

HR Compliance & Operations Audit

COMPLIANCE · LAWS AND POLICIES

YES	NO	
☐	☐	I have an employee handbook. It was last updated: _____
☐	☐	I have every employee signature on handbooks, dated within the past year.
☐	☐	I have a written process, templates, and documentation for employee leave.
☐	☐	I know exactly what to do when someone asks for a medical or religious accommodation.
☐	☐	I assess job classifications annually (Exempt/Non-Exempt, 1099 vs Employee).
☐	☐	My labor law posters are up to date as of: _____
☐	☐	I know what my state/province requires for harassment and violence training. I'm doing it.
☐	☐	I know what my state/province requires for specialized leave (Bereavement, Jury Duty, DV, etc.)
☐	☐	Employee files are confidential and include only what is required.

RECRUITMENT AND HIRING

YES	NO	
☐	☐	I have a job description for every role.
☐	☐	Each job description is 100% accurate with what work is actually being done.
☐	☐	I'm confident my job postings are compliant, accurate, and attractive to the candidates I want.
☐	☐	I have a clear interview process and it aligns with company values.
☐	☐	Everyone who interviews is trained for effective and fair interviewing.
☐	☐	The candidate experience exceeds my expectations.
☐	☐	It is a smooth transition from candidate to employee.

COMPENSATION & BENEFITS

YES	NO	
☐	☐	I feel proud of the benefits the company offers.
☐	☐	I can tell you why each person is paid what they're paid and I know it's fair.
☐	☐	The last pay equity analysis was completed: _____
☐	☐	The ratio of time off my people took to how much was available last year was: _____

EMPLOYEE RELATIONS

YES NO

- ☐ ☐ There is someone trusted who employees can report concerns to that's not me.
- ☐ ☐ I know the steps of conducting a fair and legal investigation.
- ☐ ☐ There's no sense of awkwardness or hesitation for someone to share something concerning.
- ☐ ☐ I know how my employees feel about the company and their jobs because I do this:

TRAINING AND DEVELOPMENT

YES NO

- ☐ ☐ Leadership and management roles have plans for succession and internal growth.
- ☐ ☐ I have these trainings in place:
- New Hire Orientation (more than an hour)
 - Job-specific onboarding
 - New manager and upskill training
 - Remedial support training
- ☐ ☐ New Hire training is done so well that employees are 85% ready for the job by the time it's done.

PERFORMANCE MANAGEMENT

YES NO

- ☐ ☐ My expectations for each role are documented and clearly defined.
- ☐ ☐ I hold regular performance conversations at this interval:
- ☐ ☐ I'm definitely consistent about being accountable and holding others accountable.
- ☐ ☐ I use a consistent discipline and termination procedure.

This should give you some clues about the areas where you're strong, and some areas where you could tighten up.

NEXT STEP

Want a few tips on the high-priority challenges?

Send me your completed assessment and I'll send you ideas on the top 3 actions to take right away.

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