: Whether all the taxes payable and paid matches with the respective ledger entries?

Rating: 9

7: If salary is paid through cash, proper acknowledgements are obtained from the employees and no cash payments are done exceeding Rs.10,000 / day with prior approvals?

Rating: 9

8: Whether salary is paid as per offer letter only and wherever changes are made whether proper approvals are available?

Rating: 9

9: Whether the salary paid to employees as per bank communication and pay roll matches to confirm no payments are made to ghost employees?

Rating: 9

10: Whether unpaid salaries are transferred to Labour welfare fund at the end of 3 years? ☒ Not Applicable

11: Whether Leave encashment provision and gratuity are as per Actuarial valuation received every year? ☒ Not Applicable

12: Whether the inclusions and exclusions are communicated to the insurance companies for update to the coverage in Gratuity scheme?

Rating: 9

13: Whether endorsement letters are obtained from LIC are the inclusions and exclusions?

Rating: 9

14: Whether tracker is maintained for assets of the company given to employees till their period of service with the company and dues for the same, wherever applicable are deducted accurately from their monthly salary?

Rating: 9

15: Whether Gratuity is paid only for those employees who were in continuous service with the company for a period of 5 years?

Rating: 9

16: Whether the inclusions and exclusions are communicated to the insurance

companies for update to the coverage in the Group mediclaim policy?

Rating: 9

17: Whether LIC premium dues are paid on time towards Gratuity scheme and documented?

Rating: 9

18: Whether all the loans and advances are made and deducted as per the SOP?

Rating: 9

19: Whether notice pay has been recovered for those who did not serve the notice period and if NOT, whether proper waiver approvals are obtained as per SOP?

Rating: 9

Attachments :

QUE26_DOC_20180627_123039.xlsx

20: Whether payment of bonus is as per the provisions of the bonus act?

Rating: 9

21: Whether the increments are effected only from the applicable month as per offer / revision letter?

Rating: 9

22: Whether F & F settlements with all the requisite documentations are done as per SOP?

Rating: 9

Attachments :

QUE29_DOC_20180627_125400.xlsx

23: Whether the increments are effected only from the applicable month as per offer / revision letter and incase of discrepancy approvals are obtained and payments made are adjusted accordingly?

Rating: 9

24: Whether all the employees serve the applicable notice period as per SOP and for deviations, notice period pay recovered and if not, whether appropriate approvals are available? ☒ Not Applicable

25: Whether F & F settlements like - adjustments towards advances taken, No due certificate, Exit interview, access rights removal, thumb identification removal are done?

☒ Not Applicable

26: Whether all the statutory remittances - PF, ESI, Labour welfare fund remittances are done within the due date? ☒ Not Applicable

Section: HR Functions

Subsection: Attendance & Leave

1: Whether all the employees on roll registered their finger prints in the bio-metric device?

Rating: 9

2: Whether the departmental register is updated for those whose finger prints are not registered and validated by the HOD's every day for their presence and absence?

Rating: 9

3: Whether the payroll attendance and bio-metric and departmental attendance register matches?

Rating: 9

Attachments :

QUE36_DOC_20180627_123446.xlsx

QUE36_DOC_20180627_123455.xlsx

4: Whether the newly joined and exit employees list are accurately prepared and paid for only the worked days?

Rating: 9

Attachments :

QUE37_DOC_20180627_142112.xlsx

5: If NOT, whether the excess or short paid days are adjusted in the subsequent month / months? ☒ Not Applicable

6: Whether all the leaves taken are approved prior?

Rating: 9

7: Whether all the leave credits - carry forward, leave credit for the year comply with the SOP?

Rating: 9

8: Whether all the compensatory off's are taken within the time frame specified?

Rating: 9

Attachments :

QUE41_DOC_20180627_124306.xlsx

9: Whether all the leaves taken during the year are properly reconciled for all employees with the carry forward, lapsed, opening and closing credits?

Rating: 9

Attachments :

QUE42_DOC_20180627_143735.xlsx

10: Whether medical certificates are obtained for all sick leaves as per SOP?

Rating: 9

Attachments :

QUE43_DOC_20180627_124400.xlsx

11: Are there any leaves taken by clubbing of holidays and whether intervening days are considered as leave and reduced from leave credit or LOP made as per SOP? ☒ Not Applicable

Section: HR Functions

Subsection: Reimbursements

1: Whether LTA and medical reimbursements are done against proper submission of proofs?

Rating: 9

Attachments :

QUE45_DOC_20180627_124424.xlsx

2: Whether the service charges and tips, if any collected are distributed as per SOP?

Rating: 9

Attachments :

QUE46_DOC_20180627_124445.xlsx