

Risk Assessment and Ranking

Risk#1: _____

Risk#2: _____

Risk#3: _____

Risk#4: _____

Risk#5: _____

Risk#6: _____

Risk Management Strategies

Risk#1: _____

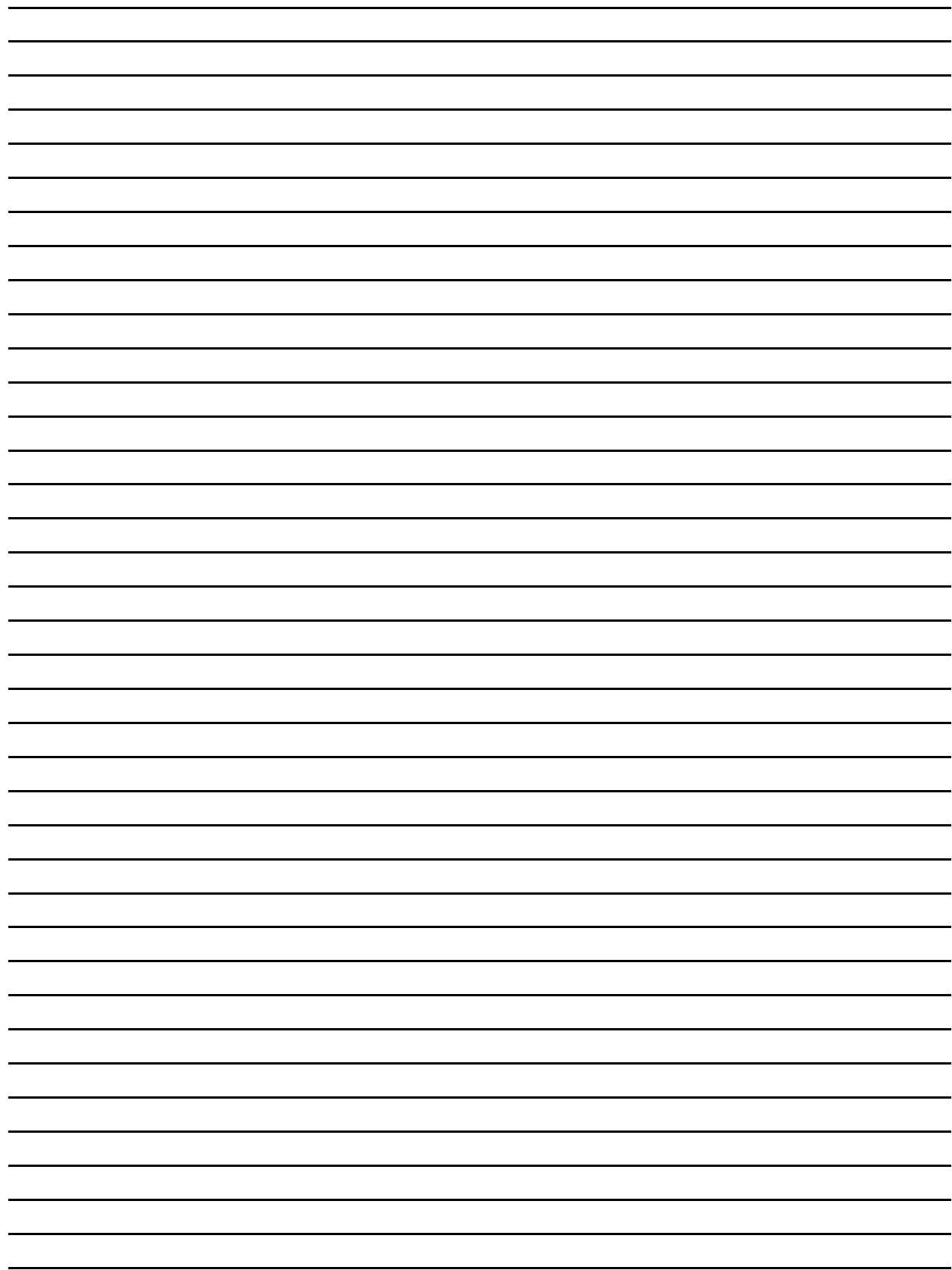
Risk#2: _____

Risk#3: _____

Risk#4: _____

Risk#5: _____

Risk#6: _____



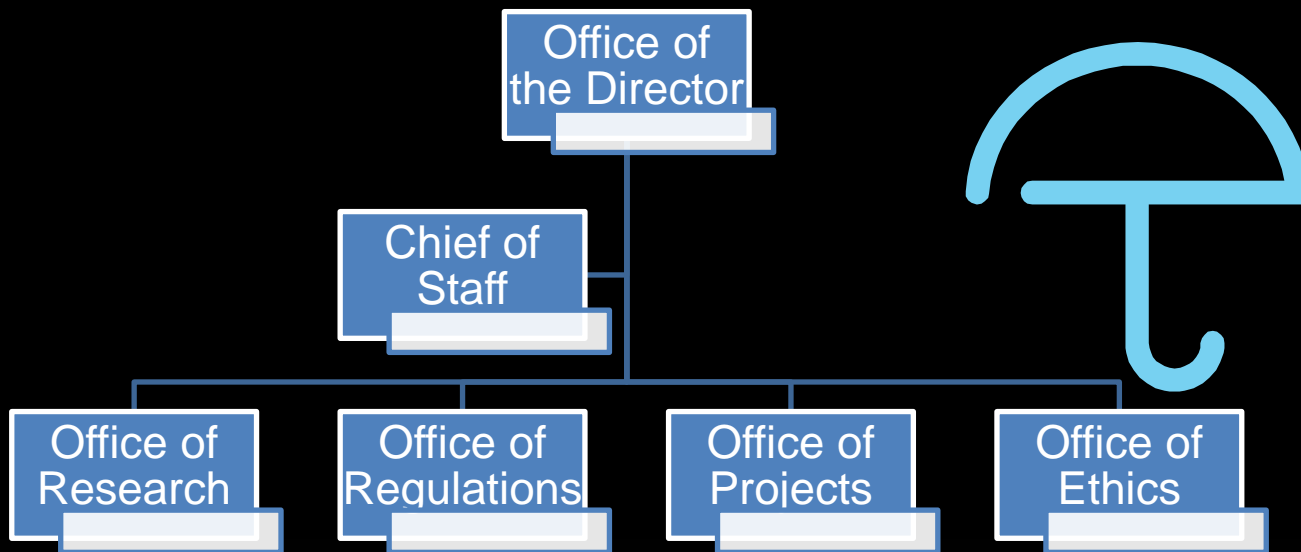
Enterprise Risk Management

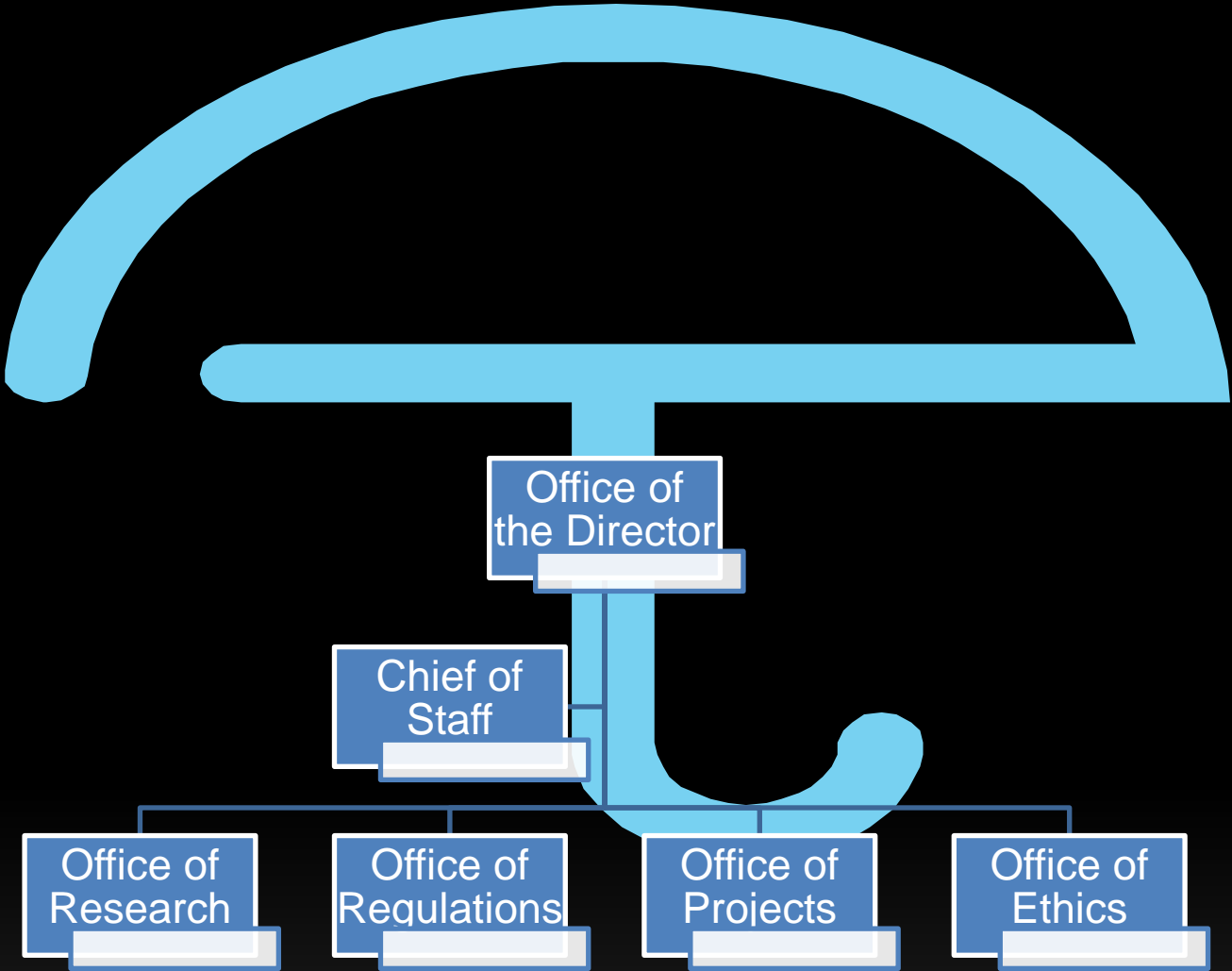
Leading the Ethics Program at
your Agency

What is the role of an ethics program leader?

"Enterprise Risk Management (ERM) is a discipline that addresses the full spectrum of an organization's risks, including challenges and opportunities, and integrates them into an enterprise-wide, strategically-aligned portfolio view. ERM contributes to improved decision-making and supports the achievement of an organization's mission, goals, and objectives."

-Association for Federal Enterprise Risk Management
(AFERM)





How do we help our organizations
manage reputational risk?

What are the features of an at-risk organizational unit?

Where do we find risk?

- Where work affects outside entities
- Infrequent oversight
- Isolation from preventative guidance/infrastructure
- Geographic isolation
- Punitive decision making environment

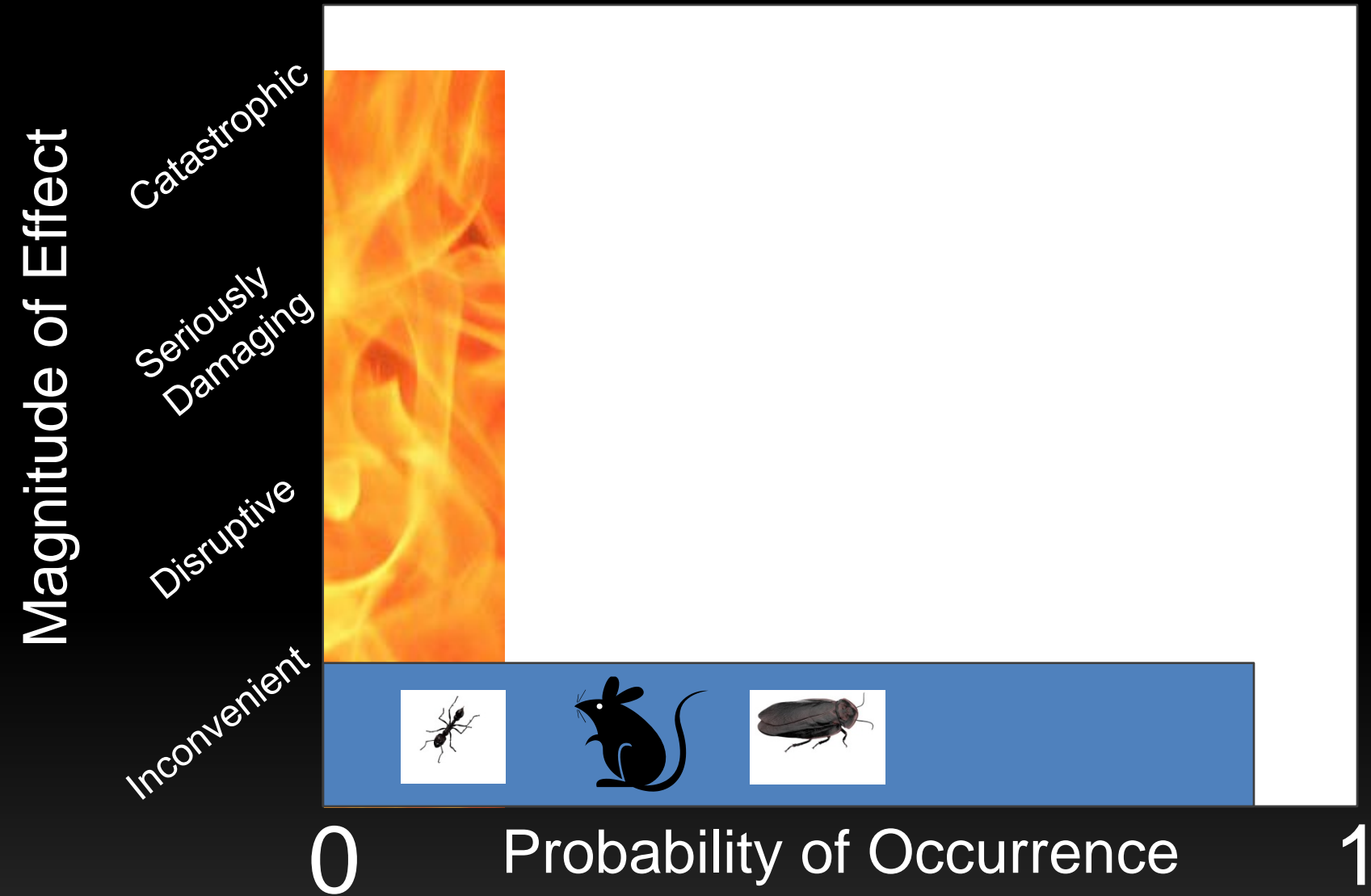
When do organizations face the most risk?

- Increases in workload
- Nearing deadlines
- Change in leadership
- Reorganization
- Reductions in force

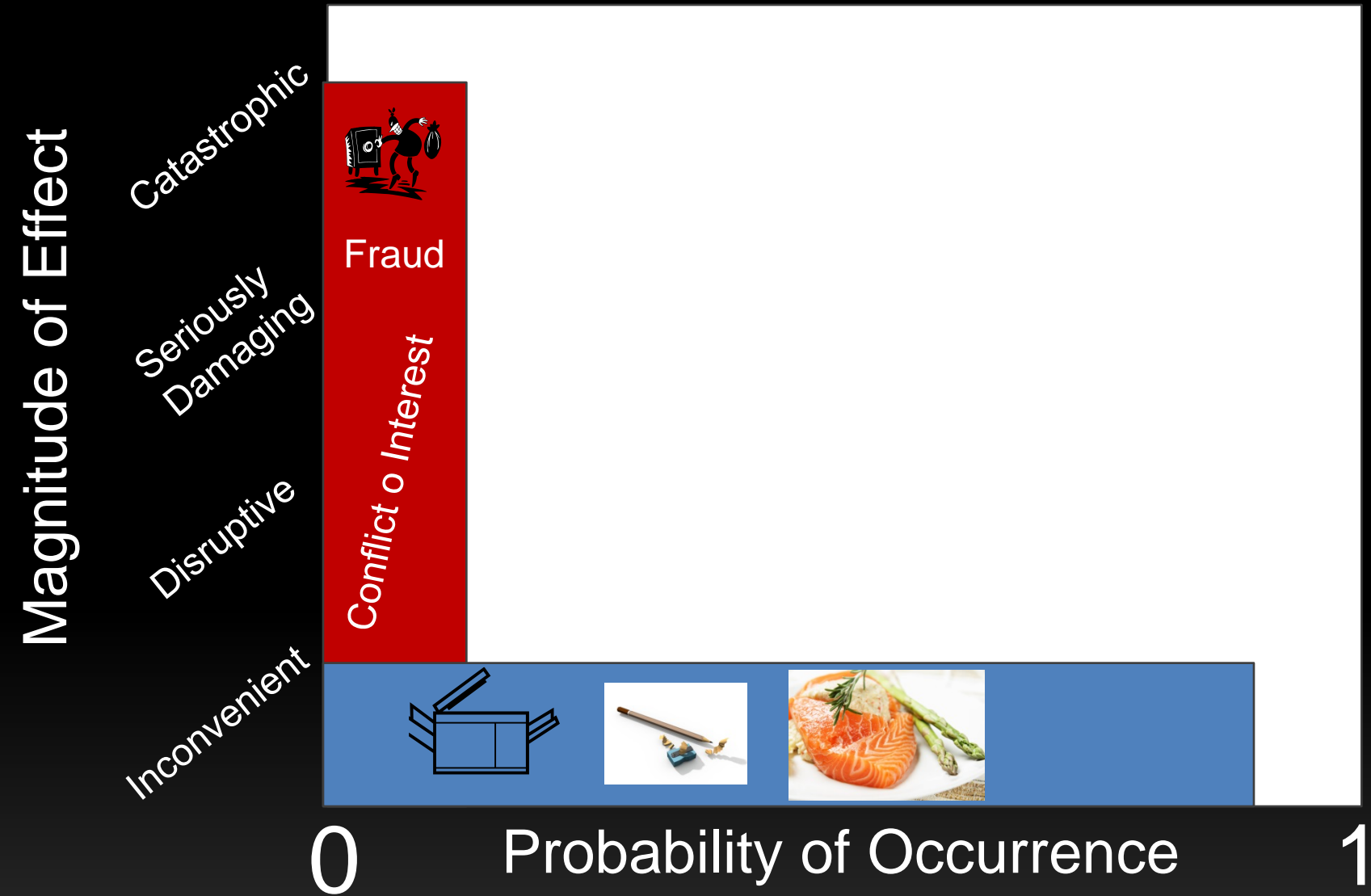
How can we use this information to
manage risk?

How can we prioritize risks?

How can we prioritize risks?



How can we prioritize risks?

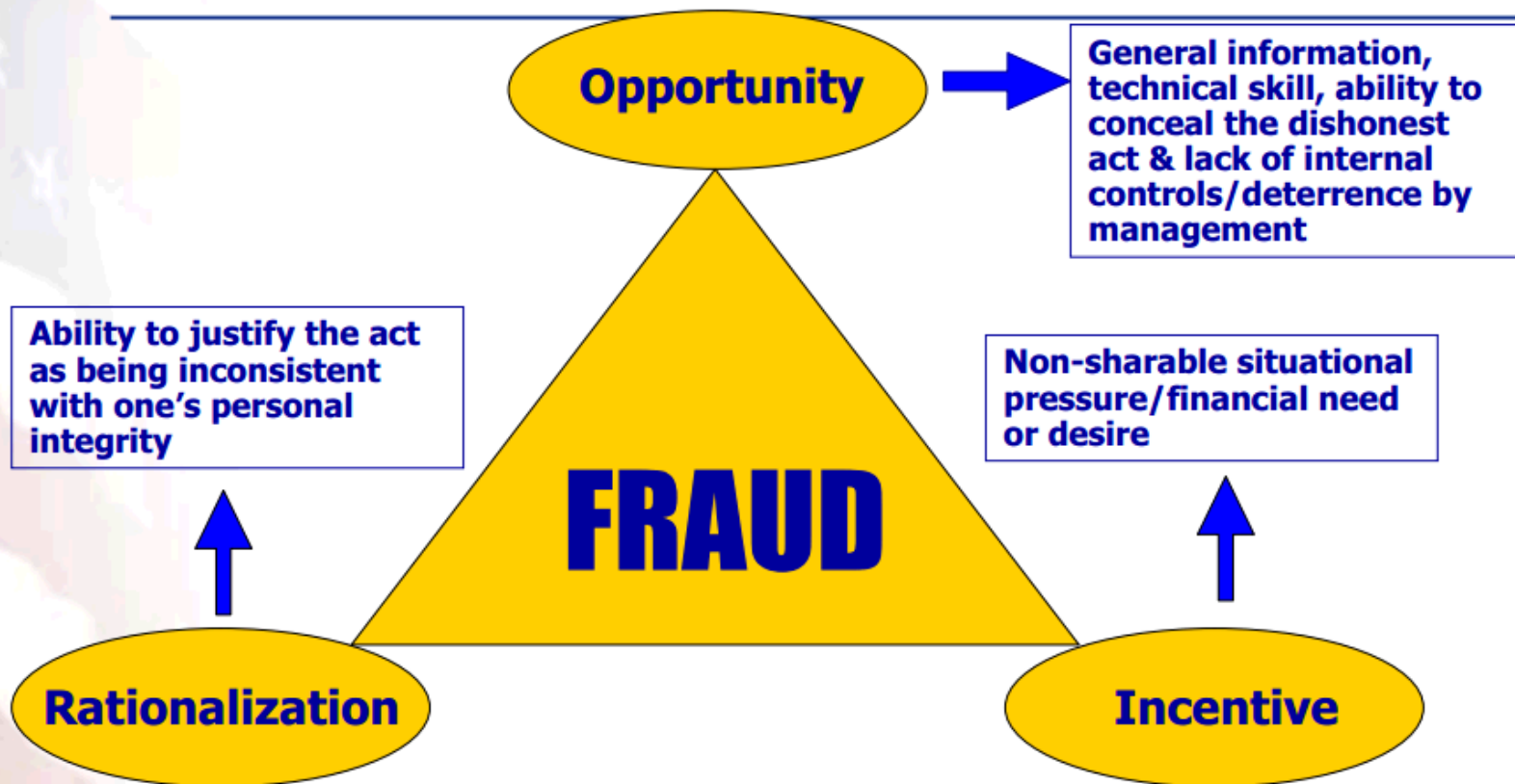


Risk Management Strategies

- Periodic assessment
- Leveraging partnerships
- Strategic deployment of resources
- Timely interventions and training
 - Outreach to managers
 - Employee training
 - Ethics reminders
- “Game” response strategy²

Can we identify at-risk employees?

Fraud Triangle



Risk Management Strategies

- Enlist managers
 - Practice interventions
 - Identify risk
 - Ask for help
- Allocate education resources strategically
- Provide timely support and resources

Complete a risk assessment.

Risk Assessment and Ranking

Risk#1:

Risk#2:

Risk#3:

Create a risk management action plan.

Risk Management Strategies

Risk#1: _____

Risk#2: _____

Risk#3: _____

Risk#4: _____

Works Consulted

1. Kern MC, Chugh D.; Bounded ethicality: the perils of loss framing, 2009
2. Joseph W. Weiss; Ethics: A Stakeholder and Issues Management Approach, pg. 72, 2009
3. Corporate Executive Board; Maximizing Integrity at Key Career Moments *A Better, More Cost-Effective Approach to Compliance and Ethics Outreach*
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4. Chana Joffe-Walt and Alix Spiegel; Psychology Of Fraud: *Why Good People Do Bad Things*, May 1, 2012
<http://www.npr.org/2012/05/01/151764534/psychology-of-fraud-why-good-people-do-bad-things>



Conclusion
