HR compliance checklist template

Copy the tables into your own document or download them. Owners and dates in grey are examples: rename the owners to match your team, mark items that don't apply to you as N/A, and set a status for every row.

Grey italic text is an example. Replace it with your own content.

1. HIRING AND ONBOARDING

Item	Owner	When	Evidence to keep	Status
Classify the role as employee or contractor, and as exempt or non-exempt	*People Ops*	*Before the offer*	*Classification note with the duties*	*Open*
Form I-9: employee completes section 1	*New hire*	*By the first day of work*	*Signed section 1*	*Open*
Form I-9: employer completes section 2	*HR*	*Within 3 business days of the first day of work*	*Completed form, stored apart from the personnel file*	*Open*
Signed Form W-4 on file, effective with the first wage payment	*Payroll*	*At start*	*Signed W-4*	*Open*
Report the new hire to the state directory of new hires	*HR*	*Within 20 days of hire*	*Submission confirmation*	*Open*
Offer letter and policy acknowledgments signed	*HR*	*Before day one*	*Signed copies*	*Open*
State and local setup checked for the work state	*Payroll*	*Before the first paycheck*	*State checklist per state*	*Open*

2. PAY AND HOURS

Item	Owner	When	Evidence to keep	Status
Record hours worked for non-exempt employees	*Payroll*	*Every pay period*	*Time records*	*Open*
Pay overtime at 1.5 times the regular rate after 40 hours in a workweek	*Payroll*	*Every pay period*	*Payroll register*	*Open*
Pay the higher of the federal and state minimum wage	*Payroll*	*Yearly and when hiring in a new state*	*Rate table by state*	*Open*
Review exempt roles against the salary and duties tests	*People Ops*	*Yearly*	*Exemption analysis per role*	*Open*
Review contractors who work set hours or use your equipment	*People Ops*	*Yearly*	*Classification notes*	*Open*
Keep payroll records at least 3 years and time cards at least 2 years	*Payroll*	*Ongoing*	*Retention schedule*	*Open*

3. LEAVE AND BENEFITS

Item	Owner	When	Evidence to keep	Status
Display the FMLA notice if you are a covered employer	*HR*	*Always*	*Photo of the poster or intranet link*	*Open*
Give leave notices and designations when an employee asks for leave	*HR*	*When requested*	*Leave file, kept apart from the personnel file*	*Open*
Send COBRA election notices if your plan is covered	*Benefits*	*At each qualifying event*	*Notice with proof of delivery*	*Open*

Item	Owner	When	Evidence to keep	Status
Count full-time employees and full-time equivalents for ACA	*Finance*	*Monthly*	*Monthly headcount sheet*	*Open*
File Form 5500 for each benefit plan that requires it	*Benefits*	*July 31 for a calendar-year plan*	*Filing receipt*	*Open*

4. SAFETY

Item	Owner	When	Evidence to keep	Status
Confirm whether OSHA injury and illness recordkeeping applies to each establishment	*Safety lead*	*Yearly*	*Scope note*	*Open*
Report a death within 8 hours and a hospitalization, amputation or loss of an eye within 24 hours	*Safety lead*	*At the incident*	*Report confirmation*	*Open*
Keep OSHA forms 300, 300A and 301 current	*Safety lead*	*Ongoing*	*Logs and incident reports*	*Open*
Post the annual summary (form 300A) from February 1 to April 30	*Safety lead*	*Yearly*	*Dated photo of the posting*	*Open*
Submit injury and illness data electronically by March 2 if required	*Safety lead*	*Yearly*	*Submission receipt*	*Open*

5. NOTICES AND RECORDS

Item	Owner	When	Evidence to keep	Status
Display the federal wage and hour notice, plus the EEOC and FMLA notices that apply	*HR*	*Always*	*Poster inventory with dates*	*Open*
Share required notices online for remote employees	*HR*	*Always*	*Intranet page or onboarding packet*	*Open*
Check the state labor department for state and local notices	*HR*	*Yearly*	*State notice list*	*Open*
Keep I-9s in their own file	*HR*	*Ongoing*	*File index*	*Open*
Maintain one written retention schedule using the longest period per record type	*People Ops*	*Yearly*	*Retention schedule*	*Open*

6. ANNUAL FILINGS AND REVIEWS

Item	Owner	When	Evidence to keep	Status
Furnish W-2 copies to employees and file W-2 and W-3 with the SSA	*Payroll*	*By January 31 (February 1, 2027 for 2026 forms)*	*Filing receipt*	*Open*
File Form 940 for federal unemployment tax	*Payroll*	*January 31*	*Filing receipt*	*Open*
File Form 941 each quarter	*Payroll*	*April 30, July 31, October 31 and January 31*	*Filing receipt*	*Open*
File Forms 1094-C and 1095-C if you are an applicable large employer	*Finance*	*Early in the year, check the IRS page*	*Filing receipt*	*Open*
File the EEO-1 report if the EEOC opens a collection and you are covered	*People Ops*	*When the EEOC opens a collection*	*Submission receipt*	*Open*

Item	Owner	When	Evidence to keep	Status
Review the handbook, posters and retention schedule	*People Ops*	*Yearly*	*Review log*	*Open*