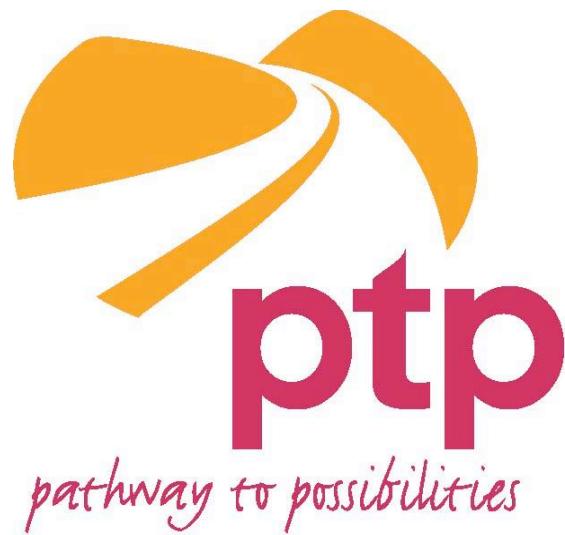


# Check List for Responsible Management



PTP - Adult Learning and Employment Programs

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# **PTP Checklist for Responsible Management**

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PTP will take the following steps to reduce liability and exposure to risks.

**1. Everyone associated with our agency:**

- Will use take time to think things through in the best interest of the organization.
- Will act with reasonable care and diligence.

**2. Employees/Volunteers** (may depend on their position)

- Need to insist on a clearly defined job description.
- Need to understand the importance of confidential, privileged and sensitive information  
(when information is protected and when it must be reported.)
- Need to ask for clarification and support when needed.
- Need to follow the agency's policies and procedures.
- Need to avoid talking, gossiping or speculating about the clients with whom they work as per personnel policy.  
Need to take care in offering "advice" to clients or learners who often see the
- instructor/volunteer as a believable and authoritative source for information (should admit if they are not sure, encourage client to verify the information, etc.)
- Need training in all of the above.

**3. The Board Members:**

**a. Regulatory**

- Need to ensure that the organization is operating within its "objects" (legally stated purpose) at all times.
- Need to know and understand the organization's by-laws, letters patent and articles of incorporation.
- Need to regularly review and amend the bylaws to keep them up-to-date.
- Need to know duties and obligations under corporate law, common law and other legislation.
- Need to be sure that organization is fulfilling all aspects of its non-profit and tax exempt status.
- Needs to ensure that all the statutory requirements of being a non-profit are met.

**b. Behaviour and actions**

- Need to be familiar with the functions and actions of the board and its officers.
- Need to ask for explanation, help, and training when issues are not clear.
- Need to ask questions and keep asking until answers are provided.
- Need to avoid taking any unnecessary risks.
- Need to act honestly, and in good faith.

**c. Meetings and minutes**

- Need to keep all minutes and board documents in a file or binder for easy reference.
- Need to hold and attend regular meetings.
- Need to thoroughly review and approve all minutes and reports.
  - Need to arrange for the timing and scheduling to receive regular written staff and committee reports.
- Need to read any background information provided before meetings.
- Need to have adequate time to consider important matters.
- Need to seek qualified professional advice as needed (insist that it be provided in writing.)

**d. Board structure and decision-making**

- Need to ensure that all board members are familiar and comfortable with the board decision-making process.
- Need to understand issues before voting.
- Need to record any objections in the minutes if you disagree with a motion.
  - Need to declare any conflict of interest, in writing, immediately (no matter how small or indirect.)
- Need to ensure that your declaration of conflict is recorded in the minutes.
- Need to forbid borrowing, misappropriating or misusing agency funds or any criminal activity.
- Need to monitor the activities of the Executive to make sure they do not overstep their authority.

#### **e. Agency Operations and personnel relations**

- Need to understand the activities and operations of the agency and the people involved.
- Need to undertake regular evaluations of board, ED and monitor agency.
- Need to insist that consistent policies and procedures are followed.
- Need to ensure that the organization is adequately insured, including board "directors and officers" coverage and liability as requested by the funder.
- Need to ensure that contracts in order and up-to-date (with funders, landlord, staff, etc.)

#### **f. Financial management**

- Need to know who is authorized to sign cheques and in what amount.
- Need to read and understand financial statements (or request training.)
  - Need to regularly receive financial statements which cover revenues, assets, liabilities, expenses, amount of reserve.
  - Need to be certain that agency records are audited by a reputable firm of chartered accountants.
- Need to ensure that employee deductions and other statutory remittances have been paid and are up-to-date.
- Need to ensure that creditors are paid in a timely manner.
- Need to ensure that annual tax returns are prepared and filed.
- Need to vote against making expenditures if funds are not available to cover the item.
  - Need to avoid personal gain at agency's expense (must not vote on transactions which would create a personal profit.)
- Need to have selection and screening criteria for those individuals who will be working with agency funds.
- Need to engage a reputable bookkeeper, accountant and/or treasurer.
- Need to watch for suspicious transactions and seek explanations

#### **4. The Agency:**

- Needs to have clear and detailed job descriptions for all positions.
- Needs to have appropriate and documented screening and hiring procedures which are justifiable and legal.
- Needs to ensure that there is adequate support and supervision for volunteers and staff.
- Needs to create positions with tasks that are realistic and manageable.
- Needs to provide training for those who will be working with learners who have special needs.
- Needs to provide training for staff and volunteers as required.
- Need to ensure that only designated people sign contracts or order supplies on behalf of the agency.
- Needs to take immediate action on problems or issues.
- Needs to ensure that regular maintenance checks of facilities and equipment are done.
- Needs to have written safety procedures which emphasize prevention practices.
- Need to ensure that policies and practices are communicated to all concerned