HR Health Check

Nguyen HR Partners | Practical HR Resource

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.

Choose one: Yes; Partial or unsure; No or gap. Notes or 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.

Choose one: Yes; Partial or unsure; No or gap. Notes or 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.

Choose one: Yes; Partial or unsure; No or gap. Notes or 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Why it matters: A current handbook is a primary defense in EEOC charges; outdated policies = compliance risk.

Choose one: Yes; Partial or unsure; No or gap. Notes or 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.

Choose one: Yes; Partial or unsure; No or gap. Notes or 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.

Choose one: Yes; Partial or unsure; No or gap. Notes or 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.

Choose one: Yes; Partial or unsure; No or gap. Notes or 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.

Choose one: Yes; Partial or unsure; No or gap. Notes or 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.

Choose one: Yes; Partial or unsure; No or gap. Notes or 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).

Choose one: Yes; Partial or unsure; No or gap. Notes or 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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