



Guided HR Compliance: Audit Results

Company Name:
Point of Contact:
Total Number of Employees:
Company's Location:

Executive Summary

Welcome!

I'd like to formally welcome you to Mineral with Guided HR Compliance and your Dedicated HR Expert! Thank you for our first discovery conversation and for submitting the online audit. We recognize that it took a significant amount of time to give us the detailed information you did, and we appreciate it.

We are excited to partner with you to strengthen your people management processes. In a company such as yours, we know that the stronger the employee, the stronger the company. So, we applaud your efforts in investing in your people. But now comes the hard stuff.

Throughout our relationship, I will strive to understand your culture and community as well as the specific challenges you may face. With that perspective, I can offer sound advice unique to your company's needs. I am excited about the potential of how we can help shape the HR practices at your company and am looking forward to providing useful, actionable, and sustainable practices to you and your leadership team.

General Findings

- **Company information and background history added here.**
- Currently, [COMPANY NAME] has # employees in the state(s) of [STATE LOCATIONS]. [CLIENT NAME] handle(s) the human resources for [COMPANY NAME] and will serve as the primary contact for the Guided HR Compliance Program.
- [COMPANY NAME] currently does not have an employee handbook. Shannon will walk [CLIENT NAME] through utilizing the handbook builder which will create a formal handbook template to start from and modify their current policies to fit the organization's expectations. The final document will be compliant with all federal and applicable regulations.
- [CLIENT NAME] will work with Shannon on developing a sustainable onboarding process to support company growth with a new hire packet and onboarding steps process. This will include implementing a formal set of documents and processes to help this transition.



- Shannon will review FLSA guidelines and review classifications of administration employees to ensure all employees are properly classified according to FLSA exemption criterion. We will also review 1099 independent contractor regulations as they do currently utilize these workers.
- Shannon and [CLIENT NAME] will work together in creating job descriptions for [COMPANY NAME]. Shannon will review how to have employees complete job analyses, and how these will be used to create job descriptions for all roles.
- Shannon will discuss current management trainings and opportunities to structure a set of trainings for management to utilize in onboarding and terminations for employees. Shannon will also review an interviewing and conducting layoffs guide with [CLIENT NAME] to help structure a consistent process.
- Shannon will ensure [CLIENT NAME] understands the proper labor law posting requirements and how to satisfy these requirements for their remote employees.
- [COMPANY NAME] does not have a formal procedure for conducting terminations and corrective action protocol. Shannon will review additional best practices for documentation and proper recordkeeping steps for disciplinary action.
- Shannon will also review the importance of setting clear behavior improvement expectations and how to effectively use a Performance Improvement Plan (PIP). In addition, Shannon will review a Termination Checklist and Guide that will be available for reference as needed.
- [COMPANY NAME] does not have a consistent formal performance review process in place. Shannon will focus on reviewing different templates that [CLIENT NAME] may find useful when conducting these formal reviews going forward.
- Shannon will also review best practices for implementing a performance culture to guide them through this process and this will help layout performance expectations for each position. She will review the importance of streamlining these processes to ensure consistency and a better management of balancing this system in its entirety.
- [CLIENT NAME] would like to learn more about completing and correcting I-9 forms and properly retaining these documents according to standard guidelines as they are not familiar with this process.
- Shannon will review recordkeeping and file retention best practices with [CLIENT NAME] to ensure they understand all federal and state requirements for company documentation.
- [COMPANY NAME] does not currently offer sexual harassment/discrimination prevention training. Shannon would like to discuss these training opportunities with [CLIENT NAME] to set up management and employee training.

There are several practical steps we can take in our partnership to begin laying the foundation for a strong workplace culture and a sustainable Company.

As we continue to define the tasks and projects to achieve your goals, we will incorporate your voice and internal brand into everything we do. The more transparency you can give us into who you are, the better our projects will be able to align with your goals.



Gap Analysis (Priorities)

Priority Areas

Based on our initial discussions and a review of your audit results and supplemental materials, the following highest-priority areas have been identified:

- **Employee Handbook Review:** Infrastructure from the employee handbook provides the framework for the employee lifecycle and serves as a point of reference for internal employees for the Company's expectations.
- **FLSA Audit/Job Description:** Ensuring that your employees are properly classified as either "exempt" or "non-exempt" is a critical building block to overall HR compliance. After reviewing the Fair Labor Standards Act, we can proceed to create job descriptions, which can assist with outlining each position's responsibilities.
- **Employee Record Filing and Retention:** Equipping the company with the knowledge and processes to successfully file and retain employee-related documents compliantly and efficiently.

Draft Action Plan

Program Overview	
Initiatives	Activities Planned in Next 90 Days
Compliance: Enhancement of HR practices to better recruit, retain, and manage employees	▪ [CLIENT NAME] will utilize the handbook builder tool in the platform to create an updated handbook template ▪ Shannon and [CLIENT NAME] will review employee handbook and update company documentation to reflect current policies and practices
Recordkeeping and Record Retention Guidelines	▪ Shannon will review compliance and best practices with [CLIENT NAME] on retaining and maintaining personnel documentation ▪ Review I-9 completion and retention requirements ▪ Shannon will work with [CLIENT NAME] to identify areas of strengths and improvements on the company's filing practices



Job Descriptions	▪ Shannon will review the essential components of a compliant job description ▪ Review Guidelines for Non-Exempt and Exempt classifications per FLSA criterion. ▪ Shannon will assist [CLIENT NAME] in creating job descriptions for any/all positions. ▪ Prepare for future employee classification processes as growth continues
Serve as Sounding Board for People Issues as needed	▪ Provide advice for ongoing people issues and HR compliance questions as needed

Future Focus Areas

As you know, HR is a continual process. So, once we've made some progress on the above items, here are a few other topics I would like to explore with you:

- New Hire Paperwork Compliance
- Leaves of Absence Administration
- Performance Management and Reviews
- Termination and Corrective Action Procedures
- Sexual Harassment Prevention Training

I'm really looking forward to working together and designing a roadmap for our work that is both reflective of the goals you're pursuing and is in alignment with the context of your industry and culture. We will begin soon by reviewing the initial projects as outlined in the above Action Plan.

Shannon Latham, SPHR