



HR & Compliance Checklist



Ideal for:
Management



Resource Type:
Risk Management



Support Type:
Educational Guidelines

Cornerstone provides peace of mind to business owners, CEOs, and anyone responsible for managing risks within outdoor, travel, and experiential education organizations. You can access select support, resources (like this one), and educational guidance from Cornerstone via your America Outdoors membership.



Need additional guidance?

Speak with your America Outdoors team to learn more about how you can connect with Cornerstone Safety Group.



Please read:

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HR & Compliance Checklist

Start Here - Compliance Priorities:

1. Employee Documents: US-Based

- ☐ [I-9](#) completed within the first 3 days of employment
 - ☐ If you hire remotely or operate in [certain states](#), E-Verify may be mandatory
- ☐ Offer Letter
- ☐ W-4
- ☐ Job Description: Important to include working environment, duties, physical demands, travel.
- ☐ Review proper classification for your workers. [Here is a reference](#).
 - ☐ 1099 workers should receive an Independent Contractor Agreement, Statement of Work, and W-9, instead of the above items.
 - ☐ Engaging non-US workers requires a different set of locally compliant hiring agreements.

2. Policies

- ☐ Handbook is ideal, but **minimally** Code of Conduct.
 - ☐ Ensure internal practices are aligned with ALL written policies
- ☐ Anti-Harassment Policy & Training
 - Even if Phase One is just reviewing the policies with staff during training, get their signatures that they received the training.
 - Many states have specific requirements for supervisor training regarding duration, content, etc. BE SURE that you if select a training provider, they have content to meet each relevant state requirement for your organization.
- ☐ Child Protection: Anytime working with minors or in local communities.

3. Hiring & Recruitment Procedures

- ☐ Stick to job-related questions.
 - ☐ Equip all interviewers with a [Do's and Don'ts List](#).
- ☐ Many states now require any job postings to include a salary range.



- ☐ Background checks
- ☐ Reference checks

4. Liability Coverage

- ☐ Worker's Compensation
 - ☐ These monopolistic states must be registered through the state, not through brokerages - Ohio, North Dakota, Washington, Wyoming.
- ☐ Travel Medical Insurance (for international operations)
- ☐ Business Liability Coverage

5. Payroll

- ☐ Register a SUI
- ☐ Set up a withholding account in relevant states
- ☐ [Here's a great guide](#) to reference payroll registration steps by state.
 - ☐ You generally DO NOT need to register as a business entity in a state to run payroll. Often, you can simply set up payroll-related withholding ID's at NO COST.
 - ☐ Keep in mind, some states require specific contributions into state-funded disability policies, like NY.
- ☐ Be aware of payroll frequencies by state, some have specific minimum frequencies like monthly, bi-weekly, weekly, etc.
- ☐ Comply with state and local PTO and sick-leave policies.

6. Off-boarding

- ☐ Terminate in payroll systems using correct dates
- ☐ Involuntary terminations - consider separation agreement with severance package if appropriate.
- ☐ Some states require PTO payout. Your PTO policies should define this, as well.
- ☐ Be sure to collect passwords, technology, and organization assets.

Next Phase - Best Practice & Risk Mitigation

7. Policies & Procedures

- ☐ Employee Handbook (consider multi-state/country requirements)
 - ☐ PTO & Holidays
 - ☐ ADA/FMLA/EEO Policies: This may depend on organization size



- ☐ Anti-Bribery Laws & Foreign Corrupt Practices Act
- ☐ Cyber & Technology Policies, Training & Liability Coverage
- ☐ Anonymous Reporting Hotline for staff and clients
- ☐ Internal SOP's for handling complaints, concerns, violations

8. Talent Management

- ☐ Hiring
 - ☐ Standardized interview questions for each role based on job description/requirements and skills
 - ☐ Automated, integrated applicant tracking system
 - ☐ Prioritize and prompt DEIB strategy, integrated with hiring, training, and retention strategies
 - ☐ Offer a referral bonus
- ☐ Performance
 - ☐ Goal setting
 - ☐ Regularly scheduled 1:1's (Prioritize this!)
 - ☐ Quarterly or Annual Reviews
 - ☐ Management Training Programs
- ☐ HR & Benefits
 - ☐ Health Insurance (required with 50+ FTE employees)
 - ☐ Streamlined HR & Payroll
 - ☐ Processes should be seamless and integrated with other HR software. If any of it is administratively burdensome or requires manual onboarding and paperwork, it's worth looking for cheaper, more efficient, user-friendly option.

As you Evolve - Engagement & Retention Strategies:

- ☐ Structured Compensation & Bonus Plans
- ☐ Engagement Surveys & eNPS
- ☐ Talent Development & Career Plans
- ☐ CSR Programs and organization values infused into employee experience
- ☐
- ☐ Peer / Social Recognition
- ☐ Swag
- ☐ Birthday / Anniversary Recognition



- ☐ Employer Branding - Glassdoor, Comparably, Indeed, etc
- ☐ EAP and Wellness Programs
- ☐ Employee friendly policies - time off to vote, paid volunteer time, paid
- ☐ professional development allowances, paid parental leave
- ☐ Employee Assistance Programs (EAPs) and Wellness Programs
- ☐ Develop onboarding plans (FT hires)

There are endless possibilities and opportunities based on your organization's specific vision, culture, and objectives. Reach out to megan@novahcm.com if you'd like any specific templates, recommendations, or guidance. *Obviously regulatory requirements vary by jurisdiction, organization size, and a multitude of other factors -- and can change often. If you have any questions, I'd be glad to help explore solutions based on your unique use case.*