



Human  
Resources  
Professionals  
Association

**Categorized**

# Risk Roster



Risk ID	Risk Category	Risk Description	Likelihood	Impact	Consolidated Score
	Health, wellness and safe workplace	Starting below the grey bar (at risk ID 1) are risks identified through multi-level research. These can be thought of risks that the HR profession/professional poses to the public, including employees and employers.	5- Very High	5- Very High	
	Labour and employee relations		4- High	4- High	
	Workplace competencies, planning and management		3- Moderate	3- Moderate	
	Legal and/or regulatory awareness & compliance		2- Low	2- Low	
	Other		1- Very Low	1- Very Low	
		<b>Mental Health:</b>			
1	Health, wellness and safe workplace	Condoning, ignoring, or creating a work environment that is harmful to people's psychological wellbeing and/or mental health	2.5	4.25	10.625
2	Health, wellness and safe workplace	Ignoring mental health issues employees are experiencing	3.6	4.4	15.84
		<b>Pandemic:</b>			
3	Health, wellness and safe workplace	Having inadequate response, planning and policies for a pandemic	3.4	4.4	14.96
4	Health, wellness and safe workplace	Enforcing mandatory health checks on employees (ex. Taking temperature)	2.6	3	7.8
5	Health, wellness and safe workplace	Closing essential facilities, such as workplace washrooms that staff and/or the public rely on	2.6	3.8	9.88
		<b>Physical Wellbeing and Work Environment:</b>			



6	Health, wellness and safe workplace	Condoning, ignoring, or creating a work environment that is harmful to people's physical wellbeing	2	4.8	9.6
7	Health, wellness and safe workplace	Harassing, discriminating and/or using violence against general members of the public	2.2	4.8	10.56
8	Health, wellness and safe workplace	Not reprimanding employee or taking steps to warn others for assault and/or abuse committed by them in the workplace	2.2	4	8.8
9	Health, wellness and safe workplace	Employees facing domestic violence at home that HR is aware of but hasn't taken any measures/actions	3.2	4.2	13.44
10	Health, wellness and safe workplace	Consuming drugs or alcohol while on duty	2	4	8
11 *	Health, wellness and safe workplace	Having sexual relationship with another staff member			
12 *	Health, wellness and safe workplace	Having sexual relationship with client			
13	Health, wellness and safe workplace	Inaccessible workplace for those with disabilities (ex. General members of the public going into workplace)	3.4	3.8	12.92
		<b>Workplace Investigation and/or Complaints:</b>			
14	Labour and employee relations	Biased and/or unfairly conducted workplace investigation	2.8	4.4	12.32
15	Labour and employee relations	Coaching those conducting workplace investigations to act in the company's interest first, ahead of the public's safety	2.4	4	9.6
16	Labour and employee relations	Not conducting a workplace investigation when warranted	2	4.4	8.8

17	Labour and employee relations	Terminating employee for complaint instead of investigating complaint set against them	2.25	4.5	10.125
18	Labour and employee relations	Not providing information to workplace investigator when asked	1.8	3.8	6.84
19	Labour and employee relations	Not being impartial and unbiased when acting as a mediator, whether formally or informally	2.8	4.2	11.76
20	Labour and employee relations	Being too slow in handling workplace issues or complaints relating to harassment, assault, discrimination, violence, etc.	3	4.4	13.2
21	Labour and employee relations	Interfering with any workplace investigations into own possible misconduct	1.6	3.8	6.08
22	Labour and employee relations	Mishandling or ignoring workplace complaints	2.6	3.8	9.88
		<b>Hiring:</b>			
23	Labour and employee relations	Hiring unqualified candidate(s) for position	3	3.4	10.2
24	Labour and employee relations	Not conducting a reference check of candidates before hiring	2.6	4	10.4
25	Labour and employee relations	Hiring staff with previous criminal background	2.6	3.2	8.32
26	Labour and employee relations	Hiring staff with history of membership or contribution to hate groups, such as white supremacist organizations	2.4	3.8	9.12
27	Labour and employee relations	Not conducting a criminal record check on new hires when job or role includes contact with people that could be considered as vulnerable	2.2	4.2	9.24

28	Labour and employee relations	Requiring job applicants to prove they are permanently eligible to work in Canada (this was deemed as discrimination in an Ontario HR-related tribunal case)	2.4	3.2	7.68
29	Labour and employee relations	Falsifying a criminal background check or reference check on self or candidate being hired	1.6	4.2	6.72
30	Labour and employee relations	Misleading candidate about possibility of employment opportunity	2.4	3.4	8.16
		<b>Professionalism and Ethics:</b>			
31	Labour and employee relations	Participating in or ignoring situations, activities or tasks in which there is a conflict of interest	3	3.8	11.4
32	Labour and employee relations	Retaliating against employees launching a complaint or grievance or knowingly condoning any one else to do so	2.2	3.8	8.36
33	Labour and employee relations	Breaching another person's trust, voluntarily misleading another person, betraying another person's good faith, or using unfair practices	2	4.6	9.2
34	Labour and employee relations	Intervening in personal matters of employees or clients when they are not relevant to the profession	2	3.2	6.4
35	Labour and employee relations	Injury to dignity, feelings and self-respect through actions/behaviours	2.6	3.8	9.88
36	Labour and employee relations	Failing to quote a fee or follow through with fees quoted for independent HR services (ex. Charge unexpected additional fees not previously agreed to)	1.75	2.75	4.8125

37	Labour and employee relations	Putting own needs and interests before that of clients or employees	2.4	3.6	8.64
38	Labour and employee relations	Deliberately sabotaging another person's job	1.8	3.8	6.84
39	Labour and employee relations	Collusion with others in the workplace to cover up mistakes and/or to target another employee to impact their position with the company	2.2	4.6	10.12
40	Labour and employee relations	Not providing employee with promised compensation and/or promotions	2.6	4	10.4
41	Labour and employee relations	Threatening repercussions if business becomes unionized and if employees vote for it	2	4	8
42	Labour and employee relations	Changing job role/ position to no longer be part of bargaining union unit without notifying union	2.4	3.8	9.12
43	Labour and employee relations	False, incomplete, deceptive or misleading advertising	2.4	4	9.6
		<b>Discrimination:</b>			
44	Labour and employee relations	Discrimination of any kind against others in the workplace	3.4	4.4	14.96
45	Labour and employee relations	Unconscious biases impacting important HR decisions - like hiring and promotions (ex. Anchoring bias, halo effect, confirmation bias, self-serving bias and attentional bias)	3.6	4.2	15.12
46	Labour and employee relations	Enabling systemic racism in the workplace	3.2	4.6	14.72
		<b>Misuse of Authority:</b>			

47	Labour and employee relations	Taking corrective action with employee where they have displayed performance or behavioural issues without first inquiring if there are any issues (ex. Disability) that may be impacting an employee's conduct	2.6	3.2	8.32
48	Labour and employee relations	Constructive dismissal of employee(s)	2.6	3.8	9.88
49	Labour and employee relations	Excessive disciplinary measures to employee(s) given the circumstances	2.4	3.4	8.16
50	Labour and employee relations	High turnover and/or retention issues in the workplace	2.6	3.6	9.36
51	Labour and employee relations	Unlawful or unnecessary exercise of authority (including use of force, intimidation, harrassment)	2.2	4.6	10.12
52	Labour and employee relations	Conducting alcohol or drug testing without reasonable cause to test that employee	1.6	3.8	6.08
		<b>Workplace Culture:</b>			
53	Labour and employee relations	Not requiring those in management positions to disclose if they are dating or having a personal relationship with someone in the company	2.6	3.4	8.84
54	Labour and employee relations	Permitting alcohol and/or drug use in the workplace or at workplace events	2	3.5	7
55	Labour and employee relations	Requiring employee to work excessive overtime and/or enabling a work culture that involves a lot of overtime work	2.5	3.75	9.38

56	Labour and employee relations	Failure to successfully lead change initiatives for organization (ex. Re-shape organizational culture)	2.6	3.2	8.32
57	Labour and employee relations	Excluded from or conflict with strategic planning and leadership in organization	2.2	3.6	7.92
58	Labour and employee relations	Lack of HR staff/ resources in company resulting in HR professional expected to fulfill and specialize in wide-ranging HR duties on own	2.8	3.6	10.08
		<b>Privacy, Confidentiality and/or Security:</b>			
59	Legal and/or regulatory awareness & compliance	Not maintaining confidentiality of employees' records or other confidential information	2.2	4.6	10.12
60	Legal and/or regulatory awareness & compliance	Allowing inappropriate use by others of HR management tools or documents	2	3.8	7.6
61	Legal and/or regulatory awareness & compliance	Not properly securing records and files that contain personal information or confidential information	1.8	4.4	7.92
62	Legal and/or regulatory awareness & compliance	Using surveillance to collect negative information on employees	2	4.4	8.8
63	Legal and/or regulatory awareness & compliance	Not notifying impacted parties of privacy or confidentiality breaches	2	4	8
64	Legal and/or regulatory awareness & compliance	Repurposing confidential work from former employer with current employer	2.2	3.8	8.36
		<b>Legal:</b>			





65	Legal and/or regulatory awareness & compliance	Misunderstanding, and/or non-compliance/breach of applicable employment laws, such as Employment Standards Act, Personal Health Information Protection Act, Occupational Health and Safety Act	3	4.6	13.8
66	Legal and/or regulatory awareness & compliance	Denying or providing unsuitable workplace accommodation(s) when medically necessary, including during interview process	2.6	4	10.4
67	Legal and/or regulatory awareness & compliance	Comitting fraud in the workplace, including misusing client funds	2.2	4.8	10.56
68	Legal and/or regulatory awareness & compliance	Not stopping dishonest, fraudulent, criminal or illegal conduct after discovering it is occurring	2	5	10
69	Legal and/or regulatory awareness & compliance	Miscalculating or not providing severance pay, vacation pay, or any other type of pay legally owed to employee	2.4	4	9.6
70	Legal and/or regulatory awareness & compliance	Pressuring employees into giving up paid vacation days, lie about it in timecards or risk job loss	2	4.4	8.8
71 *	Legal and/or regulatory awareness & compliance	Denying vacation time			
72 *	Legal and/or regulatory awareness & compliance	Denying parental leave			
73	Legal and/or regulatory awareness & compliance	Committing copyright infringement	2.2	4	8.8
74	Legal and/or regulatory awareness & compliance	Discouraging employee to call the police and/or contact a lawyer when an illegal act was committed against them	2.4	3.8	9.12

75	Legal and/or regulatory awareness & compliance	Lack of awareness and knowledge of employment laws and/ or other applicable laws, such as Employment Standards Act, Personal Health Information Protection Act, Occupational Health and Safety Act	2.8	4.4	12.32
76	Legal and/or regulatory awareness & compliance	Breaching employment contract	2.2	3.8	8.36
77	Legal and/or regulatory awareness & compliance	Being criminally convicted of a crime	2	4.6	9.2
78	Legal and/or regulatory awareness & compliance	Forcing arbitration for sexual harassment claims in the workplace	1.8	4.2	7.56
79	Legal and/or regulatory awareness & compliance	Failure to protect human rights	2.6	4.6	11.96
80	Legal and/or regulatory awareness & compliance	Making error/mistake that results in lawsuit (either against employer, oneself, and/or employee(s))	2.2	4.6	10.12
81 *	Legal and/or regulatory awareness & compliance	Inadequate and/ or inequitable compensation and/or bonus structures and practices			
		<b>Termination:</b>			
82	Legal and/or regulatory awareness & compliance	Dismissing employee without reasonable cause	2.6	4.2	10.92
83	Legal and/or regulatory awareness & compliance	Giving insufficient reasonable notice for an employee being dismissed without cause	2.2	3.8	8.36
84	Legal and/or regulatory awareness & compliance	Attempting to force/ strongly encourage someone to resign and/ or retire	2.8	3.8	10.64
85	Legal and/or regulatory awareness & compliance	Laying off workers under false pretenses (ex. Claiming there is no work, when there is)	2.2	4.6	10.12
		<b>Regulatory:</b>			



86	Legal and/or regulatory awareness & compliance	Lack of awareness of what it means to be regulated	3	3.2	9.6
87	Legal and/or regulatory awareness & compliance	Failing to notify HRPAs when a registrant has reasonable grounds to believe that another HRPAs registrant has contravened the HRPAs Code of Ethics or the HRPAs Rules of Professional Conduct	2.6	3.6	9.36
88	Legal and/or regulatory awareness & compliance	Drawing up a declaration or report the registrant knows to be incomplete, without mention of any restriction, or drawing up a declaration or report that the registrant knows to be false	2	4	8
89	Legal and/or regulatory awareness & compliance	Interfering with any disciplinary or complaints process of HRPAs	1.6	4	6.4
100	Legal and/or regulatory awareness & compliance	Not carrying professional liability insurance if a registrant or firm is in independent practice (i.e. provides HR services to the public)	2	4.2	8.4
101	Legal and/or regulatory awareness & compliance	Failing to cooperate with the regulatory process of HRPAs (ex. Submit documentation when required, respond to requests)	2.4	3.6	8.64
102	Legal and/or regulatory awareness & compliance	False reporting to registrar (ex. Employment status, bankruptcy, education)	2.4	4.2	10.08
103	Legal and/or regulatory awareness & compliance	Falsely claiming to hold HR designation, HRPAs title, and/or being a registrant of HRPAs or other regulatory body	2	3.6	7.2
104	Legal and/or regulatory awareness & compliance	Failing to meet the standards of workplace audits done by HRPAs	2.2	3.6	7.92

105	Legal and/or regulatory awareness & compliance	Failure to comply in a timely manner with an order from the Ministry of Labour or other government mandate	2.2	4.4	9.68
106	Legal and/or regulatory awareness & compliance	Disregarding previous warnings (either from regulator, legal body, workplace, etc.) and not making changes required	2.2	4.2	9.24
		<b>Unethical Behaviours:</b>			
107	Legal and/or regulatory awareness & compliance	Using social media to promote, encourage or show support for racism, discrimination, or violence	2.2	4.6	10.12
108	Legal and/or regulatory awareness & compliance	Counselling a client to make a complaint against someone (ex. Another HR firm) for malicious reasons	2	4	8
109	Legal and/or regulatory awareness & compliance	Failure to complete HR work retained to perform in the time frame agreed to (independent contractors)	2.6	3	7.8
		<b>Competency:</b>			
110	Workplace competencies, planning and management	Taking on work or tasks that are beyond competence and skill level and/or outside of the HR professional's expertise	2.4	3.6	8.64
111	Workplace competencies, planning and management	Not taking necessary steps to keep knowledge and skills up to date	2.6	3.6	9.36
112	Workplace competencies, planning and management	Unregulated HR professionals (ex. HR professionals in Ontario that are not registered with HRPAs)	3.2	3	9.6
113	Workplace competencies, planning and management	Neglect of duties and/or applicable responsibilities in the workplace	2.4	3.8	9.12

114	Workplace competencies, planning and management	Failing in obligation to provide advice to managers/employees in matters pertaining to HR and coach managers/employees relating to work and employment	2	3.6	7.2
115	Workplace competencies, planning and management	Engaging in the practice of HR while suffering from illness or disability which impairs ability to practice	2.4	3.8	9.12
116	Workplace competencies, planning and management	Falsifying own credentials and experience	2	4	8
117	Workplace competencies, planning and management	Providing misinformation or bad advice related to HR matters	2.4	4	9.6
118	Workplace competencies, planning and management	Unqualified professional working in HR (ex. Without relevant educational experience)	2.6	3.4	8.84
		<b>Workplace Policies:</b>			
119	Workplace competencies, planning and management	Lack of thorough and up-to-date workplace policies including on topics such as harassment, health and safety, privacy and confidentiality, compliance with all laws, security and cyber threats, etc.	2.6	3.8	9.88
120	Workplace competencies, planning and management	Lack of and/or improper training of staff regarding company policies and legal obligations	2.6	3.8	9.88
121	Workplace competencies, planning and management	Not complying with own company policies	2.4	4	9.6

122	Workplace competencies, planning and management	Using personality assessment or behavioural assessments, such as Myers-Briggs, that are not entirely evidence-based and misusing the results to make significant HR decisions, such as who to hire and who to promote	2.2	3.8	8.36
123	Workplace competencies, planning and management	Using general websites/webpages that aren't credible for HR and/or legal advice	2.4	3.6	8.64
124	Workplace competencies, planning and management	Not balancing interests between employer, employees and general members of the public (ex. HR too focused on protecting the employer from liability)	2.6	4	10.4
125	Workplace competencies, planning and management	Failure to retain records (ex. Of complaints, investigation processes or reports)	2.4	3.8	9.12
		<b>Workplace Management:</b>			
126	Workplace competencies, planning and management	Laying off or firing workers without the authority or the permission of senior management	2	4.2	8.4
127	Workplace competencies, planning and management	Intentionally misrepresenting candidate(s) or employee(s) qualifications such as their training, background, licensing, and expertise	1.8	4	7.2
128	Workplace competencies, planning and management	Misclassifying employees' status (ex. Misclassifying an employee as an independent contractor)	2.8	3.4	9.52



129	Workplace competencies, planning and management	Poorly written or lack of required documentation, contracts or agreements (ex. Inadequate documentation of progressive discipline)	2.6	4	10.4
130	Workplace competencies, planning and management	Using artificial intelligence recruiting tools that is set up (whether intentionally or not) to include more candidates for interviewing of a certain gender, race, religion, or culture	2.6	3.8	9.88
131	Workplace competencies, planning and management	Failing to process WSIB forms correctly	2.2	3.8	8.36

\* New risk added, not yet ranked