# Client HR Compliance Worksheet

Client Name: ___________________________   Date: _______________

## Recruitment and 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?  
   - Yes  
   - No  
   - Unsure

9. What types of benefits do you offer employees? (Circle all that apply)
   - Company-sponsored retirement plan
   - Group health insurance
   - Life insurance
   - Long-term disability insurance
   - Flexible spending account (FSA)
   - Premium only plan (POP)
   - Employee assistance program (EAP)
   - Wellness program
   - 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
## Client HR Compliance Worksheet

### Wage and Hour

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<tbody>
<tr>
<td>21.</td>
<td>Are you aware of the requirements to properly classify workers as exempt or non-exempt under applicable wage and hour laws?</td>
<td>Yes No Unsure</td>
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<tr>
<td>22.</td>
<td>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?</td>
<td>Yes No Unsure</td>
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<tr>
<td>23.</td>
<td>How do you track non-exempt employee time worked? e.g., paper time cards/sheets, time clocks, time and attendance software, etc.</td>
<td></td>
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<td>24.</td>
<td>Are you in compliance with applicable federal and state overtime rules?</td>
<td>Yes No Unsure</td>
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<tr>
<td>25.</td>
<td>Do you have employees younger than 18, and are you familiar with applicable child labor laws?</td>
<td>Yes No Unsure</td>
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<tr>
<td>26.</td>
<td>Does your company maintain a general personnel file for each employee? Who has access to the files? Where are they kept?</td>
<td>Yes No Unsure</td>
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<tr>
<td>27.</td>
<td>Are you familiar with the applicable record retention guidelines at the state, federal and local level?</td>
<td>Yes No Unsure</td>
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<td>28.</td>
<td>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?</td>
<td>Yes No Unsure</td>
</tr>
<tr>
<td>29.</td>
<td>Do you know how to handle a state unemployment insurance claim or appeal?</td>
<td>Yes No Unsure</td>
</tr>
<tr>
<td>30.</td>
<td>Are you aware of any health care, state continuation, or COBRA requirements that apply to your company?</td>
<td>Yes No Unsure</td>
</tr>
<tr>
<td>31.</td>
<td>Have you ever been audited by the U.S. DOL Wage and Hour Division or state DOL?</td>
<td>Yes No Unsure</td>
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### Non-Harassment and Violence

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

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