

Advanced HR Process Audit and Controls Training Course

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Overview

The Advanced HR Process Audit and Controls Training Course is a two-week advanced course for auditors, HR managers, compliance professionals, payroll control specialists, and risk leaders who leave with an HR Process Audit Work Program. The course connects employee lifecycle audit, HR control testing, workforce data assurance, payroll interface review, compliance evidence, issue analysis, reporting, and follow-up. Participants trace risks and controls from workforce planning through offboarding. Agile Leaders Training Center delivers this course on advanced HR process audit and controls.

Who Should Attend

- Internal audit functions responsible for reviewing people processes, controls, and evidence
- HR governance functions responsible for policies, process ownership, and control monitoring
- Payroll control functions responsible for employee-data changes and payment interfaces
- Compliance and risk functions responsible for obligations, testing, and remediation
- Assurance leadership functions responsible for engagement quality and reporting

The course assumes participants review HR processes or controls and leaves out introductory HR administration, legal advice, and organization-specific policy approval.

Departments and Industries

The course supports HR process assurance across labor-intensive, regulated, and service organizations.

- Human resources, internal audit, compliance, risk, and finance departments
- Payroll, information technology, data governance, and shared-services functions
- Banking, insurance, professional services, and telecommunications organizations
- Manufacturing, energy, construction, and logistics organizations
- Healthcare, education, hospitality, and public service organizations

Learning Objectives

By the end of this course, participants will be able to:

- Analyze employee lifecycle risks, ownership, and control design
- Build risk-based HR audit scopes and evidence plans
- Apply control tests to recruitment, records, payroll, performance, and exits
- Evaluate HR data access, accuracy, completeness, and analytics
- Diagnose findings, root causes, impacts, and remediation priorities

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- Build an HR Process Audit Work Program and follow-up plan

Course Agenda

Day 1: HR Audit Governance

- HR Process Universe and Ownership Map
- Employee Lifecycle Risk Taxonomy
- Policy Procedure and Control Hierarchy
- Three-Lines Responsibility Assessment
- HR Audit Objective and Scope Charter

Day 2: Risk and Evidence Planning

- HR Risk and Control Matrix
- Inherent and Residual Risk Scoring Method
- Process Walkthrough and Narrative Template
- Evidence Reliability and Sufficiency Checklist
- HR Audit Test Plan and Sampling Sheet

Day 3: Workforce Planning and Recruitment

- Workforce Demand and Position Authorization Test
- Job Description and Approval Traceability Matrix
- Candidate Screening and Selection Control Review
- Conflict and Bias Safeguard Checklist
- Offer Approval and Preemployment Evidence File

Day 4: Onboarding and Employee Records

- Onboarding Milestone and Access Provisioning Test
- Employee Master Data Validation Rules
- Personnel File Completeness Checklist
- Role Change and Transfer Authorization Matrix
- HR Record Retention and Access Review

Day 5: Payroll and Benefits Interfaces

- HR-to-Payroll Change Reconciliation
- Time Attendance and Leave Control Test
- Compensation Approval and Effective-Date Review
- Benefits Eligibility and Enrollment Verification
- Payroll Exception and Duplicate Analysis

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Day 6: Performance Learning and Mobility

- Performance Objective and Rating Consistency Test
- Calibration Decision and Approval Audit Trail
- Learning Need and Completion Evidence Review
- Promotion and Succession Decision Matrix
- Career Mobility and Development Control Assessment

Day 7: Employee Relations and Offboarding

- Case Intake and Investigation Evidence Checklist
- Disciplinary Decision Consistency Analysis
- Grievance Escalation and Resolution Tracker
- Exit Approval and Final Settlement Reconciliation
- Access Revocation and Asset Return Test

Day 8: HR Technology and Data Analytics

- HRIS Role and Privileged Access Matrix
- Interface Completeness and Error Log Review
- Employee Data Quality Profiling Method
- HR Key Risk Indicator Dashboard
- Full-Population Analytics and Exception Register

Day 9: Findings Reporting and Follow-Up

- Control Design and Operating Effectiveness Assessment
- Finding Condition Criteria Cause and Effect Model
- Issue Severity and Remediation Priority Matrix
- HR Audit Report Evidence Cross-Reference
- Management Action and Follow-Up Protocol

Day 10: HR Process Audit Practice

- Suggested Exercise: Lifecycle Risk and Scope Diagnosis
- Suggested Exercise: Recruitment and Records Control Testing
- Suggested Exercise: Payroll and HRIS Exception Analysis
- Suggested Exercise: Finding and Remediation Review
- Capstone Exercise: HR Process Audit Work Program

Practical Exercises

The course includes suggested activities that convert HR process evidence into traceable assurance conclusions.

- Suggested activity: map lifecycle risks, owners, controls, and evidence across recruitment and onboarding.
- Suggested activity: reconcile employee-master changes with payroll outputs and investigate exceptions.
- Suggested activity: profile HRIS access and employee data for control failures and anomalies.
- Suggested activity: present an HR Process Audit Work Program with findings and follow-up actions.

FAQs

Who suits advanced HR process audit and controls training?

Auditors, HR managers, compliance professionals, payroll control specialists, and risk leaders suit the training; it assumes responsibility for reviewing HR processes or controls.

How does HR process audit differ from general HR operations training?

HR process audit evaluates risk, control design, evidence, exceptions, and remediation, while general HR operations training focuses on administering employee services and transactions.

How should an HR process audit cover the employee lifecycle?

An HR process audit should connect workforce planning, recruitment, onboarding, records, payroll interfaces, performance, learning, mobility, employee relations, and offboarding to defined risks, controls, evidence, and owners.

What HR data tests support an HR controls audit?

Useful HR data tests examine completeness, validity, duplicate records, access conflicts, effective dates, unauthorized changes, interface errors, unusual payments, inactive users, and unresolved exceptions.

What belongs in an HR Process Audit Work Program?

An HR Process Audit Work Program links objectives, scope, risks, controls, procedures, samples, evidence, findings, actions, owners, due points, and follow-up results.

Conclusion

Participants leave with an HR Process Audit Work Program spanning the employee lifecycle and HR technology environment. The work product makes scope, testing, evidence, findings, and follow-up traceable for review. It helps teams coordinate HR, payroll, technology, compliance, and audit responsibilities while turning exceptions into prioritized corrective actions.

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