

POLICY ASSESSMENT WORKBOOK



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— STRATEGY. TALENT. RESULTS. —



A structured diagnostic to inventory policies, score quality, and prioritize compliance and governance upgrades.

Serving private organizations, public agencies, and municipalities across Florida, nationally, and the Caribbean.
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This workbook provides a structured way to inventory policies, evaluate quality and compliance, and prioritize updates. It is designed for private organizations, public agencies, and municipalities operating in Florida, nationally, and the Caribbean.

How to use this workbook

1) Complete the Organization Profile. **2)** Inventory policies by category. **3)** Score the overall quality of your policy framework. **4)** Plot top issues in the Risk & Priority Matrix. **5)** Build a 30/60/90-day action plan.

Scoring rubric (0–3)

Score	Meaning	Guidance
0	Missing	No policy exists or cannot be located.
1	Outdated / weak	Exists but is misaligned with current requirements or unclear in practice.
2	Needs improvement	Generally usable, but needs revision, alignment, or better implementation.
3	Strong	Current, clear, consistently applied, and supported by training/documentation.

Note: This workbook is for planning and risk management. It does not constitute legal advice.

Organization Profile

Complete the fields below to provide context for policy requirements and risk exposure.

Organization name	Sector	Private / Public / Municipal / Other
Primary location(s)	Employees	
States/countries served	Union/CBA	Yes / No
Key stakeholders	Completed by	

Document library check

- Employee handbook
- HR policies (separate from handbook)
- Administrative policies (finance, procurement, records)
- Board/Commission or governance directives
- IT/Technology policies
- Data privacy/security standards
- AI/automation tools inventory
- Training records / acknowledgements
- Complaint/grievance logs (aggregate trends only)
- Prior audit reports or legal opinions

Policy Inventory — HR & Employment Policies

Mark whether the policy exists, note the last update date, and identify the owner. Use Notes to capture known gaps or issues.

Policy / Standard	Exists	Last Updated	Owner	Notes
Equal employment / non-discrimination	<input type="checkbox"/>			
Anti-harassment (workplace + sexual harassment)	<input type="checkbox"/>			
ADA accommodations	<input type="checkbox"/>			
Family and medical leave / leave administration	<input type="checkbox"/>			
Overtime / timekeeping / wage and hour standards	<input type="checkbox"/>			
Classification and compensation / pay administration	<input type="checkbox"/>			
Recruitment and selection / background checks	<input type="checkbox"/>			
Performance management	<input type="checkbox"/>			
Discipline and corrective action	<input type="checkbox"/>			
Code of conduct / ethics expectations	<input type="checkbox"/>			
Attendance and punctuality	<input type="checkbox"/>			
Remote work / flexible work arrangements	<input type="checkbox"/>			
Workplace safety and incident reporting	<input type="checkbox"/>			
Drug-free workplace	<input type="checkbox"/>			
Workplace violence prevention	<input type="checkbox"/>			
Conflict of interest / outside employment	<input type="checkbox"/>			
Whistleblower / retaliation protections	<input type="checkbox"/>			
Grievance / complaint process	<input type="checkbox"/>			
Separation / resignation / termination	<input type="checkbox"/>			
Travel and expense reimbursement	<input type="checkbox"/>			

Policy Inventory — Governance & Administrative Policies

Mark whether the policy exists, note the last update date, and identify the owner. Use Notes to capture known gaps or issues.

Policy / Standard	Exists	Last Updated	Owner	Notes
Delegation of authority / signature authority	<input type="checkbox"/>			
Board/Commission or executive governance rules	<input type="checkbox"/>			
Public records / records requests (if applicable)	<input type="checkbox"/>			
Records retention schedule and legal holds	<input type="checkbox"/>			
Procurement / purchasing standards	<input type="checkbox"/>			
Contracting and vendor management	<input type="checkbox"/>			
Financial controls and approvals	<input type="checkbox"/>			
Code of ethics (public sector or organizational)	<input type="checkbox"/>			
Meeting procedures / public meeting compliance (if applicable)	<input type="checkbox"/>			
Policy approval and revision workflow	<input type="checkbox"/>			
Internal investigations and reporting	<input type="checkbox"/>			
Employee relations escalation / chain of command	<input type="checkbox"/>			
Emergency management / continuity of operations	<input type="checkbox"/>			
Facility access / security controls	<input type="checkbox"/>			
Communications / media relations	<input type="checkbox"/>			
Training requirements for leaders/managers	<input type="checkbox"/>			
Grant compliance / funding restrictions (if applicable)	<input type="checkbox"/>			
Complaint intake and case tracking	<input type="checkbox"/>			

Policy Inventory — Technology, Data & AI Governance Policies

Mark whether the policy exists, note the last update date, and identify the owner. Use Notes to capture known gaps or issues.

Policy / Standard	Exists	Last Updated	Owner	Notes
Acceptable use (devices, email, internet)	<input type="checkbox"/>			
Data governance (classification, access, stewardship)	<input type="checkbox"/>			
Privacy and confidentiality	<input type="checkbox"/>			
Information security standards	<input type="checkbox"/>			
Incident response / breach notification	<input type="checkbox"/>			
Password and authentication standards	<input type="checkbox"/>			
Records management for digital systems	<input type="checkbox"/>			
Bring-your-own-device (BYOD) standards	<input type="checkbox"/>			
Social media and digital communications	<input type="checkbox"/>			
AI usage policy (approved and prohibited uses)	<input type="checkbox"/>			
AI transparency and human oversight requirements	<input type="checkbox"/>			
Automated decision-making safeguards	<input type="checkbox"/>			
Vendor / tool procurement due diligence for AI/tech	<input type="checkbox"/>			
Data minimization and retention for AI-enabled workflows	<input type="checkbox"/>			
Model output review, bias, and quality controls	<input type="checkbox"/>			

Policy Quality Scorecard

Use the 0–3 scoring rubric to rate the overall quality of your policy framework. If needed, score by category (HR, Governance, Technology) and summarize results.

Criteria	0	1	2	3	Notes
Legal and regulatory alignment					
Operational clarity (roles, steps, definitions)					
Consistency across documents and practices					
Enforcement readiness (accountability + consequences)					
Training and acknowledgement requirements					
Documentation and record retention standards					
Equity, ethics, and transparency considerations					
Technology and data integration (where applicable)					
AI governance controls (if tools are used)					
Review cycle and ownership defined					

Overall notes / key observations:

Risk & Priority Matrix

List your highest-risk policy gaps and place them in the matrix. Focus first on items that are high risk and high urgency.

	High urgency	Low urgency
High risk		
Low risk		

Top risks to address first

1. _____
2. _____
3. _____
4. _____
5. _____

Executive Summary Template

Use this page to brief leadership on current policy maturity, key risks, and the recommended path forward.

Overall maturity (circle one): Foundational / Developing / Strong / Best Practice

Top 5 gaps (list):

Recommended next steps:

Target timeline: 30 / 60 / 90 / 180 days

Optional: Request a Policy Audit & Compliance Review to validate requirements, close gaps, and modernize governance (including AI governance and workplace technology policies).

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