Process Strategies

BUSINESS RISK SNAPSHOT

Pre Session Questionnaire

CONFIDENTIAL. INDEPENDENT. PRACTICAL.

Find the Risk Before it Finds You.

A THOUGHTFUL BEGINNING

Your Business Risk Snapshot begins before our conversation. This brief questionnaire provides helpful background on how your organization currently operates, where responsibilities sit, and which areas may be most useful to discuss during your scheduled Risk Review.

There are no “right” answers. In fact, “I’m not sure” can be just as informative as “yes” or “no.” Please answer based on how your organization operates today—not simply how a policy says it should operate.

Estimated completion time: 10 minutes

01 | YOUR ORGANIZATION

Business / Organization Name

Industry / Type of Organization

Years in Operation

Number of Employees

Number of Contractors

Number of Locations

Your Role

02 | HOW YOUR BUSINESS OPERATES

Who primarily handles your bookkeeping or accounting?

Who handles payroll?

Approximately how many people can initiate, approve, or make business payments?

Do you have written purchasing and payment procedures?

- [ ] Yes
- [ ] No
- [ ] Some
- [ ] Unsure

Are employee roles and responsibilities clearly defined?

- [ ] Yes
- [ ] No
- [ ] Some
- [ ] Unsure

Are significant purchases or payments subject to another person's review or approval?

- [ ] Yes
- [ ] No
- [ ] Sometimes
- [ ] Unsure

WHY WE ASK

As organizations grow, responsibilities often evolve faster than internal processes. Understanding who can initiate, approve, record, and review transactions helps identify where additional oversight may be beneficial.

03 | ACCESS & INFORMATION

Do you periodically review who has access to your financial and business systems?

- [ ] Yes
- [ ] No
- [ ] Unsure

Is multi-factor authentication used for critical systems such as email, banking, payroll, or accounting?

- [ ] Yes
- [ ] No
- [ ] Some
- [ ] Unsure

When an employee or contractor leaves, is there a defined process for removing their access?

- [ ] Yes
- [ ] No
- [ ] Unsure

Are passwords or system accounts ever shared between employees?

- [ ] Yes
- [ ] No
- [ ] Unsure

04 | OVERSIGHT & PROTECTION

When was your organization's insurance coverage last reviewed?

- [ ] Within the past year
- [ ] 1–2 years ago
- [ ] More than 2 years ago
- [ ] Unsure

Which coverage does your organization currently maintain, if known?

- [ ] General Liability
- [ ] Professional Liability
- [ ] Workers' Compensation
- [ ] Employment Practices Liability
- [ ] Cyber
- [ ] Property / Business Interruption
- [ ] Crime / Fidelity
- [ ] Other / Unsure

04 | OVERSIGHT & PROTECTION - CONTINUED

If an employee suspected theft, fraud, harassment, unethical conduct, or another serious concern, would they know where an

☐ Yes ☐ No ☐ Unsure ☐ Not Applicable

Is there another reporting option if the employee’s immediate supervisor is involved in the concern?

☐ Yes ☐ No ☐ Unsure ☐ Not Applicable

A POINT TO CONSIDER

A reporting process does not need to be complicated. What matters is that people know where to go, how to raise a concern, and that concerns will be taken seriously.

05 | VENDORS & RELATIONSHIPS

Are new vendors independently verified before payments begin?

☐ Yes ☐ No ☐ Sometimes ☐ Unsure

Are changes to vendor payment or banking information independently verified?

☐ Yes ☐ No ☐ Sometimes ☐ Unsure

Are employees or decision-makers expected to disclose personal, family, or financial relationships with vendors or contracto

☐ Yes ☐ No ☐ Unsure

06 | WHAT HAS CHANGED?

During the past two years, has your organization experienced:

- ☐ Significant growth
- ☐ New employees or contractors
- ☐ Employee turnover
- ☐ New locations
- ☐ New accounting or payroll systems
- ☐ Significant new vendors
- ☐ New owners or partners
- ☐ Increased revenue or transaction volume
- ☐ New financing or funding
- ☐ Expansion into new services or markets
- ☐ Significant operational changes
- ☐ None of the above

If applicable, briefly tell us what changed.

07 | YOUR PERSPECTIVE

What is the ONE area of your organization you are most concerned about right now?

What made you decide to schedule your Business Risk Snapshot?

If this Risk Review could help you better understand one area of your organization, what would you want that area to be?

08 | FOR YOUR SESSION

NO SENSITIVE FINANCIAL INFORMATION REQUIRED

You are not required to submit sensitive financial records in advance. If available, simply have the following nearby during your session so we can reference them if needed.

Helpful items to have available:

- [ ] Organizational chart or staff / role listing
- [ ] Purchasing / payment procedures
- [ ] Credit card or expense policy
- [ ] Employee roles and responsibilities
- [ ] Approval / authorization structure
- [ ] List of major business systems
- [ ] Current insurance coverage summary

Please do not provide passwords, banking credentials, Social Security numbers, full account numbers, authentication codes, or other sensitive access information.

09 | YOUR SESSION IS ONLY PART OF THE VALUE

Following your session, Process Strategies will review the information gathered through our structured risk framework and prepare your personalized Snapshot Risk Report. Your report will be provided within 24 hours of your scheduled session.

Your personalized Snapshot Risk Report will outline:

- Key areas reviewed
- Potential risk or control gaps identified
- Areas that may benefit from stronger oversight or structure
- Recommended starting points
- Practical safeguards and controls to consider
- Priorities to help determine what should be addressed first

THE QUESTION WE ULTIMATELY WANT TO ANSWER

What might your organization not be seeing today that could become a problem tomorrow?

Ready to Submit?

Review your responses, save a copy for your records, and use the button below to prepare an email to Process Strategies with this completed PDF attached.

EMAIL COMPLETED FORM

Submission Email: info@internalstrategy.org

IMPORTANT EMAIL-BUTTON NOTE

For best results, open this PDF in Adobe Acrobat or Adobe Acrobat Reader. Some web browsers and mobile PDF viewers may not allow a PDF to open your email program or attach the completed form automatically. If the button does not work, save the completed PDF and email it manually to info@internalstrategy.org.

Important Scope Information

This review is designed as a high-level business risk snapshot to help identify potential areas for improvement. It is not an audit, investigation, fraud examination, cybersecurity assessment, or legal review and does not provide assurance that fraud or other misconduct does or does not exist.

Risk & Internal Controls | Compliance | Governance | Investigative Perspective

Find the Risk Before it Finds You.