

## Checklist – Risk Management Essentials

- 1. Documentation of all Essential Relationships**
  - A. Employment Agreement with All Exempt Employees
  - B. Independent Contractor Agreements
  - C. Outsourced Labor and Contract Worker Agreements
  - D. Strategic Partner Agreements
  - E. **At Will** Clause in Employee Handbook and All Offer Letters
  
- 2. Personnel Management Procedures**
  - A. Identifying Staffing Needs and Solutions
  - B. Legal and Empowering Hiring Decisions
  - C. Regular Performance Evaluations and Improvement
  - D. Management of Compensation
  - E. Consistent Discipline and Termination
  - F. Standardized Personnel Record Keeping
  - G. Earned Promotion and Advancement
  - H. Litigation Avoidance through Effective Management
  - I. Release and Severance Agreements
  - J. Careful About Former Employee References
  
- 3. Commitment to Compliance Mandates**
  - A. Statement in Job Advertisements, Application and Employee Handbook the
  - B. Training of Management and Employees to Prevent Harassment, Discrimination and Other Claims
  - C. Hire and Accommodate Qualified Disabled Employees
  - D. Grievance Mechanism with Ability to Complain to Non-Involved Supervisors
  - E. Procedure for Prompt and Thorough Investigation of Employee Complaints
  - F. Appropriate and Consistent (Not Arbitrary) Disciplinary Procedures
  - G. Compliance with Federal and State Posting and Handout Requirements
  - H. Proper Classification of Exempt vs. Non-Exempt Employees
  - I. Proper Classification of Independent Contractors
  - J. Well Written Safety Compliance Mandates
  - K. Procedures for Managing Family and Medical Leave Issues
  
- 4. The Building of Powerful Workplace Relationships**
  - A. Drafting of an Employee Handbook Created by a Joint Committee of Management and the Workforce and Reviewed by an Employment Law Attorney
  - B. Building of Trust Through Delegation, Performance Agreements, Building of Skills and Character Development
  - C. Creation of Communication Channels Using Everything from One on One Meetings to Multimedia Applications
  - D. Growth of the Individual in Areas Such as Health, Stress Management, Finances, Time Management, Goal Setting and Business Ethics
  - E. Procedure for Managing Home-based and Remote Site Workers
  
- 5. Creating and Protecting a Learning Organization.**

- A. Sharing and Carrying out a Clear Sense of Vision and Mission Which Drives Goals, Purpose, Performance and Profit
- B. Mechanisms Such as Suggestions Systems, Employee Knowledge Surveys and Tapping into and Applying Hidden Knowledge
- C. The integration of information Management System with Financial Systems Management and Activity Based Accounting
- D. The identification and Protection of Proprietary Knowledge and Strategies Non-Compete Agreements, Patent, Trademark, Copyright and Licensing Agreements
- E. Voice-mail, Email and Internet Use and Privacy Phocis
- F. Customer Driven Research and Development Programs

**6. Insurance Requirements**

- A. Workers Compensation
- B. Directors and Officers Liability
- C. General Liability
- D. Employment Practices Liability
- E. Professional liability
- F. Fiduciary Liability

**7. Celebration and Rewards**

- A. Value Driven Compensation
- B. Proactive Benefits in the Area of Health and Finances
- C. Celebration of Passages, Be They Birthdays, the Reaching of Personal and a Corporate Milestone, Hiring or Retiring