



Alpha Kappa Alpha Sorority, Incorporated®

RISK MANAGEMENT

Handbook



ALPHA KAPPA ALPHA SORORITY, INCORPORATED®
INTERNATIONAL RISK MANAGENT TASK FORCE



RISK MANAGEMENT HANDBOOK



**EXEMPLIFYING EXCELLENCE THROUGH
EFFECTIVE RISK MANAGEMENT**

2020-2022



Alpha Kappa Alpha
SORORITY, INCORPORATED
5656 South Stony Island Avenue □ Chicago, IL 60637-1997 □ (773) 684-1282



Dear Sorors:

I am pleased to present this 2020-2022 International Risk Management Handbook as an additional resource for chapters to use. This updated handbook builds upon the work of previous administrations and specifically addresses hazing, operational, financial and reputational risks by examining how to identify, evaluate, manage and monitor each of these categories of risk. It also provides new guidance on virtual risks in light of our new normal.

In addition, the Risk Management Handbook will assist chapters in developing risk management plans. I urge you to use the Risk Management Plan template to assess how risk impacts your chapter operations, programs and events and to design a comprehensive risk management plan for your chapter.

Daily, we are faced with the realization that Alpha Kappa Alpha is one lawsuit away from losing our sorority. I am committed to ensuring that we have the appropriate training, tools and resources to avoid this. As we approach the 113th anniversary of our beloved sorority, it is important that we understand and exercise appropriate mitigation strategies to minimize risk across the board.

Please be reminded that “Every Soror Is A Risk Manager.” Therefore, each of us is charged with protecting our pearls and our sorority. In order to effectively do that, we all must be actively engaged in mitigating risk as members of Alpha Kappa Alpha.

I extend my gratitude to the Risk Management Task Force Chairman and the entire committee for the important work they are leading on behalf of our sorority and for providing this valuable information that will equip chapters in helping us to mitigate risk.

Thank you for being an active Risk Manager.

Yours for Alpha Kappa Alpha,

Soror Glenda Glover
Supreme Basileus



Alpha Kappa Alpha Sorority, Incorporated®

5656 S. Stony Island Avenue * Chicago, Illinois 60637-1997 * 773 684-1282 * Fax 773 288-8251



Greetings Sorors:

I am honored to have been appointed to serve as your International Risk Management Task Force Chairman and to have been entrusted with the awesome responsibility of ensuring that we protect and preserve our good name, our assets and our sisterhood.

Alpha Kappa Alpha Sorority, Incorporated® has grown from a college sorority to an international, multi-million dollar business with an active, diverse membership that spans generations and geographic boundaries. Our business is sisterhood and service. The question is not whether we have risk. All businesses do. The question is how effectively we manage risk.

Under the *Exemplifying Excellence Through Sustainable Service* administration, your Risk Management Task Force has been actively engaged in training and resource development to educate sorors about the important principle that we all are risk managers. Managing and mitigating risk to our beloved sorority is not the responsibility of the Directorate, International Committee Chairman and Committee Members, Chapter Basilei and Graduate Advisors alone; it belongs to each of us. Just as membership in Alpha Kappa Alpha has special privileges we all enjoy, it also has tremendous responsibilities we all carry.

The Risk Management Handbook was updated to provide additional guidance to chapter leaders and sorors as they execute the business of our sorority. We hope you will be inspired to develop or update your chapter risk management plan and ensure it is a living, breathing document that will serve as a roadmap for your chapter to actively and effectively mitigate risk exposure. We also hope you will consider risk management in all aspects of your chapter programs and operations.

The extraordinary members of the International Risk Management Task Force with whom I am privileged to serve are knowledgeable, responsive, sisterly and always willing to assist. We thank you for partnering with us as active risk managers because risk management is every soror's business.

Yours for Excellence in Risk Management,

Soror Kimberly M. Esmond Adams

Chairman, International Risk Management Task Force

Table of Contents

ALPHA KAPPA ALPHA SORORITY, INCORPORATED® 2020-2022 DIRECTORATE	3
2020-2022 INTERNATIONAL RISK MANAGEMENT TASK FORCE	4
OVERVIEW OF RISK MANAGEMENT TASK FORCE	5
Mission	5
Purpose	5
RISK MANAGEMENT CONCEPTS	6
Risk	6
Risk Management	6
Risk Management Strategy	6
Risk Management Plan	7
HAZING RISK	8
What is Hazing Risk?	8
Identifying Hazing Risk	9
Evaluating Hazing Risk	10
How to Manage and Monitor Hazing Risk	10
REPUTATIONAL RISK	11
What is Reputational Risk?	11
Identifying Reputational Risk	11
Evaluating Reputational Risk	12
How to Manage and Monitor Reputational Risk	12
OPERATIONAL RISK	13
What is Operational Risk?	13
Identifying Operational Risk – Chapter Operations	13
Evaluating Operational Risk – Chapter Operations	13
How to Manage and Monitor Operational Risk – Chapter Operations	14
Identifying Operational Risk – Events	14
Evaluating Operational Risk – Events	15
How to Manage and Monitor Operational Risk – Events	15
Identifying Operational Risk – Building and Facilities	16
Evaluating Operational Risk – Building and Facilities	16
How to Manage and Monitor Operational Risk – Building and Facilities	16
Identifying Operational Risk – Virtual Activities	17
Evaluating Operational Risk – Virtual Activities	17
How to Manage and Monitor Operational Risk – Virtual Activities	17
FINANCIAL RISK	18
What is Financial Risk?	18
Identifying Financial Risk – Chapter Operations	18
Evaluating Financial Risk – Chapter Operations	18
How to Manage and Monitor Financial Risk – Chapter Operations	19
Identifying Financial Risk – Fundraising	19
Evaluating Financial Risk – Fundraising	19
How to Manage and Monitor Financial Risk – Fundraising	19

APPENDIX	20
Risk Management Plan	21
Hazing Risks: Critical Conversation Starter	23
Safety Guide for Managing Risk at Events	24
RESOURCES	25

ALPHA KAPPA ALPHA SORORITY INCORPORATED®
2020-2022 DIRECTORATE

SOROR GLENDA GLOVER
Supreme Basileus

SOROR DANETTE ANTHONY REED
First Supreme Anti-Basileus

SOROR JASMYNE E. MCCOY
Second Supreme Anti-Basileus

SOROR CAROLYN G. RANDOLPH
South Atlantic Regional Director

SOROR CHELLE LUPER WILSON
Supreme Grammateus

SOROR CARRIE J. CLARK
Great Lakes Regional Director

SOROR GAYLE P. MILES-SCOTT
Supreme Tamiouchos

SOROR MITZI DEASE PAIGE
South Eastern Regional Director

SOROR BONNIE WASHINGTON MURDAH
Supreme Parliamentarian

SOROR JOYA T. HAYES
South Central Regional Director

SOROR ALYSSE GUERRIER
Undergraduate Member-at-Large

SOROR SONYA L. BOWEN
Central Regional Director

SOROR JASMINE WILLIAMS
Undergraduate Member-at-Large

SOROR TWYLA G. WOODS-BUFORD
Mid-Western Regional Director

SOROR MARY BENTLEY LAMAR
North Atlantic Regional Director

SOROR SHELBY D. BOAGNI
Far Western Regional Director

SOROR JENNIFER KING CONGLETON
Mid-Atlantic Regional Director

SOROR JOY ELAINE DALEY
International Regional Director

2020-2022
INTERNATIONAL RISK MANAGEMENT TASK FORCE

<p>SOROR KIMBERLY ESMOND ADAMS, CHAIRMAN Pi Alpha Omega (Atlanta, Georgia) South Atlantic Region 205 Pebblecreek Place, SW Atlanta, GA 30331 (404) 664-6360 riskmanagement@aka1908.com</p>	
<p>NORTH ATLANTIC Soror Roselyn (Roz) D. Holmes Grant Beta Alpha Omega (Newark, NJ) 7 Kinzel Lane West Orange, NJ 07052 (201) 207-7439 granted1908@gmail.com</p>	<p>SOUTH EASTERN (RESOURCE) Soror Adrienne Pope-Kelly Washington Epsilon Gamma Omega (Huntsville, AL) 2203 Reginald Drive Huntsville, AL 35810 (256) 426-9410 ap-kwashington@comcast.net</p>
<p>MID-ATLANTIC Soror Vanya G. Allen Sigma Tau Omega (Cary, NC) 301 Whitney Lane Durham, NC 27713 (919) 423-7895 vgaesq@yahoo.com</p>	<p>SOUTH CENTRAL Soror RoShana Adamson Beta Psi Omega (Austin, TX) 21217 Windmill Ridge Street Pflugerville, TX 78660 (512) 797-3670 read1908@gmail.com</p>
<p>SOUTH ATLANTIC Soror Kim Bunch Boyd Rho Zeta Omega (Marietta, GA) 3000 Devereux Chase Roswell, GA 30075 (678) 939-4394 kimboyd@hotmail.com</p>	<p>CENTRAL Soror Mary Ann Whitlock Stoddard Eta Omega (Louisville, KY) 1002 Springside Way Louisville, KY 40223 (502) 939-4465 marystoddard80@gmail.com</p>
<p>GREAT LAKES Soror Gail P. Forest Beta Eta Omega (Dayton, OH) 4820 Willow Mist Drive Dayton OH 45424 (937) 681-5018 mas47@aol.com</p>	<p>MID-WESTERN (RESOURCE) Soror Danielle L. Summerville Iota Beta Omega (Colorado Springs, CO) 4335 Ranch Creek Drive Colorado Springs, CO 80922 (719) 337-5461 daniellesummerville1@gmail.com</p>
<p>GREAT LAKES (RESOURCE) Soror Maureen L. Stapleton (Resource) Lambda Pi Omega (Detroit, MI) 3500 East Jefferson #326 Detroit, MI 48207 (313) 575-5503 moestape@gmail.com</p>	<p>FAR WESTERN Soror Keysa Rogers Theta Theta Omega (Las Vegas, NV) 4104 Cathedral Falls Avenue North Las Vegas, NV 89085 (702) 610-5018 keysa1908@icloud.com</p>
<p>SOUTH EASTERN Soror Toni Wallace Franklin Phi Lambda Omega (Memphis, TN) 4981 Lake Villa Cove Memphis, TN 38125-3704 (901) 262-1532 tonifran@bellsouth.net</p>	<p>INTERNATIONAL Soror Lorraine B. Benjamin-Matthew Mu Gamma Omega (St. Croix, USVI) P.O. Box 7484 Christiansted, VI 00823 (340) 514-7570 lbbmatthew@hotmail.com</p>

Risk Management Task Force Overview

Mission

The mission of the International Risk Management Task Force is to develop strategies to effectively identify, assess, minimize and mitigate risk for Alpha Kappa Alpha Sorority, Incorporated® at the local, regional and international levels concerning active and inactive members.

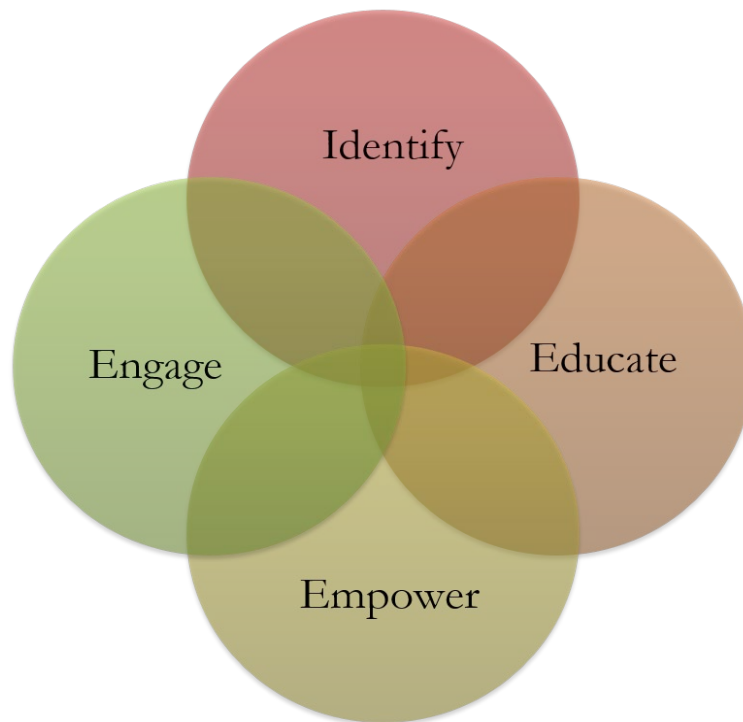
Purpose

The purpose of the International Risk Management Task Force is to:

- Assess the risks and potential threats to Alpha Kappa Alpha Sorority's chapters and members.
- Develop strategies and risk management approaches for implementation by chapters and regions in order to minimize or prevent risks.
- Develop an overall risk management plan for Alpha Kappa Alpha Sorority.
- Interface with the sorority's legal team and insurance professionals to ensure that our risks are properly managed.

As Alpha Kappa Alpha members, we have a responsibility to ensure the perpetuity of the sorority. How do we mitigate risks as members of Alpha Kappa Alpha?

EVERY SOROR IS A RISK MANAGER



Risk Management Concepts

Risk

Risk is **anything** that jeopardizes the health, safety, or welfare of an individual or organization. Risk is a factor in every organization, including the sorority. For that reason, it is important to review various areas of risk and possible impact on the sorority. Key areas of risk include, but are not limited to:

- Hazing
- Reputational
- Financial
- Operational
- Membership

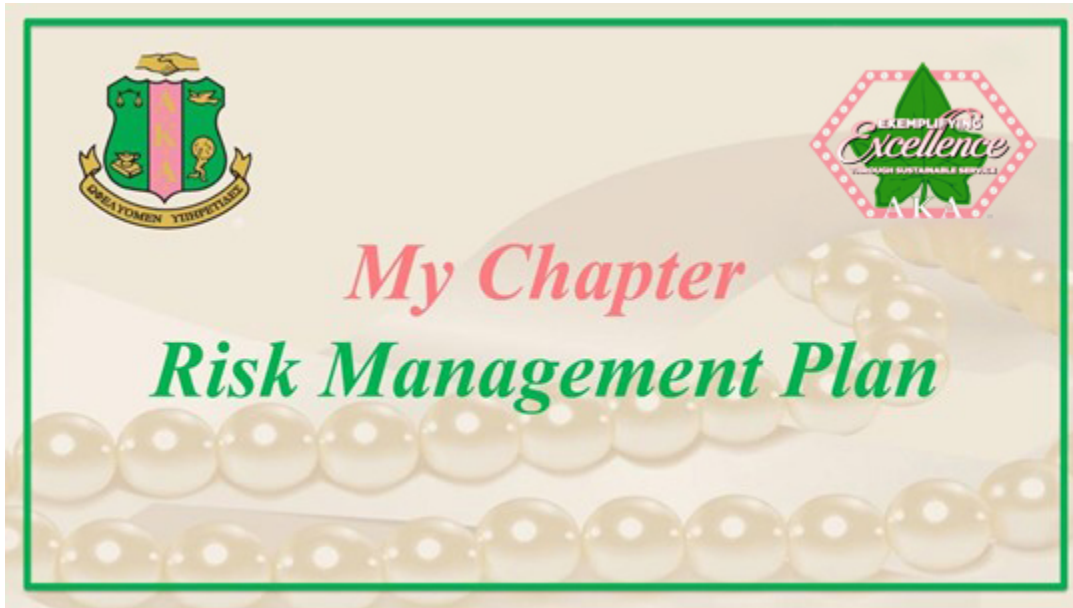
Risk Management

Risk management is the process of assessing the potential risks involved in undertaking specific activities or events. It includes implementing specific measures, controls, procedures and practices to proactively reduce or eliminate risks including the consequences of incidents and/or losses. As part of risk management, chapters should consider safety, as well the cost/benefit of conducting the event or activity.

Risk Management Strategy

Any strategy to address risk begins with developing a comprehensive risk management program. The risk management program should include identifying the risks, evaluating the risks, managing the risks and monitoring the risks. Education and training are key components of any risk management program and should include workshops, webinars and learning modules. Critical conversations with membership are also a key component of a risk management program. The conversations should be timely, relevant, specific, tactful and honest. Developing a strong program includes sorors having ownership in the risk management plan.





Risk Management Plan

The purpose of a Risk Management Plan is to help chapters assess how risks may potentially impact specific projects, programs, events, membership, and general operations. Chapters are encouraged to develop and implement a Risk Management Plan and annually review the plan. The Chapter's Risk Management Plan will define how risks will be identified, evaluated, managed and monitored.

The Risk Management Plan should include the following elements:

- **Identify:** Identify and acknowledge the existence of particular risks including potential threats to the chapter's assets, operations, programs and membership.
- **Evaluate:** Assess the identified risks to understand the scope, severity and frequency of the risks.
- **Manage:** Develop strategies to manage the risks, such as avoiding the risks, implementing measures to control the risks, or obtaining insurance to transfer the risks.
- **Monitor:** Monitor and observe the effectiveness of the selected risks mitigation strategies over time. Consider adjusting the strategy as the situation evolves.

A template for creating a Risk Management Plan is included in the Appendix.

Hazing Risk

What is Hazing?

Hazing is

an act or series of acts which include, but not limited to, physical acts such as hitting, striking, laying hands upon or threatening to do bodily harm to any individual(s), while acting in one's capacity as a member of Alpha Kappa Alpha; behavior that is directed against any individual(s) for the purpose of causing shame, abuse, insult, humiliation, intimidation or disgrace, and a variety of prohibited practices including but not limited to, underground hazing, financial hazing, pre-pledging, post-pledging, or post-initiation pledging. Hazing is strictly prohibited and will not be tolerated in any form by Alpha Kappa Alpha Sorority, Incorporated®.

Source: Alpha Kappa Alpha Sorority, Incorporated® *Constitution and Bylaws*

Since Alpha Kappa Alpha Sorority, Incorporated® founding in 1908, the sorority has prohibited hazing and it continues to take a zero tolerance stance against hazing. Notwithstanding Alpha Kappa Alpha's prohibition against hazing, it exists in our sorority. Hazing is the top risk management issue in Alpha Kappa Alpha.

Hazing allegations, insurance claims, and lawsuits jeopardize the sorority's ability to maintain its insurance coverage. The sorority has paid millions of dollars in insurance claims, lawsuits, settlements and legal fees which could restrict our ability to execute Alpha Kappa Alpha's mission.

If a soror engages in hazing activities and it is proven she violated Alpha Kappa Alpha Sorority, Incorporated® Anti-Hazing Policy, she will be sanctioned. She may be subject to sorority and college penalties. Additionally, she may be subject to legal action including civil and criminal proceedings.

Sorority Sanctions

- Withdrawal of individual or chapter privileges
- Suspension of an individual or chapter
- Revocation of chapter charter
- Fines
- Expulsion

College/University Sanctions

- Probation
- Suspension
- Imposition of fines
- Withholding of diplomas or transcripts
- Forfeiture of state or private grants, scholarships, or awards
- Dismissal

Civil Action

- Lawsuit
- Financial damages
- Seizure of property

Criminal Action

Forty-four states have laws against hazing. If a soror engages in hazing, she can be arrested. There could be a trial. She could be convicted of a crime and go to prison.

- Arrest
- Trial
- Conviction
- Fines
- Imprisonment

Identifying Hazing Risk

Hazing is often perceived as an undergraduate problem. In reality, hazing is a problem that affects graduate as well as undergraduate chapters and members. Hazing in its traditional form may include, but is not limited to, physical, emotional, psychological and financial abuse. More modern forms of hazing may include, but are not limited to, bullying, cyberbullying and other online abuses. Hazing does not always require the performance of calisthenics or paddling. One of the most severe aspects of today's hazing process is sleep deprivation by restricting or disrupting a person's sleep at any time. These actions risk the health, safety, welfare and reputation of members, nonmembers and our sorority.

Acts of hazing are based on both fact and perception. If an activity can be perceived as hazing, then there is a very high possibility that it is hazing.

Examples of ways to identify hazing risks include:

- Attending unauthorized meetings, sessions or rehearsals before, during or after the Membership Intake Process
- Performing errands and tasks for any sorority member
- Requiring the removal of garments or wearing ridiculous clothing as a requirement of membership
- Pressuring one to eat or drink anything, including alcohol, as a requirement for membership
- Being subjected to any form of verbal, physical or mental harassment or intimidation

Evaluating Hazing Risk

Examples of ways to evaluate hazing risks are:

- Am I being asked to keep these activities a secret or am I telling someone to keep these activities a secret?
- Am I doing anything illegal or anything contrary to Alpha Kappa Alpha policies and procedures?
- Does participation in this activity violate my values or those of Alpha Kappa Alpha?
- Is this causing emotional or physical distress or stress to myself or to others?
- Would you object to the activity being photographed and going viral?
- Would I feel uncomfortable describing the activity to the Supreme Basileus?
- Would I feel uncomfortable calling the Regional Director and describing the activity?
- Would I be unwilling to allow a judge or university president to witness the activities?
- Would I feel uncomfortable telling someone to participate in this activity if my parents were watching?
- Would we get in trouble if a college administrator walked by and saw us?

If you answer yes to one of the questions, it is hazing. When in doubt – don't! Alpha Kappa Alpha does not operate in the "gray area."

How to Manage and Monitor Hazing Risk

Examples of ways to manage and monitor hazing risks are:

- Know and follow official sorority documents
- Follow the current Membership Intake Process Manual
- Adhere to the Anti-Hazing Policy
- Adhere to the Soror Code of Ethics
- Conduct regular risk management training and include as part of your chapter's new member orientation
- Host anti-hazing workshops and forums on your college/university campus or community
- Devote ten minutes at each chapter meeting to discuss one component of Alpha Kappa Alpha's Anti-Hazing Policy
- Avoid a hazing culture
- Focus on sorority values
- Challenge old beliefs and undocumented traditions
- Review with all chapter members the chapter's Risk Management Plan
- If you 'See Something' that is not proper, 'Say Something' to the appropriate person
- Engage prospective candidates and newly initiated sorors in discussions regarding their experience and what is expected of them
- Keep non-financial sorors from participating in the Membership Intake Process
- Deal quickly and appropriately with problem members
- Know the college/university policy on hazing
- Be engaged with the university's student affairs office
- Don't try to solve the problem yourself -- engage all stakeholders and leaders of the sorority

Reputational Risk

What is Reputational Risk?

Reputational risk is the threat or danger to the reputation, good name and legacy of Alpha Kappa Alpha Sorority, Incorporated®, its regions, chapters and members. Reputational risk can occur through the actions or activities of the sorority itself, directly or indirectly through the actions of sorors and/or individuals in attendance and through the actions of third parties.

The reputation of Alpha Kappa Alpha Sorority, Incorporated® is built on more than a 100-year legacy of sisterhood and service. It takes less than five minutes to ruin our sorority with a post on social media such as Facebook, Instagram, Twitter and Snapchat. Every form of social media or internet platform affects our sorority's reputation. In a 24/7 news cycle, it takes but a few minutes for the sorority's brand to be tarnished.

Identifying Reputational Risk

Examples of ways to identify reputational risk include:

- Failure to adhere to Alpha Kappa Alpha governing documents
- Unauthorized use of sorority's trademarks, logos and service marks
- Use of unlicensed vendors
- Negative publicity
- Inappropriate step show content, language, music and attire
- Graduate sorors inappropriately associating and influencing members of their former undergraduate chapter (e.g. Facebook "Alumni" Groups, GroupMe, Chatrooms)
- Bullying
- Cyberbullying
- Fighting and other acts of violence
- Use of profanity
- Drug and alcohol use
- Unsisterly behavior
- Aligning or partnering with organizations whose mission, purpose and activities are contrary or inconsistent with the sorority's mission and purpose
- Inappropriate social media postings, including photographs, videos, and sorority confidential documents and rituals



Evaluating Reputational Risk

Examples of ways to evaluate reputational risks include:

- Is my behavior consistent with the Soror Code of Ethics?
- Is my Graduate Advisor aware of this activity?
- How would this activity look if it were being reported on the national evening news?
- What would a potential corporate sponsor or partner think if they googled Alpha Kappa Alpha and my social media post appeared in the search results?
- Is my activity or behavior legal?
- Does my behavior demonstrate high scholastic and ethical standards?
- Would my activity or behavior be appropriate in a work or professional environment?
- Did I get proper approvals? (e.g. use of the sorority's trademarks, event or program insurance, etc.) Did I guard against illegal usage?
- Is this activity permitted by the sorority's governing documents?
- When I hashtag Alpha Kappa Alpha in my social media posting, is the content related to, or do the images reflect sisterhood, service or scholarship?

How to Manage and Monitor Reputational Risk

Examples of ways to manage and monitor reputational risks are:

- Know and follow all sorority documents
- Regularly conduct risk management training and provide timely updates.
- Focus on sorority values
- Protect your privacy on social media
- Actively engage with leadership for direction and oversight
- Hold sorors accountable for their individual actions
- Ensure effective communications strategy and plan
- Be considerate of others when posting to social media
- Follow the Chapter's Risk Management Plan
- Use good judgment when speaking and doing
- Think before posting information and photographs on social media
- Have critical conversations with sorors as needed



Operational Risk

What is Operational Risk?

Operational risk occurs when inadequate, ineffective and outdated procedures and policies threaten the sustainability of an organization.

Identifying Operational Risk – Chapter Operations

Examples of ways to identify chapter operational risk include:

- Chapter documents conflict with sorority international documents
- Failure to properly transition new officers
- Failure to develop and train officers and membership
- Failure to consistently comply with ALL sorority documents
- Failure to facilitate membership compliance with chapter documents
- Failure to disseminate, communicate and/or share updated information to membership
- Inadequate records management and retention
- Inadequate or lack of chapter leadership succession planning
- Incomplete chapter and committee meeting minutes
- Outdated technology safety protocols
- Sharing confidential or private information/lack of discretion

Evaluating Operational Risk – Chapter Operations

Examples of ways to evaluate chapter operations risk include:

- Does the chapter hold a chapter retreat?
- Does the chapter conduct supervised transition workshops for incoming and outgoing officers?
- Does the chapter hold leadership development workshops?
- Does every member of the chapter have access to corporate office communication?
- Does your chapter have a storage location for documents and records that is secure, climate controlled and fire proof?
- Does the chapter have qualified candidates for offices?
- Does the chapter conduct an annual review of ALL documents?
- Does the chapter submit end of the year reports in a timely manner?
- Does the chapter have protocols in place to protect sorority information?
- Does the chapter hold members accountable for maintaining sorority confidences?
- Does the chapter hold members accountable for maintaining compliance with chapter and International documents?
- Does the chapter conduct regular training on its documents?

How to Manage and Monitor Operational Risk – Chapter Operations

Examples of ways to manage and monitor chapter operations risk include:

- Know and follow sorority documents
- Hold annual chapter retreats, establish measurements for success and evaluate for continuous improvement
- Integrate succession planning in chapter operations and program planning
- Create an effective internal and external communications strategy and plan
- Review chapter documents annually for compliance with sorority documents
- Follow the most current *Documents and Records Retention Guide*
- Schedule a supervised officer and committee chairman transition meeting to occur annually as soon after officer installation as practicable .
- Conduct meaningful workshops and retreats to develop chapter officers, committee chairman and chapter membership for effective and informed operations
- Implement annual review of technology tools and media to ensure content is secure and compliant with sorority policies and procedures

Identifying Operational Risk – Events

Examples of ways to identify events related risk:

- Lack of chapter and event specific insurance
- Lack of verification of co-sponsors' proof of event-specific insurance
- Inappropriate partnerships
- Inappropriate promotion of events
- Events where alcohol is served
- Lack of adequate security
- Lack of evacuation plan
- Lack of knowledge and regular review of evacuation plan
- Lack of contingency plan
- Planning an event that is not in alignment with the mission and purpose of the sorority
- Execution of event-related contracts (entertainment, venue, minimums, etc.)
- Lack of realistic budget to support event expenses
- Undergraduate chapters engaging in activities and events without mandatory Graduate Advisor supervision

Evaluating Operational Risk – Events

Examples of ways to evaluate events risk include:

- Does the chapter know if it has insurance coverage? If so, for what and how much?
- Does the chapter know how to obtain insurance riders for specific events?

- Does the chapter have verification or proof of co-sponsor's adequate insurance coverage?
- Does the chapter have guidelines to evaluate appropriate local, regional, national partnerships?
- Does the chapter have event/program evaluations to ensure that alignment with sorority mission and purpose is achieved?
- Does the chapter have legal support to review contracts, prior to execution?
- Does the chapter have a security, emergency, and evacuation plan for events and meetings?
- Does the chapter provide adequate security at your events?
- Does the chapter have a media and promotion process to ensure proper outlets are being leveraged?
- Does the chapter have a media and promotion plan that protects the reputation of the organization?

How to Manage and Monitor Operational Risk – Events

Examples of ways to manage and monitor event risk include:

- Know and follow all sorority documents
- Review annually the sorority's insurance policy and coverage at chapter meeting
- Prior to each event, review the sorority's insurance policy and coverage limits to determine if additional insurance coverage is needed and submit appropriate paperwork and fees to ensure coverage is obtained to the Corporate Office
- Evaluate whether co-sponsors have adequate insurance coverage for specific events
- Evaluate the appropriateness of partnerships to ensure they do not harm the image of the sorority or conflict with its programs, concerns and values
- Carefully vet contractors for events
- Carefully read the contract before signing and have it reviewed by a qualified attorney
- Carefully consider whether the chapter should be added as an additional insured to the venue and/or vendors insurance coverage for the event
- Execute the contract in the official name of the chapter
- Develop a security, emergency, and evacuation plan and review regularly
- Develop a plan to prevent injury to members, invited guests, participants, spectators, staff and others at the event and ensure rapid, effective and appropriate response to any injury

Identifying Operational Risk – Building and Facilities

Examples of ways to identify building and facilities risk include:

- Inadequate site selection review criteria
- History of slip, trip and fall occurrences
- Damage to facility during the course of events
- Loss of facility equipment
- Food preparation and food allergies
- Unexpected closure of venue
- Insufficient staffing to support event
- Exterior facility hazards
- Health and chemical hazards

Evaluating Operational Risk – Building and Facilities

Examples of ways to evaluate building and facilities risk include:

- Does the chapter have a facility site checklist as part of the site selection process?
- Does the chapter complete a visual inspection of the building/venue?
- Does the chapter check for known interior hazards such as slippery cement or tile floors, uneven floors or step-ups, absence of or unstable stair railing, exposed cords and wires, hanging lighting fixtures, and/or unstable platforms and staging?
- Does the chapter check for building and health code violations?
- Does the chapter work with facilities management to ensure all safety precautions are in place?
- Does the chapter have a team assigned to monitor for ongoing hazards during the event?
- Has the chapter met with catering department/services to ensure safe food preparation and disclosure of all possible food allergens?

How to Manage and Monitor Operational Risk – Building and Facilities

Examples of ways to manage and monitor building and facilities risk include:

- Operate legally and in compliance with agreements with facility owners and service providers
- Develop a site selection checklist and ensure all event committees utilize it when selecting a location for an event
- Develop a response team and plan for emergencies
- Supervise the spaces continually during events
- Inspect equipment, condition of facility and activity areas
- Review and utilize proper waivers and disclosures



Identifying Operational Risk – Virtual Operations and Activities

Examples of ways to identify virtual activity related risk:

- Unsecured platform used
- Unknown names or phone numbers in meeting room
- Persons present in background
- Attendees logged in from public places
- Lack of use of headset in open environment
- No plan to accommodate voting by ballot or count
- Confidential documents shared on screen
- Inappropriate activities via meeting platform

Evaluating Operational Risk – Virtual Operations and Activities

Examples of ways to evaluate virtual activity risk include:

- Does the chapter follow sorority virtual guidelines?
- Is the membership notified of protocol?
- Is there a soror assigned to monitor those joining the meeting?
- Are passwords and meeting access codes being used and only sent to members or invited guests?
- Are appropriate financial procedures being followed?

How to Manage and Monitor Operational Risk – Virtual Operations and Activities

Examples of ways to manage and monitor virtual activity risk include:

- Document specific chapter attendance protocol
- Utilize a chapter Technology Committee or team to make sure appropriate security items are being utilized (for example, password protection) and to handle technical issues
- Develop a checklist for virtual meetings and/or activities

Financial Risk

What is Financial Risk?

Financial risk occurs when a chapter fails to adhere to guidelines as provided for *Fiscal Fitness Guide for Chapter Financial*

Identifying Financial Risk – Chapter Operations

Examples of ways to identify chapter operations risk include:

- Co-mingling personal and sorority funds
- Misappropriation of funds
- Theft of property
- Inadequate internal controls
- Activities that function at a deficit
- Ineffective fundraising events

Evaluating Financial Risk – Chapter Operations

Examples of ways to evaluate chapter operations risk include:

- Does the chapter adhere to Fiscal Fitness Guide for Chapter Financial Operations?
- Does the chapter use proper financial management and internal controls procedures?
- Do the financial officers regularly report the chapter's financial position to the membership?
- Do the financial officers prepare annual budgets?
- Does the chapter conduct annual audits of financial records?

How to Manage and Monitor Financial Risk – Chapter Operations

Examples of ways to manage and monitor chapter operations risk include:

- Know and follow all sorority financial documents
- Adhere to AKA Fiscal Fitness Guide for Chapter Financial Operations
- Bond Tamiochos, Pecunious Grammateus, Graduate Advisors (undergraduate chapters) and others who handle chapter funds
- Establish, monitor and adhere to internal financial controls
- Establish realistic budgets and adhere to them to avoid deficits and financial crises
- Conduct annual financial audits
- Ensure strong internal controls are in place to prevent fraud and waste or theft of assets
- Ensure sorority financial obligations are met

Identifying Financial Risk – Fundraising

Examples of ways to identify fundraising risk include:

- Lack of separate accounts
- Activities that function at a deficit
- Lack of realistic budget to support event expenses
- Ineffective fundraising events
- Insufficient review of event contracts (entertainment, venue, minimums, etc.)
- Lack of chapter and event-specific insurance
- Inappropriate partnerships
- Insufficient planning
- Non-standard or no financial reports
- Lack of contingency plan

Evaluating Financial Risk – Fundraising

Examples of ways to evaluate fundraising risk include:

- Does the chapter fundraising event require insurance coverage? If so, for what and how much?
- Does the chapter know how to obtain insurance riders for specific fundraisers?
- Does the chapter have separate accounts?
- Does the chapter prepare standard financial reports?
- Does the chapter provide sufficient planning?
- Does the chapter comply with applicable laws?
- Have the appropriate forms been submitted to the Corporate Office for approval?

How to Manage and Monitor Financial Risk – Fundraising

Examples of ways to manage and monitor fundraising risk include:

- Separate operating and fundraising funds in different bank accounts
- Ensure written monthly financial reports are given by the financial officers which lists receipts (deposits) and disbursements (checks)
- Ensure sufficient planning and execution of fundraising activities to ensure successful implementation
- Follow the law and requirements to keep accurate records and report all donations as required
- Be mindful not to accept a donation from an individual or organization that a soror wants to be associated, or return/refuse a donation for the same reason
- Value and handle bequests appropriately and in accordance with donor guidelines, respect donor privacy
- Be prepared to walk away from an opportunity if a soror finds that the risks outweigh the benefits
- Encourage all sorors to read the *Fiscal Fitness Guide for Chapter Financial Operations* to mitigate and manage financial risk

APPENDIX

Risk Management Plan

Chapters can use this Risk Management Plan (RMP) template to help assess how risk may potentially impact specific chapter projects, programs, events, and general operations. Implementation of the RMP should become a general part of a chapter's strategic planning process and standard operations. The RMP helps to identify how a soror will handle a risk, who will be responsible for managing it, and how often a soror will monitor her progress. It should be monitored over time to ensure its effectiveness.

To develop the Risk Management Plan, the chapter should:

- **Identify** – List specific activities, events and chapter undertakings that fall into each of the risk categories outlined in the table.
- **Evaluate** – To evaluate the risks identified, consider how likely it is for the risk to occur and how severe the impact might be-if the risk occurs. This will help determine the most appropriate strategy to manage the risk.
- **Manage** –Develop strategies to manage the risks, such as avoiding the risk, implementing measures to control the risk, or obtaining insurance to transfer the risk. Identify who will be responsible for managing the risk. Some questions to consider when identifying the appropriate method to manage risks include:
 - Have members reviewed Alpha Kappa Alpha governing documents to see whether the sorority has implemented specific rules, procedures and practices to manage the risk?
 - Is this activity too risky? Should we avoid it altogether?
 - Could the risk be reduced through education and training (e.g. Graduate Advisor Certification Training, Financial Officer Certification Training, Chapter Basileus Certification Training)?
 - Is this the type of risk that could be addressed by transferring or shifting all or part of it? For example, can the chapter reduce the risk by purchasing insurance? Can chapter reduce the risk by changing its plans when implementing a program or event (e.g. change locations, start times)
- **Monitor** – Indicate how often the chapter will assess the effectiveness of the selected method to manage the risk over time. Consider adjusting the strategy as the situation evolves.

Chapter Risk Management Plan
January 1, 20__ -- December 31, 20__

	Identify	Evaluate	Manage	Monitor	Notes
Hazing Risks					
Reputational Risks					
Membership Risks					
Operational Risks – Chapter Operations					
Operational Risks – Events					
Operational Risks – Building and Facilities					
Operational Risks – Virtual Operations and Activities					
Financial Risks – Chapter Operations					
Financial Risks – Fundraising					

Hazing Risks: A Critical Conversation Starter

- It's not hazing if the person consents and agrees to the treatment.

False. If it is defined in the hazing definition, consent is irrelevant.

- It's not hazing if you are already an AKA and this treatment will make you a better soror.

False. Post pledging is defined as hazing, and will not be tolerated in Alpha Kappa Alpha Sorority, Inc.®

- After completing the Membership Intake Process, you are “Paper” “Paper Dolls” or “Paper Weight.”

False. Once you successfully complete the Membership Intake Process, you receive all rights and privileges of membership and no further MIP activities are required.

- It was done to me so; it is the chapter tradition to continue this unauthorized process to be a “REAL AKA.”

False. Alpha Kappa Alpha Sorority, Inc.® rules and policies preclude you from involvement in such activities.

- Alumni of undergraduate chapters can advise you on the chapter's traditions on Membership Intake.

False. There is no “Alumni” classification for Alpha Kappa Alpha membership. Any sorors who have graduated from the chapter cannot participate in undergraduate chapter operations including the Membership Intake Process, unless they have met requirements as set forth in the Graduate Advisors Certification manual.

- Being “made” builds the strength of your commitment to the sorority and makes you a “real” member.

False. Membership in Alpha Kappa Alpha is a lifelong learning process. You strengthen your commitment by attending chapter meetings and participating in conferences, cluster meetings, community service programs and sisterly relations activities.

Safety Guide for Managing Risk at Events

Chapters should consider preparing a safety guide for managing risks at events, such as conferences, fundraisers, and community programs. The Safety Guide may take various forms, including a brochure, presentation, handout or booklet. A Safety Guide may include, but is not limited to, the elements listed below.

Individual Soror Safety:

- Chapter Roster Contact List
- Personal Safety while Traveling
- Personal Security in Hotels
- Sexual Assault Prevention

Building and Facilities Safety:

- Instructions on Fire or Building Evacuation
 - Emergency Exits
 - Assembly Points
 - Location of Fire Extinguishers
- Emergency Phone Numbers
 - Local Emergency Number: 911
 - Police
 - Campus Police
 - Fire Department
 - Paramedics
 - Ambulance
 - Security
 - Building Management
- Security and Crowd Control Measures
- Location of First Aid Kits and Automated External Defibrillator (AED) Machines
- Procedures in Active Shooter Situations

Resources

- Alpha Kappa Alpha Constitution and Bylaws
- Alpha Kappa Alpha Manual of Standard Procedure
- Alpha Kappa Alpha Anti-Hazing Policy
- Alpha Kappa Alpha Soror Code of Ethics
- Alpha Kappa Alpha Anti-Hazing Handbook
- Alpha Kappa Alpha Membership Intake Process Manuals (Undergraduate and Graduate)
- Fiscal Fitness Guide for Chapter Financial Operations
- Documents & Records Retention Guide
- Alpha Kappa Alpha Standards Resource Guide
- The Official Guide to Alpha Kappa Alpha Protocol
- Alpha Kappa Alpha Social Media Guide
- Graduate Advisors Certification
- Risk Management Educational Modules
- Alpha Kappa Alpha Sorority, Incorporated® Insurance and Claim Manual
- Alpha Kappa Alpha Pandemic Guide to Virtual Chapter Operations
- Photo Clearance Forms – Refer to Guidelines for Alpha Kappa Alpha Websites prepared by the International Technology Committee – Available under Resources in Members Only Section on www.aka1908.com



ALPHA KAPPA ALPHA SORORITY, INCORPORATED®

Corporate Office

5656 South Stony Island Avenue

Chicago, IL 60637

(773) 684-1282

www.aka1908.com