



Workplace Compliance Self-Audit Checklist

This checklist is adapted to assist businesses to undertake a self-audit of their compliance with certain key requirements under workplace laws and to understand workplace obligations.

The guide is for ALL incorporated and unincorporated businesses in ALL states/territories

For further advice in relation to this checklist, please contact the HR Advisory Service on (02)8448 3233.

Industrial relations system

Are you aware of which industrial relations system you fall under as a business employing staff in Australia?

☐ National Industrial Relations System ☐ State Industrial Relations System ☐ Don't know

If you are not sure which industrial relations system you fall under contact the HR Advisory Service.

Industrial Instruments

Are you aware of which of the current instruments (if any) that covers and applies to your employees?

- ☐ Modern Award
- ☐ State Award
- ☐ Enterprise Agreement
- ☐ Award-based transitional instrument
- ☐ Agreement-based transitional instrument
- ☐ Division 2B State employment agreement
- ☐ Other _____

Awards and Employment Standards	Yes	No	Don't know
Are you aware of the award (if any) which may cover and apply to your employees?			
Which minimum employment standards applies to your employees?			
National Employment Standards			
Minimum Conditions of Employment Act			



Are you aware of your obligations with respect to:	Yes	No
Requests for flexible (modified) working arrangements		
Notice of termination		
Redundancy Pay		

If you are not aware of which industrial instrument, Award or Standard applies to your employees contact the HR Advisory Service.

For National System employers (only)	Yes	No
Do you provide the Fair Work Information Statement to all new employees?		
Do you retain details of how the statement was given?		
Are you aware of how the modern awards and National Employment Standards interact with your existing workplace agreements?		

Did you answer NO to any of the above questions? Seek advice from the HR Advisory Service.

Leave entitlements	Yes	No
Do you maintain accurate records of employee leave entitlements?		
Do you have processes in place for employees to apply for:		
Annual leave?		
Personal (sick) /carer's leave?		
Compassionate (bereavement) leave?		
Parental leave?		
Community service leave?		
Long service leave?		

Did you answer NO to any of the above questions? Seek advice from the HR Advisory Service.

Pay and conditions

How are your employees paid?

☐ Weekly ☐ Fortnightly ☐ Monthly

On which day:

☐ Mon ☐ Tues ☐ Wed ☐ Thurs ☐ Fri ☐ Sat ☐ Sun

By:

☐ Cheque ☐ Cash ☐ EFTPOS

Do you include the following details on the employee's Pay Slip?	N/A	Yes	No
Employer ABN			
Legal and/or trading name of employer			
Employee name			
Date of payment (e.g. 19/06/09)			
Pay Period (e.g. 04/06/09 – 18/06/09)			
Gross and net amount of pay			
When paying employees an hourly rate – is the ordinary hourly rate of pay, number of hours worked at that rate and the amount of payment at that rate displayed?			
When paying employees an annualised salary – is that rate to the last day in the payment period displayed?			
Details of any deductions made from the employee's pay			
Is the amount and name of the superannuation fund (for employers required to make superannuation contributions for the benefit of employees) shown?			
Do employees get a pay slip within 1 working day after they are paid?			
Do casual employees receive the correct loading for ordinary time/overtime/weekend work and public holidays in accordance with the relevant Award/Agreement?			

Work performed on weekends, nights or public holidays	N/A	Yes	No
Do you accurately record the start and finish times for employees who receive penalty rates?			
Do you pay the correct penalty rates (according to the relevant Award/Agreement)?			
Are uniform/late work or other allowances being paid as per the relevant Award/Agreement/Act?			
Do employees get the correct meal and rest break according to the relevant Award/Agreement?			
If no, are employees properly compensated?			

If you answered NO to any of the questions above, you may not be complying with your workplace obligations. Contact the HR Advisory Service for advice.

Time & wages record keeping

Do you maintain the following information on the employee's records? (Can be electronic and/or written records)	Yes	No
Legal and/or trading name of employer		
Employee name		
Date the employee commenced work with the employer		
Employee status – whether the employee is engaged as a permanent (full time or part time), temporary or casual employee		
Number of hours worked		
Number of overtime hours worked		
Rate of pay		
Any written agreements of hours worked, individual flexibility arrangements or Annualised salary guarantees/agreements		
Gross and net amount of pay		
Deduction details		
Monetary allowances		
Leave accrued/taken		
Superannuation details		
Termination details		

If you answered NO to any of the questions above, you may not be complying with your workplace obligations. Contact the HR Advisory Service for advice.



Elements of this resource have been adapted from © Fair Work Ombudsman www.fairwork.gov.au

Further assistance needed?

For complete peace-of-mind, members can request the HR Advisory Service to conduct a comprehensive audit* of your workplace records to ensure they comply with workplace legislation. We will undertake an audit of your current rates of pay, contracts of employment, and how and when you are applying award and leave entitlements, pay slips and payroll records, superannuation and individual flexibility agreements. For costs and further information, please contact the HR Advisory Service.

*Charges apply

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**For more information or assistance, please contact the friendly team at the
APodA HR Advisory Service on
Telephone: (02) 8448 3233
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