

The Cataraqui Conservation Foundation
Risk Identification and Assessment Plan with Checklist

Area of Risk Exposure	Risk Category	CCF Actions to manage risk		Quality of Risk Management W- Weak A- Adequate	Effectiveness Y- Yes N - No
		Board Responsibility	Responsible Officer/Committee		
Legislative and Legal	Financial Reputation Operational	<ul style="list-style-type: none"> Reporting and Receipting practices 	<ul style="list-style-type: none"> Treasurer 	A	Y
		<ul style="list-style-type: none"> T3010 filing 	<ul style="list-style-type: none"> Treasurer 	A	Y
		<ul style="list-style-type: none"> Communication with CRA 	<ul style="list-style-type: none"> Treasurer 	A	Y
		<ul style="list-style-type: none"> Monitoring changes in law 	<ul style="list-style-type: none"> Secretary 	A	Y
		<ul style="list-style-type: none"> Bylaws reviewed regularly 	<ul style="list-style-type: none"> Secretary 	A	Y
		<ul style="list-style-type: none"> Bylaw changes approved by the Board 	<ul style="list-style-type: none"> Secretary 	A	Y
		<ul style="list-style-type: none"> Minutes kept of meetings 	<ul style="list-style-type: none"> Secretary 	A	Y
		<ul style="list-style-type: none"> Policy sign-off and review 	<ul style="list-style-type: none"> Secretary 	A	Y
		<ul style="list-style-type: none"> External auditor review 	<ul style="list-style-type: none"> Treasurer 	A	Y
Fiscal Performance and Financial Reporting	Financial Reputation Operational	<ul style="list-style-type: none"> Preparation of annual budget 	<ul style="list-style-type: none"> Treasurer 	A	Y
		<ul style="list-style-type: none"> Preparation of the quarterly review of expenses, revenue and Fund accounts 	<ul style="list-style-type: none"> Treasurer 	A	Y
		<ul style="list-style-type: none"> Preparation of annual report 	<ul style="list-style-type: none"> President 	A	Y
		<ul style="list-style-type: none"> Annual review engagement reports 	<ul style="list-style-type: none"> Treasurer 	A	Y
		<ul style="list-style-type: none"> Review of the engagement letter 	<ul style="list-style-type: none"> Treasurer 	A	Y
		<ul style="list-style-type: none"> Executive Committee oversight 	<ul style="list-style-type: none"> President 	A	Y

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		<ul style="list-style-type: none"> • Endowment agreement oversight • Review annually and ensure insurance is in place • Volunteer Coordinator oversight 	<ul style="list-style-type: none"> • Treasurer • Secretary • President 	<p>A</p> <p>A</p> <p>Pending</p>	<p>Y</p> <p>Y</p>
Management of Volunteers	<p>Reputation</p> <p>Operational</p> <p>Financial</p>	<ul style="list-style-type: none"> • Approval of volunteers • Volunteer Coordinator • Volunteer policy • Screening • Periodic policy review • Reference checks • Orientation • Acknowledgement 	<ul style="list-style-type: none"> • Executive Committee • Executive Committee • Executive Committee • Volunteer Coordinator • Secretary • Volunteer Coordinator • Volunteer Coordinator and respective Committee and or Task Force chair • Volunteer Coordinator and President 	<p>This category pending establishment of volunteer organization.</p>	
Donor Stewardship	<p>Reputation</p> <p>Strategic</p> <p>Financial</p>	<ul style="list-style-type: none"> • Donor/Supporters Rights • Privacy policy • Donor recognition • Donor no-contact policy 	<ul style="list-style-type: none"> • Secretary • Secretary • President • Secretary 	<p>A</p> <p>A</p> <p>A</p>	<p>Y</p> <p>Y</p> <p>Y</p> <p>Y</p>
Granting	<p>Financial</p> <p>Reputation</p>	<ul style="list-style-type: none"> • Granting policy • Grant application and review process • Approval of all grants 	<ul style="list-style-type: none"> • Executive Committee • Executive Committee • Executive Committee 	<p>A</p> <p>A</p> <p>A</p>	<p>Y</p> <p>Y</p> <p>Y</p>

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Strategic and Economic Risk	Operational Financial Reputation Strategic	<ul style="list-style-type: none"> • Strategic plan development • Monitor and evaluate strategic plan progress • Monitor Community Foundation of Kingston and Area management of the CCF endowment • Evaluate the effectiveness of CCF fundraising projects • Monitor community charitable events and community participation in fundraising projects • Executive succession planning • Board renewal and recruitment 	<ul style="list-style-type: none"> • Executive Committee • Executive Committee • Treasurer • Respective committees and Executive Committee • All board members • Executive Committee and Nominating Committee • Executive Committee and Nominating Committee 	A A A A A W W	Y Y Y Y Y N N
Information Technology	Operational Financial Reputation Strategic	<ul style="list-style-type: none"> • Monitor the policies and practices of Canada Helps and Wild Apricot to ensure secure retention of appropriate data • Ensure appropriate backup of CCF records in the CRCA database • Ensure CCF electronic archives is maintained 	<ul style="list-style-type: none"> • Treasurer and Secretary • Secretary • Secretary 	A A A	Y Y Y

May 14, 2013, Michael Bell, Secretary