

HR Health Check

Card 1 • 10 Questions • 5 Minutes

See where your HR foundation is strong — and where you may have gaps.

This quick diagnostic is aligned to federal employment law requirements and SHRM HR audit best practices. Mark each item: **Yes** (confident & documented), **Partial / Unsure** (exists but inconsistent), or **No / Gap** (missing or at risk).

1. I-9 & Work Authorization | Legal: IRCA / SHRM: Records Retention

Are all Form I-9s complete, error-free, stored separately from personnel files, and retained per federal timelines? Do staff know how to handle an ICE Notice of Inspection?

Why it matters: USCIS requires separate, audit-ready storage; penalties exceed \$2,000 per form for technical violations.

☐ Yes ☐ Partial / Unsure ☐ No / Gap Notes / Action: _____

2. Employee Classification | Legal: FLSA & IRS / SHRM: Compensation

Has every role been classified correctly as exempt vs. non-exempt (duties test + salary threshold) and employee vs. independent contractor in the last 12 months?

Why it matters: Misclassification drives wage & hour claims, back overtime, and IRS penalties. Review annually.

☐ Yes ☐ Partial / Unsure ☐ No / Gap Notes / Action: _____

3. Hiring Compliance | Legal: Title VII, ADA, EEO / SHRM: Talent Acquisition

Are job postings free of discriminatory language, and are interviewers trained on lawful vs. unlawful questions (ADA, EEO, ban-the-box where applicable)?

Why it matters: SHRM audit checklist requires documented interview training to prevent disparate treatment.

☐ Yes ☐ Partial / Unsure ☐ No / Gap Notes / Action: _____

4. Employee Handbook & Policies | Legal: At-Will, EEO, Harassment / SHRM: Employee Relations

Is your employee handbook current (reviewed within 12 months) and does it clearly cover EEO, anti-harassment & reporting, ADA accommodations, social media, and progressive discipline?

Why it matters: A current handbook is a primary defense in EEOC charges; outdated policies = compliance risk.

☐ Yes ☐ Partial / Unsure ☐ No / Gap Notes / Action: _____

5. Wage & Hour Fundamentals | Legal: FLSA, State Laws / SHRM: Total Rewards

Are minimum wage, overtime (1.5x over 40), meal/rest breaks, and final paycheck timing compliant for every state where you have employees, with consistent timekeeping?

Why it matters: State wage laws vary; consistent, auditable time records are required under FLSA.

☐ Yes ☐ Partial / Unsure ☐ No / Gap Notes / Action: _____

6. Leave & Benefits Administration | Legal: FMLA, COBRA, ACA / SHRM: Benefits

Are FMLA eligibility notices, COBRA notices, and ACA reporting applied uniformly, and are leave requests documented with medical certification kept confidentially?

Why it matters: Non-uniform benefits and improper medical inquiries trigger DOL and EEOC exposure.

☐ Yes ☐ Partial / Unsure ☐ No / Gap Notes / Action: _____

7. Workplace Safety & Training | Legal: OSHA, Title VII / SHRM: Risk Management

Are OSHA postings, workers' comp notices, and required anti-harassment/bullying training visible, current, and completed by 100% of employees and managers?

Why it matters: SHRM recommends annual harassment prevention and documented safety training for all staff.

☐ Yes ☐ Partial / Unsure ☐ No / Gap Notes / Action: _____

8. Performance & Discipline Documentation | Legal: EEO Defense / SHRM: Performance Management

Is there a consistent, documented process for performance reviews, corrective action, and terminations with objective criteria and manager training on avoiding bias?

Why it matters: Inconsistent discipline is a leading factor in discrimination and wrongful termination claims.

☐ Yes ☐ Partial / Unsure ☐ No / Gap Notes / Action: _____

9. Pay Equity & Privacy | Legal: EPA, EEOC, State Privacy / SHRM: Compliance

Do you conduct a periodic pay equity review across protected categories and ensure compensation structures, personnel files, and medical information are stored securely with limited access?

Why it matters: Equal Pay Act and state pay transparency laws require demonstrable, non-discriminatory pay practices.

☐ Yes ☐ Partial / Unsure ☐ No / Gap Notes / Action: _____

10. Compliance Calendar & Records | Legal: Multi-Agency / SHRM: Audit Process

Do you maintain a compliance calendar (EEO-1, OSHA 300A, ACA 1095, state filings) and a documented records-retention schedule that meets federal and state minimums?

Why it matters: SHRM HR audit standards emphasize proactive calendaring and classified findings: critical (legal risk), important (operational), minor (best practice).

☐ Yes ☐ Partial / Unsure ☐ No / Gap Notes / Action: _____

How to Interpret Your Results

8–10 Yes	Strong foundation. Maintain calendar, keep training current, audit annually.
4–7 Yes or many Partial	Moderate risk. Prioritize any No in 1, 2, 5, 7 — these are critical legal exposures.
0–3 Yes	Significant gaps. Consider a full SHRM-aligned HR compliance audit and legal review within 30 days.

Sources & Alignment: SHRM HR Audit Checklist (SHRM.org), TechTarget HR Compliance Checklist – I-9 storage, recruitment ADA compliance, compensation & benefits FMLA/COBRA uniformity, workplace safety OSHA postings & harassment training, employee handbook currency; DOL Compliance Toolkits; SHRM I-9 Toolkit (M-274).

This health check is educational and does not constitute legal advice. Consult qualified employment counsel for your state laws.

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