



HR Risk Assessment Checklist Template

 Show only Checklist

Display Style
Default 

Legal and Regulatory Compliance

Assess adherence to relevant employment laws and regulations (e.g., EEOC, FLSA, ADA).

Last EEOC Compliance Training Date

Enter date...

State Wage & Hour Law Compliance Status

- Compliant
- Partially Compliant
- Non-Compliant



Number of Active Discrimination Claims

Enter a number...

Summary of Recent Legal Audits and Findings

Write something...

ADA Compliance Status

- Compliant
- Needs Review
- Non-Compliant

Copy of most recent I-9 audits

 Upload File

Date of last FLSA audit

Enter date...

Data Security and Privacy

Evaluate the security of employee data and compliance with privacy regulations (e.g., GDPR, CCPA).

Data Encryption Status

- Fully Encrypted
- Partially Encrypted
- Not Encrypted

Number of Employee Records

Access Control Review Frequency

- Daily
- Weekly
- Monthly
- Quarterly
- Annually

Last Data Security Audit Date

Data Privacy Regulations Compliance

- GDPR
- CCPA
- HIPAA
- Other (Specify in long text)

Other (Specify)

Write something...

Employee Relations and Workplace Culture

Assess risks related to employee morale, conflict resolution, and potential legal claims (e.g., discrimination, harassment).

Frequency of employee surveys conducted?

- Annually
- Semi-Annually
- Quarterly
- Ongoing (Pulse Surveys)

Number of formal complaints received in the past year?

Enter a number...

Summary of key findings from recent employee feedback?

Write something...

What types of training are provided to managers regarding employee relations?

- Harassment Prevention
- Conflict Resolution
- Performance Management
- Diversity & Inclusion
- Active Listening
- Employee Discipline

Date of last Workplace Culture Assessment?

Enter date...

Does the company have a formal mediation process?

Yes

No

Description of the company's policy on addressing employee grievances

Write something...

HR Technology and Systems

Identify vulnerabilities and risks associated with HRIS, payroll systems, and other HR technology.

Current HRIS System

Workday

BambooHR

ADP Workforce Now

Other

Number of Employees Using HR Technology

Enter a number...

Last Security Audit of HR Systems

Enter date...

Security Protocols Implemented

- Two-Factor Authentication
- Data Encryption
- Regular Security Updates
- Access Control Lists

Description of Data Backup Procedures

Write something...

Third-party vendor risk management process

- Formal risk assessment
- Informal review
- No established process

Compensation and Benefits

Review pay equity, benefits compliance, and potential risks related to compensation practices.

Average Salary Increase Percentage

Enter a number...

Pay Equity Analysis Conducted?

- Yes
- No
- Planned

Healthcare Cost Trend Analysis (Percentage)

Enter a number...

Last Benefits Audit Date

Enter date...

Benefits Offered (Select all that apply)

- Medical
- Dental
- Vision
- 401k
- PTO
- Life Insurance
- Disability Insurance

Summary of Executive Compensation

Write something...

Recruitment and Hiring

Evaluate risks associated with hiring practices, background checks, and compliance with employment eligibility verification.

Background Check Authorization Received?

- Yes
- No
- Pending

Date Application Received

Required Skills Verified?

- Technical Skills
- Communication Skills
- Problem-Solving Skills

Offer Letter Sent?

- Yes
- No
- Draft

Number of Applicants Interviewed

Enter a number...

Notes on Candidate's Interview Performance

Write something...

E-Verify Status?

- Completed
- In Progress
- Not Applicable

Performance Management

Assess fairness and consistency in performance evaluations and potential legal challenges related to performance-based decisions.

Last Performance Review Date

Enter date...

Review Method (e.g., Self, Manager, 360)

- Self-Review
- Manager Review
- 360 Review
- Combination

Overall Performance Rating (1-5)

Enter a number...

Key Accomplishments during Review Period

Write something...

Areas for Improvement

Write something...

Performance Goals Achieved?

- All
- Most
- Some
- Few
- None

Employee Signature

Write something...

Manager Signature

Write something...

Termination and Offboarding

Review termination processes to minimize legal risks and ensure compliance with relevant laws.

Termination Date

Enter date...

Reason for Termination (Detailed)

Write something...

Termination Type

- Voluntary Resignation
- Involuntary Termination
- Retirement

Final Paycheck Amount

Enter a number...

COBRA Notification Sent Date

Enter date...

Termination Documentation (Signed Forms)

 Upload File

Return of Company Property Status

- All Returned
- Partial Return
- Not Returned

Exit Interview Notes

Write something...

HR Policies and Procedures

Evaluate the adequacy and effectiveness of HR policies and procedures in mitigating risks.

Policy Review Frequency

- Annually
- Biennially
- As Needed
- Quarterly

Last Policy Review Date

Enter date...

Policies Reviewed in Current Cycle (Select All That Apply)

- Anti-Harassment
- Code of Conduct
- Remote Work
- Data Privacy
- Leave of Absence

Summary of Changes Made (If Any)

Write something...

Updated Policy Documents (Upload)

 Upload File

Communication Method of Policy Updates

- Email
- Intranet
- Team Meetings
- Company-Wide Announcement

Employee Acknowledgement Rate (Percentage)

Enter a number...

Notes on Policy Interpretation or Enforcement Challenges

Write something...

Business Continuity and Disaster Recovery

Assess HR's preparedness for business disruptions and ability to maintain essential functions.

Number of critical HR systems

Enter a number...

Last Disaster Recovery Plan Review Date

Enter date...

Summary of Key HR Functions Requiring Continuity

Write something...

Critical HR Data Backup Locations

- Cloud Storage
- Offsite Server
- Tape Backup

Next Scheduled DR Test Date

Enter date...

DR Test Type

- Tabletop Exercise
- Simulation
- Full-Scale Test

Contact Information for Key HR Personnel (Emergency)

Write something...