



HR Risk Assessment Checklist

Template Provided by CorAlign HR Consulting LLC
Helping businesses stay compliant, protected, and people focused.

1. Employee Documentation

- ☐ Up-to-date and compliant Employee Handbook
- ☐ Signed handbook acknowledgments on file
- ☐ Properly maintained and organized personnel files (I-9s, job applications, offer letters, etc.)
- ☐ Written job descriptions for each position

2. Policies & Procedures

- ☐ Documented disciplinary and grievance policies
- ☐ Harassment, discrimination, and retaliation policies clearly outlined
- ☐ Drug-free workplace and workplace safety policies
- ☐ Electronic communications, social media, and technology usage policies

3. Wage & Hour Compliance

- ☐ Accurate classification of employees (Exempt vs. Non-Exempt)
- ☐ Clear policies on overtime, breaks, and time tracking
- ☐ Regular audits of pay practices and payroll processes
- ☐ Proper treatment of 1099 contractors vs. W-2 employees

4. Hiring & Onboarding

- ☐ Background checks and drug screening processes documented
- ☐ Offer letters and at-will language consistently used
- ☐ Onboarding procedures include compliance and safety training
- ☐ New hire reporting and I-9 verification procedures followed

5. Performance Management

- ☐ Consistent and documented performance reviews
- ☐ Progressive discipline process in place
- ☐ Managers trained on how to provide feedback and document issues
- ☐ Employees understand expectations and growth paths

6. Benefits Administration

- ☐ Eligibility tracked for health, dental, vision, life, and disability benefits
- ☐ COBRA or state continuation processes followed after termination
- ☐ SIMPLE IRA / 401(k) contributions tracked and documented
- ☐ ACA compliance monitored (if applicable)

7. Safety & Training

- ☐ OSHA compliance (where applicable)
- ☐ Workers' comp postings and reporting procedures in place
- ☐ Emergency plans and workplace safety procedures documented
- ☐ Annual training on harassment, safety, and job-specific risks

8. Access & Confidentiality

- ☐ Role-based access to sensitive HR data (payroll, performance, medical)
- ☐ Clear policy on handling confidential personnel information
- ☐ Terminated employees promptly removed from HR/IT systems

9. Leave Management

- ☐ FMLA (if applicable), maternity/paternity, and personal leave policies documented
- ☐ Leave tracked and documented consistently
- ☐ Compliance with state-specific leave laws

10. Separation & Termination

- ☐ Termination checklists used to reduce legal risk
- ☐ Exit interviews documented
- ☐ Final paychecks issued according to state law
- ☐ COBRA or benefits separation notices issued timely

Internal Audit Completed By:

Full Name

Title

Signature

Date