

# Human Resources Records Format Capital Acquisition Due Diligence

## Company Information

Company Name:

Address:

Contact Person:

Date of Review:

## Employee Overview

Total Number of Employees

Full-Time

Part-Time

Contract/Temporary

Key Management/Leadership

## Key HR Policies & Compliance

Employee Handbook Available?

Signed Offer Letters on File?

Non-Disclosure Agreements (NDAs)

Non-Compete Agreements

Harassment/Discrimination Policy

Compliance with Labor Laws

## Compensation & Benefits Summary

Base Salary Structure

Incentive / Bonus Plans

Equity or Stock Option Plans

Benefit Programs (Medical, Dental, etc.)

Retirement/Other Benefits

## Outstanding/Litigation Issues

Current or Past Employee Claims

Open Investigations or Disputes

Unresolved Grievances

## Additional Notes

Other HR Considerations / Comments

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### Important Notes

- This document serves as a summary format for human resources due diligence in capital acquisition processes.
- All information should be validated and updated by authorized HR personnel before submission.
- Ensure compliance with data privacy and confidentiality regulations when sharing employee records.
- This format can be expanded or tailored based on specific transaction or investor requirements.