



HR AND LEGAL COMPLIANCE SURVEY

Name of organization: _____ Phone #: _____
 Address: _____
 Contact person: _____ Date Completed: _____
 Number of Employees: _____ Locations: _____ Type of Business: _____
 Any Government Contracts? _____ Workers Comp claims? _____ Turnover rate _____

Do you have these completed?	Yes	No	Notes
1. Updated Employee Handbook (in the past year) and reviewed by attorney			
2. Written Injury and Illness Prevention Plan			
3. All required State and Federal Postings for 2004-05			
4. Personnel File maintained on each employee (with separate medical files)			
5. Procedure Guides for Supervisors			
Do you have these Personnel Forms?			
6. Job Application (with at-will statement, etc.)			
7. Job Descriptions (ADA, FLSA and OSHA compliance)			
8. Reference Check Forms (signed by Applicant)			
9. Background checking authorization forms (signed by Applicant)			
10. Offer Letter/Employment agreement (Reviewed by Attorney)			
11. New Hire Checklist (required brochures listed)			
12. Personnel File Contents Checklist (file audits done?)			
13. Confidentiality Agreement			
14. Time sheet (non-exempt) including meal and rest periods			
15. I-9 forms for (INS) (Where kept? Current form used)			
16. Assignment of company property			
17. Authorization for payroll deductions			
18. Request for time off			
19. FMLA letter			
20. Employee Counseling/Corrective Action Form			
21. Performance Appraisal System coordinated with job descriptions			
22. Exempt record keeping – How do you do it? Do you allow comp time?			
23. Make-up Time Requests			
24. Motor Vehicle Report (on all staff who may drive during the work day)			
25. Exit Questionnaire/resignation/final paycheck receipt			
26. Employee Termination Checklist			
27. Cobra Letters (6)			
28. Manager's New Hire Orientation			
29. Pre-Termination Checklist (risk factors)			
30. Form for investigating Sexual Harassment Complaints			
31. FLSA Exempt vs. Non-Exempt			
32. IRS Classification for Independent Contractors			
Have you done the following training in the past year?			
33. Harassment Prevention			
34. Supervisors Legal Update and Management Skills			
35. Safety Training for all staff on <u>all</u> Workplace Hazards			

If this audit shows that your company is not in compliance please don't hesitate to call me at 916-444-6200 or e-mail me at KarenOHara@HRtoGo.com to set up an appointment to discuss how I can help you. Three (3) FREE forms upon request.

Workforce Demographics

Job Classification (Class)	Male % of Class	Female % of Class		Class Total as % of Total Employees	Minority Group by Class
Management					
Exempt Salaried					
Non-Exempt/Hourly					
Total Organization					

	Male	Female
Black		
Hispanic		
Asian/Pacific Islander		
American Indian/AK Native		
Total		

Age:	40+ years	- 40 years	Total
# of Employees:			