



Name	Risk Prevention and Management Policy
Applicable to	Board; Senior Management Staff
Location	Board Manual
Effective Date	12/2/15
Date(s) of Revision	
Legal and Other References	COA Standards: RPM 1; RPM 2; RPM 4-RPM 10; Relevant PQI, GOV, and HR standards

Policy Statement

It is the policy of the Early Learning Coalition of Manatee County to maintain a comprehensive system of preventing and managing risks that go beyond protecting the agency against threats. Risk prevention and management practices are viewed more positively, as an opportunity to strengthen the organization. Agency leadership will be proactive in creating a culture that identifies risk and learns from challenges.

1. Risk Prevention and Management Plan

A Risk Prevention and Management Plan (RPMP) will be maintained, as a comprehensive approach to preventing, managing, and reducing risk and protecting an organization's resources and assets, be they human, physical, or financial. Potential risks include: property, income, liability, human resources, reputation, mission, governance, fiduciary, vulnerable populations, and risk associated with inter-agency collaboration, as well as technology or the electronic management of information associated with the benefits of utilizing new technologies. The agency will provide and assume the cost of legal assistance to personnel against whom claims are made related to lawful, authorized actions taken within the course and scope of their duties. This policy also applies to subcontracted providers, as applicable.

The agency will ensure that subcontracted providers maintain adequate insurance and meet applicable requirements for licenses, regulations, and decrees based upon services provided.

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The RPMP will proactively anticipate potential loss and liability and include minimally, an annual risk assessment to include conducting prevention and reduction activities, monitoring and evaluating risk prevention and management effectiveness strategies for managing risks, assigning responsibility for key tasks, and measurable goals for reducing potential risks. Annual Risk Prevention and Management reports will be presented to the Board of Directors.

The RPMP will minimally cover the areas of:

- Compliance with legal requirements;
- Insurance and liability;
- Health and safety;
- Human resources practices; contracting practices and compliance;
- Client rights and confidentiality issue;
- Financial risks;
- Conflict of interest; and
- Case record information requirements

The annual assessment of insurance adequacy may include the following types of insurance:

- General liability;
- Workers' compensation;
- Disability;
- Fire and theft;
- Medical;
- Indemnifications;
- Professional liability;
- Officer's or director's liability;
- Automobile insurance;
- Property and casualty; and

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- Bonding or other forms of employee theft insurance, as appropriate, for staff and governing body members who sign checks, handle cash or contributions, or manage funds.

The agency will maintain a written technology and information management plan to ensure sufficient capability to support current and future operations which will include:

- An explanation of how technology will aid in accomplishing the overall mission of the organization;
- An overview of current information and technology systems in use by the organization;
- Short-and long-term goals for utilizing technology;
- An assessment of current technical skills of staff and a plan for additional staff training, as necessary;
- Criteria for meeting technology goals, such as a strategy, timeline, and budget;
- Protection of electronic and printed information against intentional and unintentional destruction or modification and unauthorized disclosure or use ;
- Case record maintenance and disposal of confidential information;
- Posting privacy policy on all publicly accessible websites; and
- Preparation for the interruption of data and a plan to limit subsequent disruption to its operations.

2. Reporting

The Board of Directors will receive a written description of the agency's insurance coverage on an annual basis. Management will maintain written procedures for all elements of this policy and provide the Board of Directors with quarterly and annual reports on assessment activities, identifications of immediate and ongoing risks, including analyses of improvement plans, as applicable.

3. Responsible Staff

A staff member that is assigned primary responsibility for risk management must be qualified by knowledge of and experience in risk prevention and management functions. Responsibility for risk management may be shared among different staff members or committees. The agency will

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provide support through professional development, training, and networking opportunities if the staff member with primary risk management responsibility does not have specific risk management training and experience.

CEO Signature

Date

Board Chair Signature

Date

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