

## Human Resources Compliance

### OVERVIEW

Comprehensive support to the compliance department, reviews that highlight an institution's regulatory strengths and weaknesses.

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

- The 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.

### AFFILIATES

[Lenders Compliance Group](#)

[Brokers Compliance Group](#)

[Servicers Compliance Group](#)

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## Lenders Compliance Group

[www.lenderscompliancegroup.com](http://www.lenderscompliancegroup.com)

866-602-6660

# HUMAN RESOURCES COMPLIANCE

## Managing Compliance Risk

Cost-effective regulatory compliance support to financial institutions, providing safe, sound, and comprehensive compliance administration service. Because of the multitude of laws affecting each stage of the employment process, it is extremely important for an employer to regularly conduct an HR analysis of their policies and practices.

### Areas of Risk Management Support

Employee Handbooks

Policies and Procedures

Education and Training

Auditing

Compliance Communications

Disciplinary Procedures

Whistleblower Response and Triage Program

We provide guidance in support of the compliance, auditing, legal and HR departments and assist in ensuring that they are coordinating with each other to appropriate management risk levels.

### Audit Sections

Hiring and Onboarding

Benefits

Compensation

Performance Evaluation Process

Termination Process and Exit Interviews

Job Descriptions

Form Review

Personnel File Review

Health and Safety

Our Human Resources audit is a state specific comprehensive methodology to review current human resources policies, procedures, documentation and systems to identify needs for improvement and enhancement of the HR function as well as to assess compliance with ever-changing rules and regulations. An audit involves systematically reviewing all aspects of human resources, usually in a checklist fashion.