

# 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 common sense and take time to think things through.
- 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.
- 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 always act in the best interests of agency.
- Need to be loyal to the agency.
- 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, staff and agency performance.
- Need to insist that consistent policies and procedures are followed.
- Need to select competent employees.
- 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 be confirm 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 establish a buddy system or supervision close at hand.
- Needs to provide consistent training for staff and volunteers.
- 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