

Workplace Compliance Risk Assessment/Considerations

ITEM	ANSWER	FOLLOW UP/COMMENTS
GENERAL		
Are you aware of which of industrial instrument applies to your employees	Yes No	Fair work website holds information regarding different awards that apply to different industries
What positions do you have within the business?	Full-time Part-time Sessional (casual) Fixed term employees	Do these positions also have position descriptions? Do you have a schedule for reviewing fixed term and casual contracts?
Are you aware of your obligations with respect to: 1. Requests for flexible (modified) working arrangements? 2. Notice of termination 3. Redundancy pay		Refer to: Flexible working Arrangements Policy Redundancy Process checklist Discipline and Termination Policy
Do you provide the Fair Work Information Statement to all new employees?		Provide Fair Work Information statement – Fair work website Induction to include acknowledgement of receipt of the statement.
Do you retain details of how the information statement was given?		
How many staff do you employ? - Full-time - Part-time - Casual - Contractors		
LEAVE ENTITLEMENTS		
Do you maintain accurate records of employee leave entitlements? Including for Part-time and Full-time staff?		
Do you have processes in place for employees to apply for: - Annual leave - Personal (Sick)/Carer's leave - Compassionate leave - Parental leave - Community Service leave - Long Service leave - Domestic & Family Violence leave - COVID19 pandemic leave?		Think about adopting a leave request form
Do you have a current leave policy?		Please refer to Leave Policy in The Employee Lifecycle
PAY & CONDITIONS		
How frequently are your employees paid?		Do you provide information on this to new employees
On which day?		
Other than salary & superannuation are there any other benefits that some or all staff receive? - Phone allowance - Car allowance - Bonus program - Additional leave - Etc		
Do you include the following details on the employees payslip?		
Employer ABN		
Legal and/or trading name of employer		
Employee name		
Date of payment		
Pay period		
Gross and net amount of pay		
Details of any deductions made from the employee's pay		
Details of any allowances made to the employees pay? I.e., meal allowance, travel allowance?		
Is the amount and name of the superannuation fund shown?		

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Do employees get a pay slip within 1 working day after they are paid?		
TIME & WAGES RECORD KEEPING		
<i>Do you maintain the following information on the employee's records? ie, contracts etc.</i>		
Legal & or trading name		
Employee name		
Date the employee commenced work with the employer		
Employee status – permanent, casual or contractor		
Number of hours contracted?		
Rate of pay		
Any written agreements of hours worked, individual flexibility arrangements or annualised salary guarantees/agreements?		Refer to Flexible Working Arrangement Policy
Gross amount of pay		
Deduction details		
Monetary allowances		
Leave accrued/taken		
Superannuation details		
Termination details		
HR AUDIT		
Do you have a recruitment policy?		Please refer to Recruitment Policy in the Employee Lifecycle
If so, is it adhered to?		
Do job descriptions exist?		Please refer to how to write a good job description in employee lifecycle
Are job descriptions up to date?		
Are job openings offered to current employees?		
Are applicant references checked?		
Are all applicants required to fill out and sign an application form?		
Do employment applications/advertisements refrain from requesting/asking about prohibited information? Do you have any exemptions in place i.e. discrimination etc		
Are employees required to complete a Police/National Record Check/WWCC		
Are employees required to complete a health assessment?		
Are independent contractors accurately identified?		
NEW EMPLOYEES		
Are workplace policies in place?		
Are policies communicated?		
Are policies enforced?		
Is there an employee handbook?		
Do employee inductions take place?		
Are employees trained on policies and procedures (including safety & evacuation procedures)?		
Are employees trained on discrimination issues?		
Is there a process for employees to lodge complaints?		
EMPLOYEE ENGAGEMENT		
Do you have formal processes for communicating information to staff?		Eg, staff meetings, emails, written communication
Do you conduct regular team meetings?		
Do you have any activities designed to improve staff motivation and morale?		

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Do you have a recognition and reward program in place?		
PERFORMANCE MANAGEMENT		
Do you hold regular one on one/supervisions with your employees		
Do you have a set performance appraisal system? Manual/online form?		
Do you have a set process for managing non-performance? Is there a performance management policy?		
TRAINING & STAFF DEVELOPMENT		
Do you have a formal system by which you identify individual training needs? How are these training's recorded?		
Have you trained your manager's on how to conduct a good performance review?		
REMUNERATION		
Do you have a remuneration policy?		
Is there a formal pay structure?		
Are appraisals or performance measures linked to your remuneration system?		
EEO		
Do you have an Equal Opportunities policy?		
Are managers aware of how to respond to EEO/Harrassment issues?		
DISCRIMINATION & EMPLOYEE RIGHTS		
Are employees trained on discrimination issues?		
Are managers trained in anti-discriminatory practices?		
Are employment practices in line with the various anti-discrimination laws?		
Are effective policies in place that prohibit retaliation against employees who exercise their rights?		
WORKPLACE BULLYING		
Do you have a no-bullying policy		
Have you provided training to staff on bullying in the workplace?		
Do you have a formal investigation policy in place if someone submits a complaint?		
WHS		
Do you have a WHS policy & procedure?		
Do you consult with workers on WHS matters?		
Is there a WHS committee or some other form of consultation process in place?		
Do you conduct a WHS risk assessment of the workplace? Or client workplaces?		
Do you have a WHS risk register?		
Do you train your staff in WHS issues?		
Do you have first aiders and fire wardens trained and in place?		
COVID19		
Do you have a COVID safe plan in place?		
Do you regularly communicate with your staff in relation to COVID19 updates and obligations?		
Have you provided staff with a working from home safety checklist?	Yes	Certain assets were taken home. Register of items completed
Do you have a return to work process/program		
Do you provide employees PPE gear to abide by all COVID safe practices?		

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EMPLOYEE SEPERATION		
Do exit interviews take place?		
Are final pays provided on time?		
Do you have an off-boarding checklist?		
RECORD KEEPING & OTHER DOCUMENTATION		
Are personnel files current?		
Are documents regarding employees kept for their required duration?		
Do you keep electronic or hard copy HR files?		