



# Your HR compliance audit template (UK)

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*by Karine Lipinski - Chartered FCIPD*

## About Viridian HR

If you need support for your leadership or HR teams in a way that makes commercial sense and is people-centric, look no further. Working closely with diverse organisations and industries, we understand a wide range of business environments.

We believe that well-rounded HR professionals are driven by high levels of integrity, commercial awareness, and pragmatism, all of which allows them to gain a deep understanding of business objectives and challenges. We apply these values in our day-to-day practice.

We are regularly reminded that our Anglo-French experience is hard to find. Some clients initially reach out to us because they are looking to outsource their French HR for peace of mind, while others require due diligence audits before the acquisition of a French entity. To find out if we can help, please contact us.

We tend to support medium to large organisations, and we focus mainly on employee relations, compliance work, HR audits (including for mergers and acquisitions), people strategy, complex change projects for large organisations, and HR outsourcing for SMEs.

### **Meet Karine Lipinski, Founder of Viridian HR**

With almost 20 years of experience in Human Resources and people management, I founded Viridian HR to provide Senior Leaders with people-related expertise that helps them achieve their goals.

A Chartered Fellow of the CIPD, I have extensive international business experience. I am also culturally integrated in both the UK and France, with a French Law degree and Master's degrees in Human Resources in both countries.

During my career, I am proud to have supported a number of well-established organisations, including Photobox, Pandora, The Wellcome Trust, EnGlobe, Landsec, GoDaddy and Renault.

I am comfortable working in post-merger and acquisition environments, with all the challenges that these bring.

Clients tell me that I am highly organised, pragmatic, approachable, and transparent (which makes me – hopefully! – easy to work with.)

I also like to involve myself in furthering HR in as many different areas as possible. As such, I am the Vice-Chair of the CIPD Chiltern Branch and regularly mentor other HR professionals.



Please visit my [LinkedIn](#) profile for further details, and feel free to get in touch with me directly for an informal chat about your HR needs.

## Introduction

I regularly audit businesses for compliance, but also for mergers and acquisitions, or perhaps to check that HR is where it should be in well-established organisations.

Whilst auditing requires experience and a thorough understanding of what is required, there is a usual structure that I follow, to help me keep track of the findings.

The categories under the audit will obviously not be applicable to every business, and larger businesses may have to comply to alternative or additional requirements. However, the core of what compliance audits cover is quite standard. Our HR and due diligence audits cover a much wider range of items.

Depending on your business, some of the items below may seem unnecessary. Some businesses also prefer to cover some of the policies as a small statement in their handbook instead. Your requirements will be governed by your company culture, necessity, industry and size.

To classify the importance of the actions, I recommend using a Red, Amber, Green colour coding under the status column, to ensure that the most important actions stand out.

## Policies and procedures audit checklist

| Required                                       | Status | Notes |
|--|--------|-------|
| Disciplinary/dismissal                         |        |       |
| Grievance                                      |        |       |
| Health & Safety                                |        |       |
| <b>Recommended (where applicable)</b>          |        |       |
| Absence  |        |       |
| Additional hours, flexibility & part-time work |        |       |
| Adoption                                       |        |       |
| Adverse weather and travel disruptions         |        |       |
| Anti-Bribery                                   |        |       |
| Bereavement                                    |        |       |
| Bonus  |        |       |
| Bullying and harassment / Dignity at work      |        |       |
| Capability                                     |        |       |
| Company benefits and eligibility               |        |       |
| Company cars                                   |        |       |
| Company ethics                                 |        |       |
| Computer/technology/equipment use              |        |       |
| Data Protection                                |        |       |

|  |  |  |
|--|--|--|
| Dress policy                                     |  |  |
| Drugs and alcohol                                |  |  |
| Environment                                      |  |  |
| Equal opportunities and diversity                |  |  |
| Equal pay  |  |  |
| Expenses   |  |  |
| Flexible working                                 |  |  |
| Holiday  |  |  |
| Jury service                                     |  |  |
| Lateness   |  |  |
| Maternity  |  |  |
| Mental health / wellbeing                        |  |  |
| Monitoring                                       |  |  |
| Outside employment interests                     |  |  |
| Parental leave                                   |  |  |
| Paternity  |  |  |
| Pay reviews                                      |  |  |
| Pension  |  |  |
| Performance                                      |  |  |
| Performance reviews                              |  |  |
| Probationary period                              |  |  |
| Public duties                                    |  |  |
| Recruitment and selection (incl. refer a friend) |  |  |
| Redundancy                                       |  |  |

|                                 |  |  |
|---------------------------------|--|--|
| Religious observation           |  |  |
| Shared parental leave           |  |  |
| Social media                    |  |  |
| Time off for family emergencies |  |  |
| Training & development          |  |  |
| Whistleblowing                  |  |  |
| Working from home               |  |  |

### Contracts of employment audit checklist

| Required   | Status | Notes |
|--|--------|-------|
| Employer's name                                      |        |       |
| Employer's address                                   |        |       |
| Employee's name                                      |        |       |
| Start date   |        |       |
| Continuous employment start date                     |        |       |
| Job title / brief job description                    |        |       |
| Place of work, including required travel             |        |       |
| Salary   |        |       |
| Payment schedule and how payments will be made       |        |       |
| Working hours and flexibility required for the job   |        |       |
| Holiday pay including upon termination               |        |       |
| Sick pay and leave information (or where to find it) |        |       |
| Other paid leave information (or where to find it)   |        |       |
| Benefits   |        |       |

|   |  |  |
|---|--|--|
| Pension information (or where to find it)                 |  |  |
| Notice periods  |  |  |
| Expected end of contract (if applicable)                  |  |  |
| Probationary period                                       |  |  |
| Training  |  |  |
| Disciplinary rules and procedure (or where to find these) |  |  |
| Grievance rules and procedure (or where to find these)    |  |  |
| Collective agreements in place (if applicable)            |  |  |
| Standards of behaviour                                    |  |  |
| <b>Recommended</b>  |  |  |
| Confidentiality   |  |  |
| Data Protection   |  |  |
| Expenses guidelines                                       |  |  |
| Garden leave  |  |  |
| Intellectual property                                     |  |  |
| Lay-off clause  |  |  |
| Mileage Allowance   |  |  |
| Post-termination restrictions                             |  |  |
| Working time directive opt-out                            |  |  |

## Conclusion

HR audits can take many forms. However, we hope that this template will serve as a starting point to help you understand where you need to focus your attention.

Simple tools like this one can really make a difference, and have a positive impact on your business.

If you have any questions regarding this audit template, please feel free to contact me by email at [karine.lipinski@viridianhr.co.uk](mailto:karine.lipinski@viridianhr.co.uk)