

# HR COMPLIANCE CHECKLIST

When evaluating your HR compliance, be sure your documents adhere to compliance laws.

✓	<b>EMPLOYMENT APPLICATION AND BACKGROUND CHECK</b>
	<input type="checkbox"/> Contains appropriate language <input type="checkbox"/> Compliant with applicable non-discrimination laws <input type="checkbox"/> Compliant with criminal background inquiries <ul style="list-style-type: none"> <li><input type="checkbox"/> Ban-the-box laws</li> <li><input type="checkbox"/> Credit check laws</li> <li><input type="checkbox"/> Federal and state Fair Credit Reporting Act laws</li> <li><input type="checkbox"/> Industry-specific regulatory background check rules</li> </ul> <input type="checkbox"/> Compliant with applicable salary history inquiry bans
✓	<b>INTERVIEWING</b>
	Review the following to ensure that only permissible questions are asked when interviewing applicants <ul style="list-style-type: none"> <li><input type="checkbox"/> Scripts</li> <li><input type="checkbox"/> Guidelines</li> <li><input type="checkbox"/> Lists</li> <li><input type="checkbox"/> Forms</li> <li><input type="checkbox"/> Management consistency</li> </ul>
✓	<b>OFFER LETTERS AND EMPLOYMENT CONTRACTS</b>
	<input type="checkbox"/> Contains no express or implied agreements of permanent employment <input type="checkbox"/> Contingency upon successful completion of <ul style="list-style-type: none"> <li><input type="checkbox"/> Criminal background</li> <li><input type="checkbox"/> Credit check</li> <li><input type="checkbox"/> Drug test</li> </ul>
✓	<b>COMPANY HANDBOOK</b>
	<input type="checkbox"/> Compliant with applicable federal, state, and local laws <input type="checkbox"/> Minimizes exposure regarding employment-at-will <input type="checkbox"/> Compliant with local and state practices

✓	<b>JOB DESCRIPTIONS</b>
	<input type="checkbox"/> Explain job functions <input type="checkbox"/> Distinguish essential from nonessential functions <input type="checkbox"/> Reflects the day-to-day functions of the applicable job
✓	<b>EMPLOYEE ELIGIBILITY</b>
	<input type="checkbox"/> I-9 Forms <input type="checkbox"/> Filed separately from the personnel folder
✓	<b>PAYROLL</b>
	<input type="checkbox"/> Classification of employees as exempt or non-exempt <input type="checkbox"/> Compliant with wage and hour laws <input type="checkbox"/> Compliant with overtime laws <input type="checkbox"/> Compliant with federal, state, and local laws
✓	<b>PERSONNEL FILES</b>
	<input type="checkbox"/> Appropriately maintained <input type="checkbox"/> Access controlled <input type="checkbox"/> Confidentiality of personally identifying information protected <input type="checkbox"/> Compliant with applicable personnel file laws
✓	<b>MANAGER AND STAFF TRAINING</b>
	<p>Ensure all employees are trained regarding their rights and responsibilities under</p> <input type="checkbox"/> Applicable equal employment opportunity laws <input type="checkbox"/> Policies <input type="checkbox"/> Organization's complaint procedure <input type="checkbox"/> Harassment and general liability avoidance <input type="checkbox"/> Illegal interview questions <input type="checkbox"/> Handling complex situations
✓	<b>SALARY, BONUSES AND OTHER COMPENSATION</b>
	<input type="checkbox"/> Compliant with pay bands <input type="checkbox"/> Compliant with pay frequency <input type="checkbox"/> Compliant with salary review timing

	<ul style="list-style-type: none"><li><input type="checkbox"/> Compliant with performance evaluation procedures</li><li><input type="checkbox"/> Ensure compensation practices are explained clearly</li></ul>
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