ILLUSTRATIVE HR ASSESSMENT

HR POLICY & PROCEDURE REVIEW

A risk-prioritized review of the policies, procedures, and management practices supporting a growing workforce.

PREPARED BY	REVIEW SCENARIO	ASSESSMENT PURPOSE
Jenn Resler, J.M.	Illustrative 42-employee, multi-state service organization	Identify policy gaps, operational inconsistency, and priority corrective actions

EXECUTIVE PERSPECTIVE

The organization has several foundational practices in place, but growth has outpaced the consistency of its written policies and manager-led procedures. The most significant exposure is not the absence of documents alone; it is the gap between what policies say, what managers do, and what employee records can demonstrate.

Primary Recommendation

Stabilize high-risk documentation and wage-and-hour practices first, then standardize the employee lifecycle and manager procedures through a controlled 90-day implementation.

Review Approach

- Compare written policies with actual operating practices and available records.
- Prioritize findings by employee impact, compliance exposure, and operational disruption.
- Convert recommendations into assigned actions, owners, evidence requirements, and completion dates.

EXECUTIVE RISK VIEW

Scope of Review & Risk Snapshot

The sample review evaluates whether written guidance, manager practices, and employee records operate as one defensible system. Findings are rated by urgency, not by document count.

Review Scope

POLICY FRAMEWORK

Handbook, wage-and-hour, leave, conduct, reporting

OPERATING PROCEDURES

Hiring, onboarding, timekeeping, performance, offboarding

EVIDENCE & CONTROLS

Personnel files, acknowledgments, training, version control

Priority Findings

ID	REVIEW AREA	RISK	CORE ISSUE	TARGET RESPONSE
01	Handbook governance	HIGH	Policies are outdated, fragmented, and lack version control.	Rebuild core handbook; issue acknowledgments.
02	Worker classification	HIGH	Employee and contractor criteria are applied inconsistently.	Audit roles; document classification decisions.
03	Wage and timekeeping	HIGH	Approval and off-the-clock controls are not consistently enforced.	Standardize timekeeping and manager approvals.
04	Leave requests	HIGH	Requests may be handled informally without a controlled process.	Create intake, review, and documentation workflow.
05	Onboarding records	MODERATE	Required records and acknowledgments are stored inconsistently.	Implement a role-based onboarding checklist.
06	Performance procedures	MODERATE	Documentation and escalation standards vary by manager.	Create manager toolkit and calibration process.
07	Complaint response	MODERATE	Reporting channels exist, but response ownership is unclear.	Define triage, investigation, and anti-retaliation steps.
08	Offboarding controls	MODERATE	Final documentation and system access removal are decentralized.	Launch coordinated separation checklist.

Risk-Rating Logic

HIGH

Immediate employee-impact or compliance exposure; corrective action should begin within 30 days.

MODERATE

Material inconsistency or control weakness; address within the 31-60 day phase.

LOW

Optimization opportunity; schedule after core controls are stable.

IMMEDIATE PRIORITIES

Detailed Findings: Immediate Priorities

These findings should be addressed first because they combine employee-impact risk with weak documentation or inconsistent manager execution.

01 Handbook Governance & Policy Control

HIGH PRIORITY

CURRENT-STATE OBSERVATION

The handbook has been updated in pieces, but there is no documented review cycle, policy owner, change log, or reliable method for confirming which version each employee received.

BUSINESS & WORKFORCE IMPACT

Outdated or conflicting guidance creates inconsistent decisions, weakens manager confidence, and makes it difficult to demonstrate that employees were informed of current expectations.

RECOMMENDED RESPONSE

Create one controlled handbook supported by a policy register that identifies owner, effective date, review date, jurisdictional applicability, and acknowledgment status.

- Reconcile all handbook versions and retire superseded documents.
- Validate jurisdiction-specific provisions with qualified employment counsel where required.
- Issue the approved version through a tracked acknowledgment process.

02 Employee & Contractor Classification

HIGH PRIORITY

CURRENT-STATE OBSERVATION

Role labels and agreement templates are being used as the primary classification evidence. The review file does not consistently document the actual level of control, independence, economic relationship, or working arrangement.

BUSINESS & WORKFORCE IMPACT

A title or contract does not resolve classification risk. Inconsistent decisions may create wage, tax, benefits, recordkeeping, and employee-relations exposure.

RECOMMENDED RESPONSE

Complete a role-by-role classification audit using documented criteria and require HR review before any worker is engaged or reclassified.

- Inventory all employees, domestic contractors, and international contractors.
- Record the business rationale and review criteria for each classification.
- Correct agreements, working practices, and payroll or vendor setup where findings require change.

03 Wage, Timekeeping & Approval Practices

HIGH PRIORITY

CURRENT-STATE OBSERVATION

Managers apply different expectations for recording work time, approving overtime, correcting timecards, and handling work performed outside normal schedules.

BUSINESS & WORKFORCE IMPACT

Inconsistent timekeeping practices can produce inaccurate pay, unapproved work, employee distrust, and records that do not support the organization's decisions.

RECOMMENDED RESPONSE

Publish one timekeeping procedure that explains recording requirements, correction rules, approval responsibilities, prohibited off-the-clock work, and escalation steps.

- Train employees and managers on their responsibilities and require documented correction and approval workflows.
- Audit a sample of time records after implementation to confirm the procedure is operating as designed.

SYSTEM STABILIZATION

Detailed Findings: System Stabilization

Once immediate risk is contained, the next objective is to create repeatable employee-lifecycle procedures that reduce manager variation and strengthen the record trail.

04 Leave & Workplace Accommodation Requests

HIGH PRIORITY

CURRENT-STATE OBSERVATION

Employees may raise leave, medical, scheduling, religious, pregnancy-related, or disability-related needs directly with supervisors. There is no consistent intake path or documented handoff to the appropriate reviewer.

BUSINESS & WORKFORCE IMPACT

Informal handling can result in delayed responses, unnecessary disclosure of sensitive information, inconsistent treatment, and missed obligations under applicable law.

RECOMMENDED RESPONSE

Establish a centralized request and review procedure with confidentiality controls, response timelines, documented interactive steps, and a defined escalation path.

- Give managers a concise recognition-and-referral guide.
- Separate medical or sensitive records from general personnel files.
- Use standardized notices and decision documentation appropriate to the jurisdiction and request type.

05 Onboarding Documentation & Policy Acknowledgment

MODERATE PRIORITY

CURRENT-STATE OBSERVATION

New-hire records are collected through multiple channels, and completion depends heavily on individual managers. Some files lack consistent proof of policy receipt, required training, or role-specific setup.

BUSINESS & WORKFORCE IMPACT

Missing or scattered records delay productivity, create uneven employee experiences, and make it difficult to verify that required steps were completed.

RECOMMENDED RESPONSE

Implement a centralized onboarding workflow with assigned owners, due dates, escalation triggers, and a completion report visible to HR and leadership.

- Separate pre-hire, first-day, first-week, and first-30-day requirements.
- Assign responsibility for employment, payroll, technology, training, and manager tasks.
- Run a personnel-file audit and cure missing records using a documented process.

06 Performance Management & Corrective Action

MODERATE PRIORITY

CURRENT-STATE OBSERVATION

Managers use different standards for feedback, goal setting, coaching, written warnings, and escalation. Documentation quality depends on the individual manager.

BUSINESS & WORKFORCE IMPACT

Employees may receive inconsistent expectations, while leadership lacks reliable documentation to evaluate patterns or make defensible decisions.

RECOMMENDED RESPONSE

Create a practical performance-management framework that distinguishes routine feedback, coaching, performance improvement, misconduct, and formal corrective action.

- Issue objective, behavior-based manager templates and require HR review at defined escalation points.
- Calibrate expectations across leaders and track recurring issues that signal training or process gaps.

IMPLEMENTATION ROADMAP

90-Day Corrective-Action Roadmap

The roadmap sequences corrective action so the organization can reduce immediate exposure without overwhelming managers or introducing policies faster than the business can implement them.

PHASE	PRIMARY OBJECTIVE	KEY ACTIONS	EVIDENCE OF COMPLETION
Days 1-30 **CONTAIN**	Stabilize the highest-risk practices and establish ownership.	Freeze uncontrolled policy changes; audit worker classifications; standardize timekeeping; centralize leave and accommodation intake; assign policy owners.	Approved interim procedures; role inventory; issue log; assigned owners; leadership sign-off.
Days 31-60 **BUILD**	Create the controlled policy and procedure foundation.	Rebuild handbook; create policy register; launch onboarding and personnel-file standards; issue manager performance toolkit; define complaint response.	Controlled drafts; version log; completed file audit; manager tools; documented workflows.
Days 61-90 **IMPLEMENT**	Train, launch, test, and measure adoption.	Deliver manager and employee training; collect acknowledgments; test timekeeping and onboarding controls; close exceptions; set quarterly review cadence.	Training records; acknowledgment report; control-test results; closed action tracker; review calendar.

Recommended Deliverables

FOUNDATIONAL CONTROLS

- Controlled employee handbook
- Policy register and review calendar
- Classification review record
- Personnel-file standard

IMPLEMENTATION TOOLS

- Onboarding and offboarding checklists
- Manager performance toolkit
- Leave and accommodation workflow
- Training and acknowledgment tracker

IMPLEMENTATION GOVERNANCE

Executive sponsor: approves priorities and resolves ownership conflicts | HR lead: owns drafting, records, training, and action tracking | Managers: apply procedures consistently and escalate exceptions | Employment counsel: validates jurisdiction-specific requirements when appropriate

REVIEW STANDARD

A policy is not complete when it is drafted. It is complete when ownership is clear, managers are trained, employees receive the right guidance, records prove completion, and the organization can sustain the process.

Professional-use note: This illustrative review demonstrates an HR assessment methodology. Final recommendations would be tailored to the organization's size, workforce model, locations, industry, existing practices, and applicable legal requirements. It is not legal advice.