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Risk Assessments for Non-Profit Organizations

Identifying and Mitigating Unique Risks to Improve Internal Controls and Transparency

A Live 110-Minute Teleconference/Webinar with Interactive Q&A

Today's panel features:

Melanie Lockwood Herman, Executive Director, **Nonprofit Risk Management Center**, Leesburg, Va.

Melanie Gray, Director of Quality Assurance, Human Resources and Risk Management,

Doorways for Women and Families, Arlington, Va.

Bob Broda, Founder and Managing Partner, **Visage Solutions, LLC**, Raleigh, N.C.

Kathy Miller, Vice President and Lead Counselor, Non-Profit Practice, **Oswald Companies**, Cleveland, Ohio

Wednesday, February 10, 2010

The conference begins at:

1 pm Eastern

12 pm Central

11 am Mountain

10 am Pacific

You can access the audio portion of the conference on the telephone or by using your computer's speakers.
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| | | | INTERNAL RECOMENDATIONS | | |
|------------------------|---|--|--|--|--|
| Area of risk | Specific Risk | Recommendations from Risk Management Assessment Yellow = Have started Green = Have completed | Likelihood it will occur (High, Moderate, Low) | Impact on agency (High, Moderate, Low) | Resources Required (High, Moderate, Low) |
| Client services | Inadequate critical incident synthesis and reflection | <ol style="list-style-type: none"> 1. Begin to synthesize critical incident reports. 2. Senior management team set aside time to examine process and lessons learned. 3. Ensure all involved in case are informed of the critical incident. | | | |
| Facilities | Valves could not be seen in the dark. | <ol style="list-style-type: none"> 1. Enlarge signage for shut off valves and electrical panels. 2. Ensure locations are on floor plans and maps. | | | |
| Technology | Inadequate client information database | <ol style="list-style-type: none"> 1. Continue to pursue client data base that generates data needed for reporting requirements. | | | |
| Emergency preparedness | Prevent disclosure of the location of the DV Shelter | <ol style="list-style-type: none"> 1. Ensure volunteers, Board members and staff are educated about confidentiality issues. 2. Keep vigilant with industry standard strategies for safekeeping of the location. | | | |
| Finance | Lack of depth in staffing finance | <ol style="list-style-type: none"> 1. Hired Director of Finance and Administration. 2. Update job descriptions | | | |
| Staff Safety | Home visiting staff may not be prepared | <ol style="list-style-type: none"> 1. Provide work only cell phones 2. Provide regular training in staff safety | | | |

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| | to deal with violence that occurs during visit to client's home. | <ol style="list-style-type: none"> 3. Consider other ways to use technology to alert authorities of unsafe condition at client's home. 4. Clarify policies around transporting clients in personal vehicles. | | | |
| Volunteer Program | Volunteer application asks questions that may not be necessary | <ol style="list-style-type: none"> 1. Consider whether SS# required on form necessary? 2. Consider whether date of birth year necessary? | | | |
| Human Resources | Personnel records | <ol style="list-style-type: none"> 1. Remove I-9 from personnel records 2. Remove medical information from personnel record 3. Include training information in personnel records 4. Audit all personnel records | | | |
| Board Governance | Board meeting preparation | <ol style="list-style-type: none"> 1. Re-evaluate what materials are essential for decision making at Board meetings. | | | |

Likelihood it will occur:

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|--------------|---------------|--|--|--|--|
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L – Low or minimal likelihood (e.g. in the experience of the agency it has not occurred and it is unlikely to occur)

M- Moderate chance it will occur (e.g. has perhaps occurred in the past, but it was considered unusual)

H- This has occurred, is occurring and will likely continue to occur

Impact on the Agency:

L – Low or minimal impact if this occurs

M – The agency would be moderately impacted in the event this occurred

H – In the event this occurred it would have a detrimental impact on the agency.

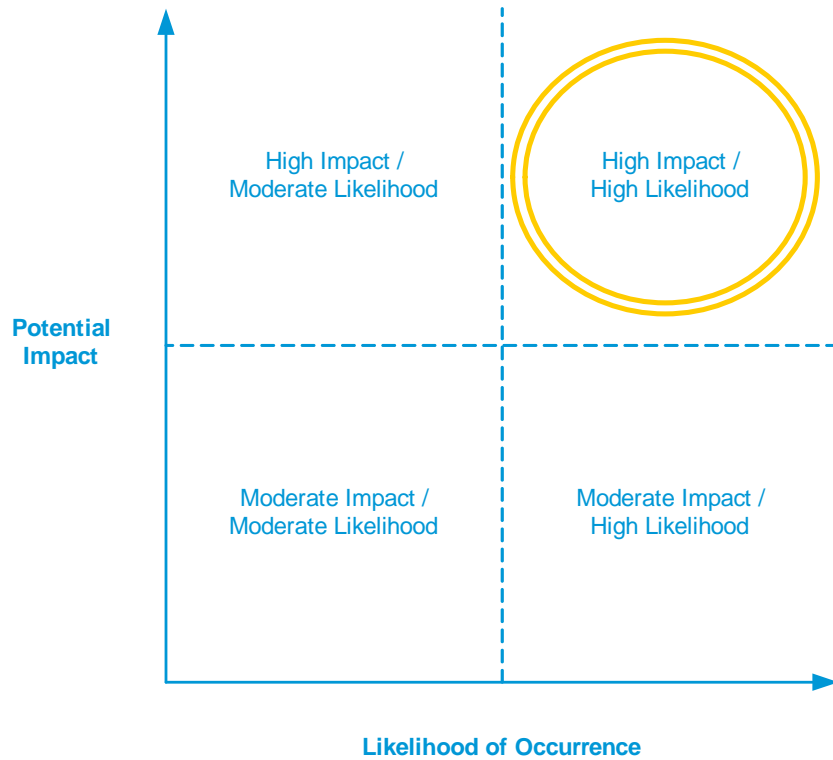
Resources Required:

L – Low or minimal costs (e.g., minimal labor and training with no out-of-pocket cost required) associated with the change

M – Moderate costs (e.g., labor and training for staff across the agency with some out-of-pocket cost required)

H – Significant costs (e.g., labor and training for staff across the agency with an out-of-pocket cost required)

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|--------------|---------------|---|--|--|--|
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Based on the results of the Risk Map, work plans can be developed that are specific to risk areas and include who is responsible and deadlines.