

OVERVIEW

Our exclusive focus is on the regulatory compliance issues affecting residential mortgage loan originations. We are actively engaged in monitoring the mortgage industry's ever-changing laws and regulations.

Through our guidance, both management and compliance personnel can be assured that they comply with the regulations, rules, and laws governing the origination of mortgage loan products.

- Retail
- Wholesale
- Correspondent
- Mini-Correspondent
- Investor
- Mortgage Servicer
- Mortgage Subservicer
- Bank
- Nonbank
- NCUA
- REIT

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

Call for Compliance: 866-602-6660!

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**Lenders Compliance Group®**  
*Creating a Culture of Compliance®*

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

HR Tune-up!™  
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[compliance@lenderscompliancegroup.com](mailto:compliance@lenderscompliancegroup.com)

# 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

Polices 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