Audit Questionnaire Step 9: TRS and Retention Practices

1. Does the institution have a stated compensation philosophy linked to institutional mission, vision, and values?
   ____Yes  ____No
   a. Does the compensation philosophy identify the need to retain and sustain a talented and diverse workforce?
      ____Yes  ____No
   b. Does the compensation philosophy address both internal and external equity?
      ____Yes  ____No

2. Does the compensation program involve regular review of the comparative progress of women and minorities?
   a. For administrators?
      ____Yes  ____No
   b. For faculty?
      ____Yes  ____No
   c. For managers and supervisors?
      ____Yes  ____No
   d. For professional staff?
      ____Yes  ____No
   e. For support staff?
      ____Yes  ____No

3. Are formal guidelines issued for discretionary salary increases such as the distribution of merit pools?
   a. For administrators?
      ____Yes  ____No
   b. For full-time faculty?
      ____Yes  ____No
   c. For staff?
      ____Yes  ____No
   d. Please explain:
      ____________________________________________________________________
      ____________________________________________________________________
      ____________________________________________________________________
      ____________________________________________________________________

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4. What positions initiate and approve discretionary salary adjustments?
   a. For faculty?
      Initiates______________________
      Approves_____________________
   b. For administrators?
      Initiates______________________
      Approves_____________________
   c. For staff?
      Initiates______________________
      Approves_____________________

5. Are discretionary increase recommendations reviewed for equity and potential disparities for women and minorities?
   ____Yes   ____No
   a. Which offices review these recommendations for equity?

________________________________________________________________________________

6. Does the institution have a benefits strategy that links benefits packages and leave programs to a total
   rewards approach and EVP?
   ____Yes   ____No

7. Has the institution sought employee input on benefits, wellness, and work/life offerings through surveys,
   studies, or focus groups/town halls?
   ____Yes   ____No
   Please describe:

________________________________________________________________________________

8. Were the results of benefits, wellness, and work/life surveys communicated to employees?
   ____Yes   ____No

9. Does the institution have a wellness program and plan?
   ____Yes   ____No
   a. Is there staffing for the wellness function?
      ____Yes   ____No
   b. Are incentives offered for wellness goals?
      ____Yes   ____No

10. Does the institution produce written materials describing work/life and wellness benefits and policies?
    ____Yes   ____No
AUDIT QUESTIONNAIRE STEP 9

Please describe:

_________________________________________________________________________________
_________________________________________________________________________________

11. Does the institution have a flex-time policy?
   ____Yes   ____No

12. Does the institution have a telecommuting policy?
   ____Yes   ____No

13. Does the institution offer stop-the-clock tenure and reduced workload policies for parents of newborn children or adoptive parents?
   ____Yes   ____No
   Please list the policies here:
   1. ____________________________________________________________
   2. ____________________________________________________________
   3. ____________________________________________________________

14. Is regular review conducted of the implementation of stop-the-clock and parental leave policies in terms of accessibility across divisions and departments?
   ____Yes   ____No

15. Does the institution have a dual-career program that assists with spousal placement?
   ____Yes   ____No

16. Does the institution have formal mentoring programs?
   a. For junior faculty?
      ____Yes   ____No
   b. For administrators?
      ____Yes   ____No
   c. For staff?
      ____Yes   ____No
   Please describe these programs:

   _______________________________________________________________________
   _______________________________________________________________________

17. Does the institution have a confidential employee assistance program (EAP)?
   ____Yes   ____No
   a. Does the EAP provide regular utilization statistics to HR?
      ____Yes   ____No
b. Is the EAP program identified in policy and shared in benefits materials disseminated to employees?
   ____Yes   ____No

c. Does the program offer counseling to employees?
   ____Yes   ____No

18. Is regular review conducted of promotion and advancement statistics in terms of the participation of women and minorities?
   ____Yes   ____No

   a. Which offices and positions conduct this review?
      ________________________________________________________________
      ________________________________________________________________
      ________________________________________________________________

   b. How are findings communicated?
      ________________________________________________________________

   c. Does the board of trustees receive periodic updates on promotion and advancement with analysis of the participation of women and minorities by employment group and division/department?
      ____Yes   ____No

   d. Does the board of trustees discuss these statistics at their meetings?
      ____Yes   ____No

19. Is regular review conducted of turnover statistics in terms of women and minorities?
   ____Yes   ____No

   a. Which offices conduct this review?
      ________________________________________________________________
      ________________________________________________________________
      ________________________________________________________________

   b. Does the board of trustees receive periodic updates on turnover with analysis of the participation of women and minorities by employment group and division/department?
      ____Yes   ____No

   c. Does the board of trustees discuss these statistics at their meetings?
      ____Yes   ____No

20. Are exit interviews conducted to determine the reasons for lack of retention?
    ____Yes   ____No

    a. Which positions conduct these interviews?
       ________________________________________________________________
b. Is confidential analysis of the results of exit interviews presented in summary format to administration?
   ____Yes  ____No

c. Does the analysis address turnover reasons for women and minorities?
   ____Yes  ____No

d. Is the analysis shared with the board of trustees?
   ____Yes  ____No

21. Does the institution have a diversity recognition program?
   ____Yes  ____No

Please describe:
_________________________________________________________________________________
_________________________________________________________________________________
_________________________________________________________________________________

Summative Evaluation: Please provide a summative evaluation of the results of this questionnaire and concrete steps for enhancement:
_________________________________________________________________________________
_________________________________________________________________________________
_________________________________________________________________________________
_________________________________________________________________________________

Goals for enhancement:
1. _____________________________________________________________
2. _____________________________________________________________
3. _____________________________________________________________