

HR Compliance Checklist for SMEs

Policies & Procedures

- Are managers aware and trained in your anti-discriminatory policy?
- Do you have a code of conduct in place and accessible to all employees?
- Are your employees aware of the grievance and disciplinary procedures?
- Does your company have a social media policy? Are employees aware of it?
- Do you have an equality & diversity policy? And training based on the policy?
- Do you have anti bullying/harassment policies in place?
- Have you ensured all employees are paid at least the National Minimum Wage?
- Are you complying with working time laws? Are your systems effective?
- Do your management team conduct regular appraisals & document them correctly?
- Are you able to limit an employee's post termination actions with restrictive covenants to protect your interests?
- Are systems in place to manage long term sickness and absence patterns?
- Do you set review dates for and monitor pay levels?
- Have you got procedures in place for employees leaving the company?
Do you have exit interviews?

Regulations

- Is the company complying with Health & Safety Regulations?
- Do you have processes in place to comply with data protection & the GDPR?
- Are there procedures in place to maintain employee records & files?

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Employees

- Can all employees provide evidence that they have the right to work in the UK?
- Do you conduct returning to work interviews when an employee comes back after an extended period of time?
- Is employee training completed and up to date? Have all employees been inducted?
- Do your employees have the correct qualifications/checks to be able to carry out the work they do legally and safely?
- Are your employee records up to date and complete?
- Are employee handbooks and contracts up to date?
- Do employees know how to keep records and the procedures for sickness, maternity & paternity pay and annual leave?
- Are the policies and procedures in place for new & expectant mothers and employees going on paternity leave?

Recruitment

- Are there up to date job descriptions for all roles within the business?
- Is there an effective selection & recruitment policy in place?
- Do you use an interview structure?
- Have new employees references been checked?