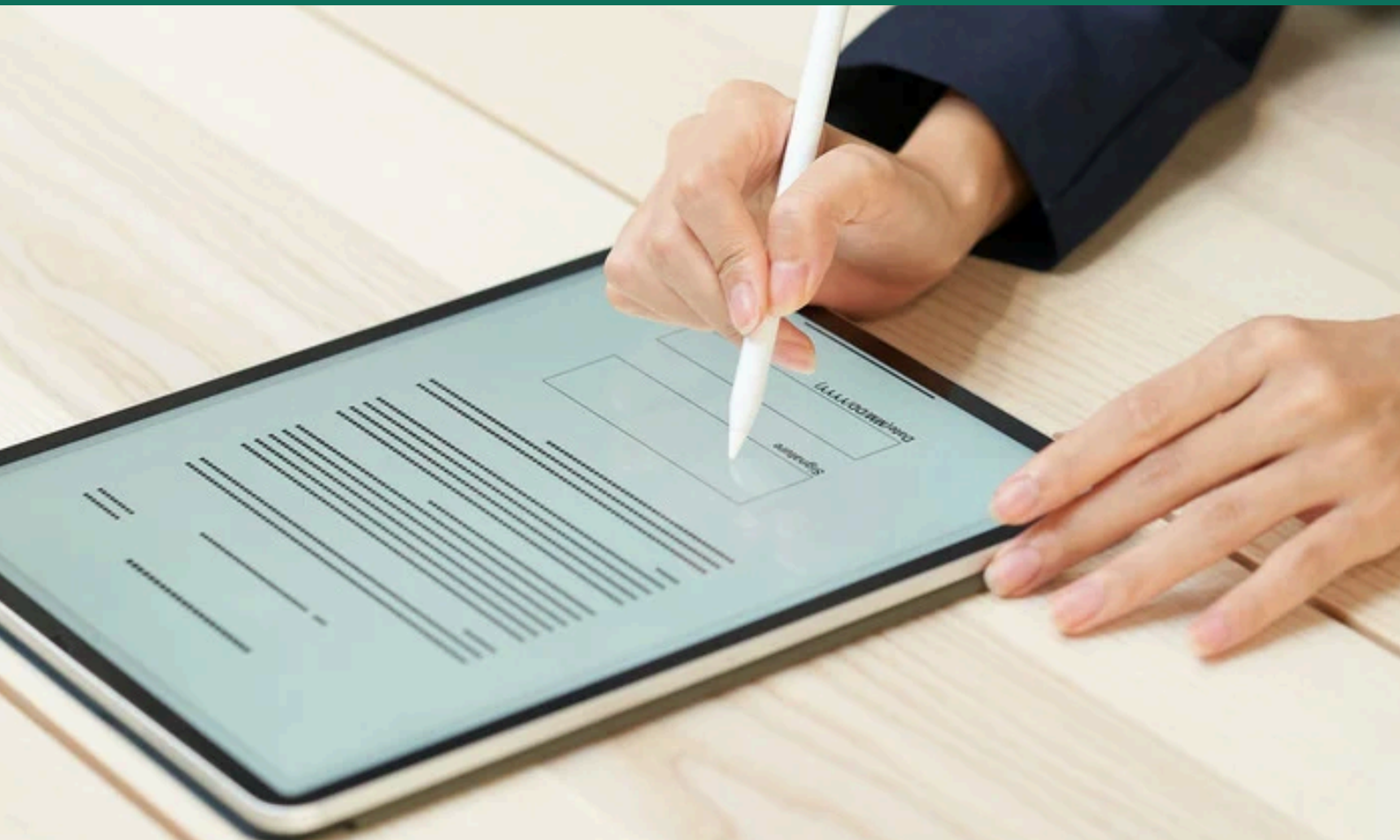




HR Compliance Audit Checklist



A Comprehensive Review of HR
Policies and Compliance

HR Compliance Audit Checklist

As your business grows, ensuring HR compliance is essential for managing risks, fostering a fair workplace, and aligning with strategic goals. An HR compliance audit systematically reviews your HR policies, processes, and documentation to ensure they meet federal, state, and local regulations while supporting a positive company culture. This checklist provides a structured tool to evaluate your HR practices, identify gaps, and implement improvements efficiently.

Purpose: Use This Checklist To

- Assess compliance with employment laws and internal standards.
- Identify risks and inefficiencies in HR processes.
- Track remediation efforts to strengthen your workplace.

How to Use

- Mark each task as “Complete,” “In Progress,” or “Not Started.”
- Assign owners and deadlines for incomplete tasks.
- Conduct audits annually or after significant changes (e.g., growth, new regulations).

This checklist covers key HR areas- Hiring & Onboarding, Employee Classification & Compensation, Workplace Policies & Training, Recordkeeping & Data Privacy, Separation & Termination, and Diversity, Equity, and Inclusion (DEI). Save as a PDF or print for team use to ensure accountability.

Track remediation efforts to strengthen your workplace.

If you need further assistance, feel free to reach out to us.

HR Compliance Audit Checklist

Hiring & Onboarding

ITEMS	DEADLINE	STATUS
Ensure job descriptions are clear, non-discriminatory, and compliant with anti-discrimination laws.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Confirm offer letters outline at-will employment, compensation, and benefits clearly.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Verify background check processes comply with applicable state and federal laws.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Ensure I-9 forms are completed within three days of hire and stored securely.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Confirm new hires receive and acknowledge the employee handbook.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Review recruitment sources to ensure diverse and inclusive outreach.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done

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Employee Classification & Compensation

ITEMS	DEADLINE	STATUS
Verify employees are correctly classified as exempt or non-exempt under wage laws.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Confirm independent contractors meet federal and state classification criteria.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Audit payroll records to ensure compliance with minimum wage and overtime laws.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Review compensation for fairness across gender, race, and other demographics.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Confirm salary bands and compensation plans are documented and competitive.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done

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Workplace Policies & Training

ITEMS	DEADLINE	STATUS
Confirm employee handbook is updated to reflect current laws (e.g., harassment, safety).		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Verify mandatory training on harassment, safety, and inclusion is conducted regularly.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Ensure training completion is documented and stored securely.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Confirm policies are accessible (e.g., intranet, printed handbook) and acknowledged.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Review disciplinary processes for fairness and compliance with anti-retaliation laws.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done

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Recordkeeping & Data Privacy

ITEMS	DEADLINE	STATUS
Verify employee records (e.g., payroll, medical files) are stored securely and separated.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Confirm document retention periods comply with legal requirements.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Audit data access controls to limit access to authorized personnel only.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Ensure employee data practices comply with applicable privacy laws.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Review cybersecurity measures to protect employee data from breaches.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done

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Separation & Termination

ITEMS	DEADLINE	STATUS
Ensure terminations are documented with clear, non-discriminatory reasons.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Verify final paychecks are issued within state-required deadlines.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Confirm continuation coverage (e.g., COBRA) information is provided to terminated employees.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Review exit interview processes for consistency and documentation.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Ensure compliance with mass layoff notification laws, if applicable.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done

HR Compliance Audit Checklist

Diversity, Equity, and Inclusion (DEI)

ITEMS	DEADLINE	STATUS
Review hiring processes for inclusivity (e.g., diverse job boards, unbiased screening).		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Analyze workforce demographics to identify representation gaps in roles or leadership.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Verify compensation fairness across gender, race, and other demographics.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Set measurable goals for improving workplace inclusion.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done
Conduct regular inclusion training and collect anonymous employee feedback.		<input type="checkbox"/> In Progress <input type="checkbox"/> Done

Exceptional HR Solutions is dedicated to empowering organizations with holistic human resources expertise, enabling them to navigate today's complex regulatory landscape while fostering cultures of compliance, integrity, and high performance.

We believe that best-in-class HR isn't merely about avoiding risk—it's about unlocking potential. By thoroughly assessing current practices, identifying key gaps, and implementing customized solutions, we help our clients build HR systems that protect their business, support their people, and set them up for sustainable success.

Our Services

- Fractional HR
- Tailored Payroll
- Compliance
- Fractional CHRO
- Employee Onboarding Services
- Talent Acquisition Service
- Investigations Services
- Employee Benefits
- Compensation Consultation

Whether you need a one-time audit or ongoing support, we provide the right expertise to protect your organization, strengthen your people practices, and give you peace of mind.