

HR Compliance Audit Checklist



Disclaimer

This checklist is provided for educational and informational purposes only. It is not intended as legal advice. Employment laws vary by jurisdiction, and organizations should consult qualified legal counsel or compliance professionals regarding specific legal obligations.

HR Compliance Audit Checklist

A Practical Guide for Reviewing Your HR Compliance Program

Department: Human Resources & Compliance

Edition: 2026

Purpose

An HR compliance audit helps organizations identify gaps in employment practices before they become legal or regulatory issues. This checklist provides HR professionals with a structured framework to review key compliance areas, improve documentation, and reduce organizational risk.

Who Should Use This Checklist?

- ✓ HR Managers
- ✓ HR Generalists
- ✓ Payroll Professionals
- ✓ Compliance Officers
- ✓ Small Business Owners
- ✓ Operations Managers

Quick Facts

Category	Information
Audit Type	Internal Compliance Audit
Estimated Time	2–4 Hours
Audience	HR, Payroll, Management
Primary Agencies	DOL, EEOC, USCIS, IRS, OSHA

Disclaimer

This checklist is provided for educational and informational purposes only. It is not intended as legal advice. Employment laws vary by jurisdiction, and organizations should consult qualified legal counsel or compliance professionals regarding specific legal obligations.

HR Compliance Audit Checklist

Employee Records

✓ Audit Item	Status Notes
☐ Personnel files are complete and organized.	
☐ Required employment documents are on file.	
☐ Confidential medical records are stored separately.	
☐ Payroll records meet applicable retention requirements.	
☐ Employee records are securely maintained.	

Hiring & Onboarding

✓ Audit Item	Status Notes
☐ Job descriptions are current and accurate.	
☐ Interview process follows equal employment laws.	
☐ Background checks comply with applicable laws.	
☐ Form I-9 is completed for all new hires.	
☐ New hire reporting requirements are completed.	

Wage & Hour Compliance

✓ Audit Item	Status Notes
☐ Employees are properly classified as exempt or non-exempt.	
☐ Overtime is calculated correctly.	

Disclaimer

This checklist is provided for educational and informational purposes only. It is not intended as legal advice. Employment laws vary by jurisdiction, and organizations should consult qualified legal counsel or compliance professionals regarding specific legal obligations.

✓ Audit Item**Status Notes**

- ☐ Timekeeping procedures are consistently followed.
 - ☐ Meal and rest break requirements are observed where applicable.
 - ☐ Payroll deductions are properly authorized.
-

Leave Administration**✓ Audit Item****Status Notes**

- ☐ FMLA procedures are documented and consistently applied.
 - ☐ ADA accommodation requests are documented.
 - ☐ Leave records are maintained appropriately.
 - ☐ Return-to-work procedures are consistently followed.
 - ☐ Applicable state leave laws are reviewed.
-

Workplace Policies**✓ Audit Item****Status Notes**

- ☐ Employee handbook has been reviewed within the last 12 months.
 - ☐ Anti-harassment policy is current.
 - ☐ Code of Conduct is up to date.
 - ☐ Remote work policies reflect current practices.
 - ☐ AI, technology, and data privacy policies are in place where applicable.
-

Disclaimer

This checklist is provided for educational and informational purposes only. It is not intended as legal advice. Employment laws vary by jurisdiction, and organizations should consult qualified legal counsel or compliance professionals regarding specific legal obligations.

Training & Compliance

✓ Audit Item	Status Notes
☐ Required compliance training has been completed.	
☐ Managers receive compliance training regularly.	
☐ Harassment prevention training records are maintained.	
☐ Training completion records are documented.	
☐ Compliance responsibilities are clearly assigned.	

Workplace Safety

✓ Audit Item	Status Notes
☐ Required labor law posters are displayed.	
☐ OSHA logs are maintained, if applicable.	
☐ Workplace safety inspections are documented.	
☐ Emergency procedures are communicated to employees.	
☐ Workplace incidents are investigated and documented.	

Employee Relations

✓ Audit Item	Status Notes
☐ Employee complaints are documented and investigated.	
☐ Disciplinary actions are consistently documented.	
☐ Performance evaluations are completed on schedule.	
☐ Termination procedures follow company policy.	

Disclaimer

This checklist is provided for educational and informational purposes only. It is not intended as legal advice. Employment laws vary by jurisdiction, and organizations should consult qualified legal counsel or compliance professionals regarding specific legal obligations.

✓ Audit Item**Status Notes**

☐ Exit documentation is complete.

Audit Summary**Compliance Area Status**

Employee Records ☐ Pass ☐ Needs Review

Hiring & Onboarding ☐ Pass ☐ Needs Review

Wage & Hour ☐ Pass ☐ Needs Review

Leave Administration ☐ Pass ☐ Needs Review

Workplace Policies ☐ Pass ☐ Needs Review

Training ☐ Pass ☐ Needs Review

Safety ☐ Pass ☐ Needs Review

Employee Relations ☐ Pass ☐ Needs Review

Common Compliance Gaps

During an HR compliance audit, organizations frequently identify issues such as:

- Missing or incomplete personnel documentation.
 - Outdated employee handbook policies.
 - Inaccurate exempt/non-exempt employee classifications.
 - Incomplete Form I-9 records.
 - Inconsistent documentation of disciplinary actions.
 - Insufficient leave administration records.
 - Missing compliance training documentation.
 - Failure to update workplace postings.
-

Disclaimer

This checklist is provided for educational and informational purposes only. It is not intended as legal advice. Employment laws vary by jurisdiction, and organizations should consult qualified legal counsel or compliance professionals regarding specific legal obligations.

Best Practices

- Conduct an internal HR compliance audit at least once each year.
 - Document corrective actions and assign responsibility for completion.
 - Review policies whenever employment laws change.
 - Maintain standardized HR documentation and recordkeeping practices.
 - Provide regular compliance training for HR staff and supervisors.
-



Disclaimer

This checklist is provided for educational and informational purposes only. It is not intended as legal advice. Employment laws vary by jurisdiction, and organizations should consult qualified legal counsel or compliance professionals regarding specific legal obligations.