



NWA LEADERSHIP ACADEMY WEBINAR

Week 2 – Risk Management Issues Worksheet

Here are some important Risk Management issues that your office should address or review:

OPERATIONS

IT issues

- When was the last time you had an IT audit of your systems?

- Do you restrict employee access to specific client files, designated computers, or Personal Identifiable Information (PII) of employees to those with a business need-to-know basis?

- Are all employees periodically instructed or trained on their specific job responsibilities with respect to information security, such as the proper reporting of suspected security incidents?

- Do you have a plan in place if your office experiences a Data Breach?

Fraud

- Does the office's financial management function have segregation of duties?

- How often does your office have a financial audit?

- What systems are in place to specifically combat/prevent fraud?
- Does your office have a safe and confidential system to report waste, fraud or abuse?

Workplace Safety

- What is the most common source of accidents/injuries in your office?
- Are supervisors held accountable for the number of accidents in their departments?

HUMAN RESOURCES

- Does your office have a grievance policy?
- Does your office have policies prohibiting harassment of any form?
- Does your office have a progressive discipline system?
- Does your office have both an employees' handbook and a volunteers' handbook?
- Are volunteer staff managed and supervised in the same fashion as paid staff?

REPUTATION

- Does your office have a designated Spokesperson who is trained to interact with the media?
- Do employees and volunteers understand that all media inquiries must be routed only to the designated spokesperson?