

Client HR Compliance Worksheet



Client Name _____ Date _____

With the risk of penalties, it's important to stay organized with HR compliance and to keep up with ever-changing laws and regulations. This worksheet can help provide insights into key HR compliance topics that may indicate areas of opportunity and/or concern within the business.

Recruitment and Retention

- | | | | | |
|----|--|-----|----|--------|
| 1. | Does your company have up-to-date job descriptions, including the identification of essential job functions, for every position? | Yes | No | Unsure |
| 2. | Are you aware of what should and should not be included in job postings? | Yes | No | Unsure |
| 3. | Have your managers been trained to mitigate risk of claims under state, federal, and/or local anti-discrimination laws while conducting employment interviews? | Yes | No | Unsure |
| 4. | Do you conduct background checks or drug testing during the post-offer, pre-employment stage, and are you aware of applicable local/state/federal regulations governing these screening processes? | Yes | No | Unsure |
| 5. | Do you use HR technology to track applicants and maintain documentation? If yes, what is the name of the system? _____ | Yes | No | Unsure |
| 6. | Do all new hires complete a Form I-9? Are you familiar with form retention requirements and best practices? | Yes | No | Unsure |
| 7. | What is your annual turnover rate? _____ Do you track turnover by position and have a process to understand the cause? | Yes | No | Unsure |
| 8. | What types of benefits do you offer employees? (Circle all that apply.) Do you evaluate your employee benefits regularly? If so, how often? _____
o Company-sponsored retirement plan o Financial and employee wellness programs o Life insurance
o Group health insurance o Flexible spending account (FSA) o Other _____
o Employee assistance program (EAP) o Premium only plan (POP) | Yes | No | Unsure |

Managing Employees

- | | | | | |
|-----|---|-----|----|--------|
| 9. | Do you have an employee handbook? Does it reflect your current policies and practices? Is it reviewed periodically by management and legal counsel? If yes, when was the last review? _____ | Yes | No | Unsure |
| 10. | Do you conduct performance appraisals regularly? If yes, how often? _____ | Yes | No | Unsure |
| 11. | Do you have on-site, remote, and/or hybrid employees? Have you trained all your managers to be consistent in their HR management practices? | Yes | No | Unsure |
| 12. | Are you aware of state-specific employee separation requirements? | Yes | No | Unsure |
| 13. | Does every resigning employee at your company receive an exit interview? | Yes | No | Unsure |

Workplace Safety

- | | | | | |
|-----|---|-----|----|--------|
| 14. | Do you know what Occupational Safety and Health Administration (OSHA) regulations apply to your company? Are all your employees trained to comply with applicable OSHA regulations? | Yes | No | Unsure |
| 15. | Do you have an emergency action plan in place? Have your employees been trained? | Yes | No | Unsure |
| 16. | Do you have a company safety manual? | Yes | No | Unsure |

Wage and Hour				
17.	Are you aware of the requirements to properly classify employees as exempt or nonexempt under applicable wage and hour laws?	Yes	No	Unsure
18.	Are you aware of the differences between an employee and an independent contractor when classifying workers?	Yes	No	Unsure
19.	How do you track employee time worked (e.g., timecards/sheets, time clocks, time and attendance software, etc.)?_____	Yes	No	Unsure
20.	Are you in compliance with applicable overtime rules?	Yes	No	Unsure
21.	Do you have employees younger than 18 years of age, and are you familiar with applicable child labor laws?	Yes	No	Unsure
22.	Does your company maintain a general personnel file for each employee? Who has access to the files? Where are they kept? _____	Yes	No	Unsure
23.	Are you familiar with the applicable record retention guidelines at the federal, state, and local levels?	Yes	No	Unsure
24.	Do you have all of the currently required federal, state, and local posters/postings displayed in your workplace? Are you certain you have the most updated version(s) of the posters you display?	Yes	No	Unsure
25.	Do you know how to handle a state unemployment insurance claim or appeal?	Yes	No	Unsure
26.	Are you aware of any health care, state continuation, or Consolidated Omnibus Budget Reconciliation Act (COBRA) requirements that apply to your company?	Yes	No	Unsure
27.	Have you ever been audited by the U.S. DOL Wage and Hour Division or by a similar state agency?	Yes	No	Unsure
Non-Harassment and Workplace Violence Prevention				
28.	Do you understand your responsibilities concerning violence in the workplace? Do your employees know their responsibilities?	Yes	No	Unsure
29.	Do you have a compliant non-harassment policy and conduct non-harassment training annually? If yes, how is this tracked at the employee level? _____	Yes	No	Unsure
30.	Have you ever had a claim from the Equal Employment Opportunity Commission (EEOC), or a similar claim from a state human rights agency?	Yes	No	Unsure
Other				
31.	Do you have any other HR-related issues or concerns we haven't discussed?	Yes	No	Unsure
32.	What is your overall sense of your company's compliance level in the topics we've discussed today? _____			
33.	Which items are of greatest concern to you? _____			
34.	Would you be open to suggestions on some of the issues that have been identified?	Yes	No	Unsure
35.	Have you ever met with anyone from Paychex® to learn about the HR solutions they offer?	Yes	No	Unsure



You Don't Have to Go It Alone

For employers who want comprehensive HR and compliance support, have a desire to strengthen existing processes, or prefer to simply stay ahead of regulatory changes, we're here to help. Contact us today to learn more.

