

Conducting Effective Risk Assessments

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1. What is the objective of performing a Risk Assessment?
2. What types of risk assessments do you perform? With what frequency?
3. Do you have an ERM program that guides / determines your risk assessment strategy?
4. When is it useful to bring in external counsel / accounting subject matter experts?
5. What is your process map for designing and conducting a risk assessment? What are some categories / functions you find most crucial to review?
6. What are the challenges / issues companies may face when performing a risk assessment?
7. Do you track metrics to measure the effectiveness of your risk assessment activities?
8. How do you communicate your findings and observations?
9. What would you do upon the discovery of a material violation (of law or policy)?
10. Any examples of how risk assessments have materially mitigated risk, reduced costs, or increased efficiencies?

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