

HR COMPLIANCE READINESS CHECKLIST

Five document systems to review before a state or payer audit

For ABA clinics, mental health practices, and doctor's offices

Designed for growing practices with approximately 6-100 staff.

USE THIS CHECKLIST TO REVIEW:

- ☐ Credential and license tracking
- ☐ Worker classification documentation
- ☐ Timekeeping and overtime controls
- ☐ Separation and final-pay records
- ☐ Handbook and policy acknowledgments

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General information only. Requirements vary by jurisdiction, payer, licensing body, employer size, and specific facts. This checklist is not legal or clinical advice.

THE FIVE DOCUMENT SYSTEMS

1 Credentialing and License Log

Track each licensed or certified worker's credential type, number, status, expiration date, verification source, responsible supervisor, and renewal owner. Include payer and state requirements when they apply.

2 Worker Classification File

Maintain the facts supporting employee or contractor treatment, the signed agreement, scope of work, payment terms, tax forms, and periodic review. A contract label alone does not determine legal status.

3 Timekeeping and Overtime Controls

Document the workweek, time-entry process, correction procedure, approval rules, off-the-clock reporting method, and overtime escalation path. Keep accurate wage and hour records for covered nonexempt employees.

4 Separation Documentation

Preserve the resignation or termination decision, supporting records, final-pay calculation, required notices, benefits communication, access removal, property return, and exit information. State deadlines vary.

5 Handbook and Policy Acknowledgments

Keep current policies and proof employees received applicable updates. Review the handbook periodically and issue acknowledgments when meaningful changes are made. Annual re-signing is not a universal federal rule.

Are your documents complete and easy to produce?

Check each statement your practice can answer with confidence:

- ☐ Can we produce a current credential report within one business day?
- ☐ Can we explain why each contractor is not treated as an employee?
- ☐ Can we reproduce hours, edits, approvals, pay rates, and overtime?
- ☐ Can we show the reason, approval, and final-pay process for separations?
- ☐ Can we identify which handbook version each employee received?

Not sure whether your records are ready?

Gemelli offers a free 15-minute HR audit for practices with 6 or more staff.

Call 678-310-8271 or visit gemellibiz.com/free-hr-audit/

A practical next step:

Choose one unchecked item, assign an owner, set a due date, and verify completion.