

### OVERVIEW

Our unique and innovative review that provides valuable risk management information regarding the Human Resources department and function at financial institutions!

Through our guidance, both management and compliance personnel can be assured that they comply with the regulations, rules, and laws governing human resources and human capital management.

Areas of Expertise include

- Fair Labor Standards Act
- Federal Civil Rights Laws
- Family and Medical Leave Act
- Uniform Services Employment and Reemployment Rights Act
- Americans with Disabilities Act
- Immigration Reform & Control Act
- Occupational Safety & Health Administration

The first and only full-service mortgage risk management firm in the country.



## Lenders Compliance Group

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# HR TUNE-UP!™

*Pioneers in Compliance Tune-ups!*

## Human Resources – Tune-up!

The overall purpose is to identify the strengths and weaknesses of the financial institution's HR policies and processes. Our report includes recommendations for best practices.

### COMPLIANCE AUDIT AREAS

#### Hiring & Onboarding

Collection of Personal Data

Interviewing

Applicant Tracking/Interviewee selection

Background Checks (where applicable)

1-9 procedures

Handbook Acknowledgement

NMLS registration verification

Employee Files

#### FLSA

Labor posters

Jobs categories

Employees' Pay

Compensation Plans

Job Descriptions

Policies and Handbook

Review HR policies for legal compliance

#### Leaves of Absence

Employee notification and communication

Federal and State guidelines are followed

Policies administered equitably

#### Discrimination, Harassment, Ethics

Employee complaint reporting policies (Including Whistleblower)

Supervisor/manager training

Investigative process

Disciplinary action

Adherence to ethical lending guidelines

#### Risk

Worker's Compensation