

HR Compliance Checklist

Rachel Smith, HR Consultant - prhr.com - rsmith.hrconsulting@outlook.com

Review the following questions to assess your HR compliance readiness. If your business is non-compliant in any area(s) consider seeking professional Human Resources assistance to be audit-ready and reduce your exposure.

This self-audit is for informational purposes only and does not constitute legal advice.

Foundations and Policy Management

	Yes	No	I don't Know
Has your employee policy handbook been reviewed and updated in the last 12 months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is your handbook specifically designed for your organization	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does your handbook cover legally required policies and benefits, such as workers' compensation and equal opportunity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have your personnel records been audited in the last 12 months?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Is sensitive employee information stored correctly according to state and federal guidelines?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Hiring and Onboarding

	Yes	No	I don't Know
Are job descriptions and job postings compliant with non-discrimination, equal opportunity, and disability laws and regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do you adequately disclose background checks, employment and education checks, and other verifications and job-related testing in your application process?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do you have a policy and procedure regarding retention and security of hiring records?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Hiring and Onboarding

Do you provide offer letters? If yes, have they recently been audited by an HR professional or legal counsel?

Yes

☐

No

☐

I don't
Know

☐

Are new employees provided with a formal orientation, and does it cover all required workplace policies and expectations?

☐☐☐

HR Management

Do you provide employees with written expectations and performance evaluation methods?

Yes

☐

No

☐

I don't
Know

☐

Do you have a harassment and anti-discrimination policy? Are all managers and employees regularly trained in these policies?

☐☐☐

Do you have data privacy and security policies and procedures?

☐☐☐

Do you have a formal process in place for measuring employee performance?

☐☐☐

Do you have a formal disciplinary and termination policy and procedure in place?

☐☐☐

Wage and Hour Compliance

Do you have defined employee classifications?

Yes

☐

No

☐

I don't
Know

☐

Are independent contractors accurately identified?

☐☐☐

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Wage and Hour Compliance

	Yes	No	I don't Know
Are all appropriate labor posters displayed in an easily visible place?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are you meeting minimum wage requirements at the state and federal levels?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do you employ people under 18? If yes, do you have a procedure to ensure you are meeting all applicable child labor laws at the state and federal levels?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Payroll and Timekeeping

	Yes	No	I don't Know
Is your company subject to ACA requirements? If yes, do you have a written policy and procedure for ensuring compliance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do you have a written policy for time away from work, including vacation, holiday, leaves, and jury duty?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Does your company keep payroll records in accordance with state and federal laws?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Have all managers and personnel involved in time keeping been trained on FLSA requirements and regulations?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Total Rewards Administration

	Yes	No	I don't Know
Are compensation practices and methods clearly documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are compensation levels monitored and regularly reviewed for both market competitiveness and internal equity?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Do you have a paid time off policy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>





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Total Rewards Administration	Yes	No	I don't Know
Are benefits clearly communicated to eligible employees?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Are raises, promotions, and other compensation changes applied systematically and equitably?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Grade Your Business's HR Risk Exposure:

Add all your "no's" and "I don't know's" from the questionnaire above, and use the grading key to determine your HR risk level and mediation steps.

Total "Nos" and "I don't Knows"	HR Exposure Risk Tier	Mediation or Next Steps
 0-3	Strong HR foundations with clear policies, compliant documentation, and consistent practices.	You're ready for advanced HR initiatives such as compensation analysis, leadership development, and strategic workforce planning.
 4-7	Generally compliant, but could benefit from refinement or modernization.	Targeted updates, like policy refreshes, deeper performance reviews, or talent development, will move you toward best practices.
 8-13	Several "No" or "I Don't Know" responses signal policy gaps or inconsistent practices.	Take immediate steps to reduce exposure, correct documentation, and stabilize employee relations before tackling strategic goals.
 14+	Significant HR vulnerabilities or missing foundational policies.	Prompt professional intervention is critical to mitigate legal, financial, and operational risk.

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Schedule a **free 30-minute strategy call** today to discuss your results and create a clear plan for your next steps.

Together, we'll turn your HR insights into sustainable, compliant, and growth-focused practices that empower your team and your mission.

