Nonprofit Alliance OF BERMUDA

RISK PREVENTION AND MANAGEMENT (RPM) STANDARD CHECKLIST

RPM 1: Legal and Regulatory Compliance
Stay Legit

- Signed compliance letter (by Governing Body Chair + CEO)
- Compliance review procedures (laws, codes, operations, services)
- *(Networks only)* Procedures for provider compliance
- Most recent internal compliance review results
- Governing Body minutes: discussion of legal compliance
- Relevant program/operations licenses
- Regulatory/licensing reports (adverse findings or loss of licensure)
- *(Networks only)* Copies of provider licenses & legal documents (in managing office)

RPM 2: Risk Prevention and Management
Plan, Prevent, Protect

- Procedures: quarterly risk review
- Procedures: investigation/review of critical incidents
- Quarterly risk management reports
- Independent investigation results (critical incidents)
- Governing body/management minutes on risk management reviews

RPM 3: Insurance Protection
Cover All the Bases

- Notification to staff/board on insurance coverage (scope + limits)
- Policy: legal assistance to personnel facing claims
- *(Networks only)* Procedures to identify/verify provider insurance
- Current insurance policies (with descriptions, amounts, dates)
- Most recent annual insurance needs assessment
- *(Networks only)* Insurance verification docs + provider communication

RPM 4: Technology and Information Management
Tech Health Check

- Technology assessment
- Info management procedures/guidelines
- Agreements with IT vendors/business associates (if applicable)

RPM 5: Security of Information
Data is Power – Keep It Safe

- Data security policies
- Data security procedures (HIPAA included if applicable)
- Policies: social media, electronic communication, mobile device use

Disclaimer: *This document is intended solely as a reference checklist to support Accreditation/Certification preparation efforts. For comprehensive requirements and guidance, please refer to the full Risk Prevention and Management COA Accreditation Standard.*

- Procedures: same as above
- Data interruptions/disaster recovery plan
- Agreements with third parties (again, if applicable)
- HIPAA compliance review results

RPM 6: Contracts and Service Agreements
Keep Contracts Clean

- Contracting procedures
- List of contracts/service agreements/MOUs
- Actual contracts/service agreements/MOUs
- Board minutes from past 12 months showing contract reviews

RPM 7: Quality Monitoring of Contracted Social & Human Services
Keep Tabs on Your Vendors

- Contract monitoring procedures
- Contracts (again – for monitoring purposes)
- Contractor progress reports
- Contract remediation documentation (as applicable)