

Head Start Questions

(sample)

Section 28. Risk & Audit



Section 28 – Risk & Audit (Sample)

Identify and manage employee related risks before they happen

No	Question
28.1	What is the risk appetite set by the organisation? What does it tell you about the impact on day-to-day people operations?
28.2	What people risks have you or others identified in the organisation? Are they documented and regularly assessed? What is the likelihood they will occur and the impact? What controls are in place and are they effective? Tip – look for consistent definitions that the organisation uses to assess risk impact and plot risks on a matrix (frequency vs impact).
28.3	How would you describe the risk culture in the organisation? What has led you to this view? How is risk, including employee expectations, communicated as part of the induction process?

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No	Question
28.4	Which HR activities have been identified as “critical” as part of a business continuity plan? What processes are in place in the organisation to manage a major event (e.g. floods, fire, pandemic, cyber attack)? When were disaster recovery plans last tested?
28.5	What role does the HR team play in supporting the organisation during a major event? Are roles and accountabilities clear and documented? Are team members contactable out of hours?
28.6	<p>What policies are in place regarding conflict of interests? What regular communication or training exists to remind employees of conflicts of interest? Is there a level of transparency and procedures in place to minimise bias/misconduct regarding:</p> <ul style="list-style-type: none"> <input type="checkbox"/> recruitment (e.g. friends and relatives) <input type="checkbox"/> use of suppliers <input type="checkbox"/> promotions and salary increases (particularly friends and relatives) <input type="checkbox"/> employees working in other roles or running their own business <input type="checkbox"/> relationships at work? <p>Check – Is a Conflict of Interest clause included in employment contracts?</p>