

**HENRICO CASA PROGRAM  
RISK MANAGEMENT PLAN**

# Henrico CASA Risk Management Plan

**PHILOSOPHY:** Henrico CASA is committed to identifying and addressing the threats and opportunities the organization faces through a collaborative and strategic approach.

**GOALS:** This risk management plan will identify risk management priorities and develop strategies and policies to avoid risk.

**PRINCIPLES:** Henrico CASA will

- Adhere to state and federal regulations regarding the activities of CASA
- Comply with National CASA standards
- Thoroughly screen staff and volunteers
- Maintain safety and security of facilities and information
- Enforce established policies and procedures

**PEOPLE:**

1. The Governance Advisory Committee will develop the initial Risk-Management Plan, which will then be approved by the Board of Directors. Board members and the Executive Director will be tasked with the responsibility of carrying out the policies included in the Plan.
2. Henrico CASA's staff and volunteers will be expected to comply with the policies laid out in this Risk Management Plan according to the procedures outlined below.

## **RISK MANAGEMENT STRATEGIES:**

### **Risk 1: Security of information**

1. To avoid loss of data on hard drives, CASA staff will perform weekly scheduled back-ups of information. The back-up disks will be held in a separate location and secured physically or password protected.
2. To prevent leaks of confidential information about staff, volunteers, or families served, files will be kept in secured cabinets within the CASA facilities. Keys to these cabinets will be controlled by staff members with need to access files. Keys will not be left unsecured or unmonitored. Employees whose work requires access to confidential documents will ensure files are returned to their secured location. The Department of Criminal Justice Services (DCJS) and the National CASA Association will conduct audits of file security to ensure compliance. All board members, staff and volunteers must sign a statement of confidentiality formalizing their commitment to maintain confidentiality of all files and information. Persons who knowingly share unauthorized confidential information will be subject to discipline, up to and including termination.

## **Risk 2: Personnel and Use of Technology**

1. To prevent inappropriate conduct by board members, volunteers and/or employees, Henrico CASA will conduct evaluations of all staff. When initially hired and as deemed necessary or at a minimum of every five years thereafter by the Executive Director, background checks will be run for all board members, staff and volunteers, who are then required to disclose any later changes to their background check information. Annual performance reviews of Executive Director, staff and volunteers will be completed by the appropriate supervising body. Families served will complete annual evaluations of the level of service they receive.
2. To ensure compliance with policies and procedures as outlined in the Henrico CASA's bylaws, regulations, and policies documents and as required by National CASA, the Executive Director and/or an appointed staff member will conduct unannounced compliance audits. This staff member will evaluate files to ensure all required documentation is in order. All staff participates in a job orientation when they are hired, and any changes to policies will be announced and instituted by the Executive Director.
3. To ensure that technology is not used inappropriately, all staff and volunteers will be trained on appropriate uses of the technology. Henrico CASA maintains an Acceptable Use Policy to cover the particulars associated with technology use, and each staff member and volunteer must agree to this policy when they are hired.

## **Risk 3: Public Relations and Communication**

1. To ensure consistent message and to reduce risk of misinformation, the Executive Director is responsible for all communication and public relations related to Henrico CASA.
2. To ensure appropriate fund raising practices, the Board of Directors must approve fund raising plans annually.
3. The CASA Executive Director and Board of Directors will make every effort to diversify funding sources and will monitor fundraising activities to ensure they are conducted in an ethical manner.

## **Risk 4: Conflict of Interest**

1. To avoid the potential for undue influence, no board member is eligible to receive prizes or money related to any CASA function.
2. Upon election to the board, each board member will complete and sign a disclosure statement declaring any known conflicts and agreeing to comply with the Conflict of Interest Policy as stated in the Board of Directors Regulations.

## **Risk 5: Property and Finances**

1. To reduce the risk of embezzlement or mismanagement of funds, the bookkeeper and Treasurer (or Assistant Treasurer) will reconcile monthly bank statements and present this information to the Board of Directors quarterly. The Finance Committee will assist treasurer in hiring and overseeing annual audit of all financial records and present these audits to the Board of Directors. The procedure for disbursement of funds, including payroll, are outlined in the Board of Directors Regulations.
2. To reduce the risk of loss in the event of an emergency, Henrico CASA will maintain full insurance on facilities and property. The amount of insurance necessary will be determined by the Executive Director and the Board of Directors.
3. The Executive Director and Program Manager will monitor and keep thorough records related to all restricted gifts to ensure the related money is used as required by the granting institution.

### **MONITORING RESPONSIBILITIES:**

#### Board of Directors:

- Adopts and reviews operating policies and procedures
- Adopts annual budget and financial regulations and needs
- Reviews reports to determine compliance
- Ensures compliance with National CASA regulations
- Sets risk management goals
- Periodically reviews the organization's risk management plan

#### Executive Director:

- Assigns staff to design, implement, and monitor risk management activities
- Executes contracts for the organization
- Communicates emerging threats and opportunities to the Board of Directors
- Conducts staff and volunteer performance evaluations and background checks
- Reviews staff policies and procedures
- Acts as the organization's primary fiscal agent

This Risk Management Plan was approved by the Board of Directors of Henrico CASA on the 15th day of April 2010.

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Pat Hackler, President

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Katie Pinkard, Secretary