

How do you know if your financial institution needs MOAT (Managed Ongoing Awareness and Trust)?

Regulatory Compliance

Has your institution inventoried what regulations require compliance?

How does your institution track and monitor compliance on an ongoing basis?

Audit/Examination

Upon an auditor's request, does your institution have documentation of all internal controls, policies, procedures and plans with respect to your regulatory obligations?

Does your institution have policies and procedures regarding data retention and destruction and can your institution demonstrate everyone knows, understands and follows them?

Identity Theft

Has your institution taken steps to ensure privacy and confidentiality of your customer's personally identifiable information?

Is your Identity Theft/Red Flags program comprehensive and customized to meet the complex and individual-level needs of your institution?

Business Continuity

Does your institution have documentation to demonstrate Pandemic Flu plans and procedures have been updated and communicated to all appropriate personnel?

Does your institution have a documented, proactive crisis communications plan and trained resources to execute all phases of the communications plan?

Vendor Management

What legal rules apply to the information and data that is kept or handled by vendors, partners and other third-parties?

Do your third-party service providers meet the standards and execute required controls for information security and data protection?

Legal Due Diligence

Has your institution assessed the potential for Board and Shareholder suits?

Have all employees, contractors and temporary employees acknowledged acceptable usage, employment, discrimination, harassment and other human resources obligations to help prevent law suits, fines and wrongful termination settlements?

Ethics and Reputation

Has your institution taken steps to engage employees and promote a culture of trust and accountability?

Workplace Violence

Do all employees understand their responsibilities for preventing workplace violence and are consequences clearly defined?

Does your organization have a confidential online reporting system so employees can quickly and easily report suspicious incidents, threats and risks?

To see how Awareity's services can help you make an extraordinary impact on your financial institutions' immediate and long-term results and successes, contact Awareity at info@awareity.com