

Client HR Compliance Worksheet

Client Name: _____

Date: _____

Recruitment & Retention

1. Does your company have up-to-date job descriptions, which include the identification of essential job functions, for every position? Yes No Unsure
2. Are you aware of what your company should and should not include in job advertisements and job offers? Yes No Unsure
3. Do you require all applicants to complete an employment application? Yes No Unsure
4. Have your managers been trained to conduct employment interviews to minimize the risk of a discrimination claim under state, federal and local anti-discrimination laws? Yes No Unsure
5. Do you conduct background checks or drug testing during the post-offer, pre-employment stage, and are you aware of applicable local/state/federal statutes and regulations governing these screening processes? Yes No Unsure
6. Do you use a human capital management (HCM) solution to track applicants and maintain documentation? If yes, what is the name of the system? _____ Yes No Unsure
7. Do all new hires complete a Form I-9? Do you use an electronic Form I-9 System? Do you have retention and purging procedures for completed Forms I-9? Where are they kept? _____ Yes No Unsure
8. What is your annual turnover rate? Do you track turnover by position? _____
9. What types of benefits do you offer employees? (Circle all that apply.)

Company-sponsored retirement plan	Long-term disability insurance	Employee assistance program (EAP)
Group health insurance	Flexible spending account (FSA)	Wellness program
Life insurance	Premium only plan (POP)	Other _____

Managing Employees

10. 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
11. Do you conduct performance appraisals regularly? Is management trained on how to conduct them and/or do you have a companywide form to use? If yes, how often are employees reviewed? _____ Yes No Unsure
12. Have you trained all your managers to be consistent in their HR management practices? Yes No Unsure
13. Are you familiar with state employment laws related to final pay for the state(s) in which you operate? Yes No Unsure
14. Do you know if you are required to provide any specific documents to an employee upon termination in the state(s) in which you operate? Yes No Unsure
15. Does every resigning employee at your company receive an exit interview? Yes No Unsure

Workplace Safety

16. Do you have an emergency evacuation plan in place, and is it posted? Have your employees been trained on the plan? Yes No Unsure
17. Do you have a written safety program? Yes No Unsure
18. Do you have a company safety manual for your managers? Yes No Unsure
19. Do you know what OSHA regulations and training apply to your staff?
Are all of your employees trained in compliance with applicable OSHA regulations? Yes No Unsure
20. Do you understand your responsibilities concerning violence in the workplace?
Do your employees know their responsibilities? Yes No Unsure

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Wage and Hour

21. Are you aware of the requirements to properly classify workers as exempt or non-exempt under applicable wage and hour laws? Yes No Unsure
22. Are you aware of the differences between an employee and an independent contractor as defined and/or interpreted under applicable federal and state laws and regulations? Yes No Unsure
23. How do you track non-exempt employee time worked? i.e., paper time cards/sheets, time clocks, time and attendance software, etc. _____
24. Are you in compliance with applicable federal and state overtime rules? Yes No Unsure
25. Do you have employees under the age of 18, and are you familiar with applicable child labor laws? Yes No Unsure
26. Does your company maintain a general personnel file for each employee? Who has access to the files? Yes No Unsure
27. Are you familiar with the applicable record retention guidelines at the state, federal and local level? Yes No Unsure
28. 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
Yes No Unsure
29. Do you know how to handle a state unemployment insurance claim or appeal? Yes No Unsure
30. Are you aware of any health care, state continuation, or COBRA requirements that apply to your company? Yes No Unsure
31. Have you ever been audited by the US DOL Wage and Hour Division or state DOL? Yes No Unsure

Non-Harassment and Violence

32. Do you require and conduct non-harassment training annually?
If yes, how is this tracked at the employee level? _____ Yes No Unsure
33. Have you ever had a claim from the EEOC, or a similar claim from a state agency?
If yes, what type of claim? _____ Yes No Unsure
34. Has someone been designated and trained within the company to appropriately handle sexual harassment complaints? Yes No Unsure

Other

35. Do you have any other HR-related issues or concerns we haven't discussed? Yes No Unsure
36. What is your overall sense of your company's compliance level in the topics we've discussed today? _____
37. Which items are of greatest concern to you? _____
38. Would you be open to suggestions on some of the issues that have been identified? Yes No Unsure
39. Have you ever met with anyone from Paychex to learn about the HR solutions they offer? Yes No Unsure

Current as of January 3, 2018. The information provided in this worksheet is meant for general purposes and may not be comprehensive in all areas; it should not be considered legal advice. We recommend employers consult with an HR professional or legal counsel as necessary to discuss the application of policies to their organization.