



HR Compliance Audit Checklist

Employment Policies and Procedures

- ☐ Employee handbook
- ☐ Anti-discrimination and harassment policies.
- ☐ At-will employment statement (if applicable).
- ☐ Accommodation policies (ADA, religious, pregnancy).
- ☐ Discipline and termination procedures.
- ☐ Workplace safety policies (OSHA compliance).
- ☐ Remote work and hybrid policies.

Recruitment and Hiring

- ☐ Job descriptions
- ☐ Application forms
- ☐ Offer letters and employment contracts.
- ☐ Background check and pre-employment screening policies.
- ☐ Onboarding forms
- ☐ I-9 forms
- ☐ E-Verify compliance (if applicable).

Compensation and Payroll

- ☐ Employee List including date of hire, gender, position, rate of pay, FT/PT, Exempt/non-exempt status
- ☐ Timekeeping records.
- ☐ Independent contractor classification and documentation (W-9, contracts).

Benefits Administration

- ☐ Benefit plan documents and enrollment census
- ☐ Health insurance compliance (ACA, COBRA, state-specific rules).
- ☐ Retirement plan compliance (ERISA requirements).
- ☐ Leave policies: FMLA, state-specific, paid/unpaid leave.
- ☐ Workers' compensation insurance.



Training and Development

- ☐ Harassment prevention training
- ☐ Safety training programs.
- ☐ DEI initiatives and training records.
- ☐ Documentation of required certifications for roles.

Employee Records Management

- ☐ Personnel files: Separate medical and confidential information.
- ☐ Performance evaluations and disciplinary actions.
- ☐ Retention and destruction policies compliant with state and federal law.
- ☐ Termination documentation (exit interviews, final pay compliance).

Compliance Posters and Notifications

- ☐ Up-to-date federal, state, and local labor law posters.
- ☐ Remote employee access to labor law notifications.
- ☐ OSHA and EEO postings compliance.

Workplace Safety

- ☐ OSHA reporting logs (300, 301, 300A).
- ☐ Emergency action and disaster preparedness plans.
- ☐ Workplace violence prevention policies.

Equal Employment Opportunity

- ☐ EEOC compliance and reporting (if applicable).
- ☐ Affirmative action plan (for federal contractors or applicable employers).
- ☐ Complaint and investigation procedures.

Policies for Specialized Areas

- ☐ Data privacy compliance (GDPR, CCPA, as applicable). ☐
- ☐ COVID-19-related policies (PPE, vaccinations, sick leave).
- ☐ Social media and workplace technology policies.
- ☐ Global workforce compliance (if international operations).