Client Payroll Practice Health Check

Take a little time to review the practice behind your client payroll service. Work through the checklist, identify what needs attention and choose your next three actions.

This is a starting point for reviewing how you run your client payroll service. It is a self-review, not a compliance assessment, legal advice or CPX verification.

Blank checklist | Review date: _____

1. Clients and responsibilities

1.1 Our client agreements clearly describe what our payroll service includes and excludes.

◯ In place ◯ Needs attention ◯ Not applicable

1.2 We have agreed client information deadlines, payroll approval responsibilities and escalation contacts.

◯ In place ◯ Needs attention ◯ Not applicable

1.3 We have a process for recording and agreeing changes to the service or additional work.

◯ In place ◯ Needs attention ◯ Not applicable

2. Payroll controls

2.1 We use a documented review process before payroll approval and submission.

◯ In place ◯ Needs attention ◯ Not applicable

2.2 We retain approval records and check submission confirmations.

◯ In place ◯ Needs attention ◯ Not applicable

2.3 We have a clear process for investigating errors, correcting payrolls and keeping the client informed.

◯ In place ◯ Needs attention ◯ Not applicable

3. Compliance preparation

3.1 We have reviewed which registration and supervision requirements apply to our service and recorded any actions.

◯ In place ◯ Needs attention ◯ Not applicable

3.2 We have a way to track relevant changes and assign responsibility for preparing our service.

◯ In place ◯ Needs attention ◯ Not applicable

3.3 Our team knows when to seek specialist advice or refer a matter outside our expertise.

◯ In place ◯ Needs attention ◯ Not applicable

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4. Continuity and cover

4.1 Someone could identify our urgent payrolls and deadlines if the usual processor were unavailable.

◯ In place ◯ Needs attention ◯ Not applicable

4.2 We keep essential processing instructions and contact details current and accessible to authorised cover.

◯ In place ◯ Needs attention ◯ Not applicable

4.3 We have reviewed our backup arrangements and how we would recover from a system outage or loss of access.

◯ In place ◯ Needs attention ◯ Not applicable

5. Information security

5.1 We control and regularly review who can access client payroll information.

◯ In place ◯ Needs attention ◯ Not applicable

5.2 We use an agreed secure way to receive and share payroll data.

◯ In place ◯ Needs attention ◯ Not applicable

5.3 Our team knows how to report a suspected data incident and find the response procedure.

◯ In place ◯ Needs attention ◯ Not applicable

6. Running the business

6.1 We review workloads and capacity before they put service quality or staff wellbeing under pressure.

◯ In place ◯ Needs attention ◯ Not applicable

6.2 We review pricing and work outside the agreed scope so the service remains sustainable.

◯ In place ◯ Needs attention ◯ Not applicable

6.3 We identify training needs and record improvements to our payroll processes.

◯ In place ◯ Needs attention ◯ Not applicable

Your next three actions

Action 1

What needs attention? _____

Who will do it? _____

By when? _____

Action 2

What needs attention? _____

Who will do it? _____

By when? _____

Action 3

What needs attention? _____

Who will do it? _____

By when? _____