

HR Compliance Checklist

This checklist will help you assess your current HR practices, to identify key areas that may need improvement or implementation.

Use this form to enhance your company's HR function and to ensure key legal requirements are met.

1. Contracts and Employment Terms

<input type="checkbox"/>	<p>Written Employment Contracts Confirm all employees and workers have a legally required 'written statement of employment particulars', known as an employment contract, from day one of employment.</p>
<input type="checkbox"/>	<p>Employee Handbook An employee Handbook is issued to all workers, detailing your policies and procedures, to set standards for performance and conduct.</p>
<input type="checkbox"/>	<p>Job Descriptions Up-to-date and clear job descriptions are available for all roles.</p>
<input type="checkbox"/>	<p>Self-Employed Workers Self-employed worker risks have been reviewed, to ensure compliance with IR35 legislation and to prevent claims for statutory rights such as holiday pay, when self-employed workers are treated like employees.</p>

2. Statutory and Legal Requirements

<input type="checkbox"/>	<p>Right to Work Checks Right to work in the UK documentation is on file for all employees, from their first day of employment.</p>
<input type="checkbox"/>	<p>National Minimum Wage Compliance Wages are reviewed in April each year, to ensure compliance with the current national minimum wage and national living wage rates.</p>
<input type="checkbox"/>	<p>Working Time Regulations Employees are given the minimum legal rest breaks and have signed an opt-out of the 48-hour week agreement.</p>
<input type="checkbox"/>	<p>GDPR Compliance Employee data is processed in line with GDPR and data is saved in a secure location and is regularly backed up.</p>

3. Policies and Procedures

<input type="checkbox"/>	<p>Disciplinary and Grievance Procedures Employees have access to a disciplinary and grievance procedure, which has been written in line with the Acas Code of Practice on disciplinary and grievance procedures.</p>
<input type="checkbox"/>	<p>Equal Opportunities Policies which prevent discrimination and ensure equal opportunities are in place and are implemented, including compliance with the Equal Pay Act.</p>
<input type="checkbox"/>	<p>Anti- Bullying and Harassment Policies which prevent bullying and harassment (including sexual harassment) are in place and are implemented, including different routes for making complaints, and the areas of risk have been assessed.</p>
<input type="checkbox"/>	<p>Whistleblowing Policy A confidential and effective whistleblowing process is in place, for reporting wrong doings in the workplace, such as criminal offences, health and safety risks or environmental damage.</p>
<input type="checkbox"/>	<p>Young Workers A young worker policy and procedure is in place to ensure they receive mentoring and training, their role is risk assessed and they receive the correct working hours and rest breaks.</p>
<input type="checkbox"/>	<p>Data Privacy Notice Employees have been given a data privacy notice, which contains a procedure for how they can make a subject access request.</p>

4. Employee Benefits and Wellbeing

<input type="checkbox"/>	<p>Sickness and Absence Policy A sickness and absence policy is in place for managing sickness and long-term absence, including absence triggers, return-to-work procedures and occupational health screening.</p>
<input type="checkbox"/>	<p>Annual Leave Employees are given the statutory minimum holiday entitlement and holiday pay is based on average earnings when they regularly work overtime, receive commission and/or bonuses.</p>

<input type="checkbox"/>	<p>Auto-Enrolment Pension Scheme A workplace pension scheme is in place, which employees have been given information about, and the auto-enrolment legal requirements are met.</p>
<input type="checkbox"/>	<p>Employee Assistance Programmes (EAPs) Employees are given access to an EAP to support mental health and wellbeing.</p>
<input type="checkbox"/>	<p>Workplace Flexibility A flexible working policy and procedure is in place and potential flexible working arrangements have been reviewed, such as hybrid working, to support work-life balance and boost employee retention.</p>
<input type="checkbox"/>	<p>Company Vehicles A vehicle policy is in place which outlines the rules for using company vehicles and a 'company vehicle agreement' is signed by the employee, to allow the lawful deduction from wages in the event of any insurance excess costs or driving/parking fines.</p>

5. Training and Development

<input type="checkbox"/>	<p>Induction Process An effective induction programme for new starters is in place, to improve employee retention and engagement.</p>
<input type="checkbox"/>	<p>Mandatory Training All employees are given mandatory training (e.g., health and safety, GDPR, equality and diversity, harassment at work).</p>
<input type="checkbox"/>	<p>Ongoing Professional Development Access to training and development opportunities is given to employees to enhance staff skills and engagement.</p>
<input type="checkbox"/>	<p>Training Agreement A training agreement is in place, which allows the company to lawfully deduct costs from an employee's wage which has been spent on their training, should they leave within a specified timeframe.</p>
<input type="checkbox"/>	<p>Performance Management System A performance management system is in place that includes regular appraisals, feedback, and development plans, to help prevent under-performance.</p>

6. Access to HR Support

<input type="checkbox"/>	HR Training The person supplying you with HR advice has received the necessary HR training and has access to HR templates and specialist employment legislation advice.
<input type="checkbox"/>	HR Software HR software is in place, to securely record employee information, manage holidays and absences, record training and for issuing business policies.