

# Client HR Compliance Worksheet

Client Name: \_\_\_\_\_

Date: \_\_\_\_\_

## Recruitment & Retention

1. Does your company have written and up to date job descriptions, including 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 in compliance with 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? Yes No Unsure
6. Do you use a human capital management (HCM) solution to track applicants and maintain files? If yes, what is the name of the system? \_\_\_\_\_ Yes No Unsure
7. Do all new hires complete a Form I-9? Do you have a retention and destruction policy 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? 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? \_\_\_\_\_ 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 law 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 aware of the U.S. Department of Labor's new 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? 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
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

## Non-Harassment and Violence

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

## Other

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