

Compliance Audit

A structured tool to evaluate and enhance compliance.

Audit Scope

Define the areas or processes covered in this audit (e.g., Hiring practices, Compensation and Benefits, Employee relations, leave management (FMLA, etc), Employee files, Safety and Health).

Summary of areas audited: _____

Findings

List each compliance issue identified during the audit and any recommended changes.

- Issue #1: _____
- Details: _____
Severity: [Low/Medium/High]

Recommendations: _____

- Issue #2: _____
- Details: _____
Severity: [Low/Medium/High]

Recommendations: _____

Summary and Next Steps

Overall Compliance Rating: [Compliant/Non-Compliant]

Issue	Details	Severity (Low/Medium/High)	Recommendation Responsible Party	Deadline
Outdated Employee Training	Safety training materials are outdated (last updated 2019).	High	Update training materials to meet current OSHA standards. HR Manager	Dec. 15, 2024



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HR Compliance Checklist

Recruitment, Interviewing, and Hiring

- **Fair Hiring Practices:** Ensure job postings and interviews are free from discriminatory language or personal questions unrelated to the job.
- **Background and Reference Checks:** Apply background checks consistently and document exceptions.
- **Form I-9 Compliance:** Complete and retain Form I-9s in compliance with federal regulations.
- **Records Retention:** Retain recruitment records and hiring decisions per legal requirements.

Onboarding Procedures and Company Policies

- **New Hire Orientation:** Provide training on company policies, anti-harassment, safety procedures, and employee rights.
- **Training Records:** Keep records of training and employee acknowledgments.

Employee Classification

- **FLSA Compliance:** Ensure employees are correctly classified as exempt or non-exempt.
- **Contingent Workforce:** Classify contractors, temporary workers, and employees correctly.

Compensation and Benefits

- **Payroll Compliance:** Ensure tax withholding and reporting procedures are followed.
- **Wages and Overtime:** Adhere to minimum wage and overtime laws.
- **Benefits Administration:** Administer benefits like FMLA, ADA, ACA, and ERISA in accordance with the law.

Safety and Worker's Compensation

- **Job Safety Training:** Provide OSHA-compliant safety training.
- **Workers' Compensation Compliance:** Follow state and federal laws for injury reporting and workers' compensation benefits.
- **Posting Requirements:** Ensure required notices are displayed in employee areas.



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Diversity, Equity, Inclusion, and Belonging (DEIB)

- **DEIB Policies:** Implement and regularly review policies to ensure they promote diversity and inclusion.
- **Affirmative Action Plans:** Maintain and communicate your company's AAP to hiring managers and document efforts.

Data Privacy and Information Security

- **Data Handling Policies:** Implement secure storage and handling of sensitive employee information.
- **Compliance with Data Protection Laws:** Ensure compliance with data protection laws, including HIPAA.

Termination and Separation

- **Termination Procedures:** Ensure termination policies cover final paychecks, benefit continuations, and system access removal.
- **Exit Interviews:** Conduct exit interviews and maintain accurate termination records.

Unions and Collective Bargaining Agreements

- **CBA Compliance:** Ensure managers are trained in the key terms of any collective bargaining agreements.
- **Labor Law Training:** Train managers on labor laws to avoid costly grievances.

Required Notices/Posters

- Family Medical Leave Act (FMLA)
- Federal and State Minimum Wage
- Equal Employment Opportunity (EEO)
- OSHA Safety Standards
- Pay Transparency Notices

Additional Compliance Items

- **Certifications and Licenses:** Keep track of required employee certifications and licenses.
- **Personal Data Updates:** Maintain up-to-date records for employee personal data (name, address, etc.).
- **Injury and Illness Reports:** Document work-related injuries and ensure compliance with OSHA 300 log requirements.



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Compliance Item	Applicability
Form I-9 Compliance	Required by Every State
FLSA Compliance	Required by Every State
Payroll Compliance	Required by Every State
Workers' Compensation Compliance	Required by Every State
OSHA Safety Training	Required by Every State
Federal Posters	Required by Every State
State-Specific Minimum Wage	Required by Some States
Paid Sick Leave	Required by Some States
Contingent Workforce Classification	Required by Some States
Affirmative Action Plans (AAP)	Required by Some States
Employee Handbook	Not Required (Best Practice)
DEIB Policies	Not Required (Best Practice)
Termination Procedures & Exit Interviews	Not Required (Best Practice)
Data Handling Policies	Not Required (Best Practice)