

# CERC Operations Checklist

CEHL  
February 2009  
Version 1.1

## **CERC Operations Checklist**

It is recommended that this Checklist be completed at the first Board of Directors meeting after the AGM.

It is also recommended that the Finance and Maintenance sub-committees (if applicable) have completed their sections prior to that Meeting.

As an incorporated body, your CERC is required to operate in accordance with your Rules and the Co-operatives Act 1996. The checklist questions cover:-

- a) most of the legal requirements of your CERC;
- b) recommended practice.

If you have any problems with the questions, or a high proportion of NO's, you should contact your CERC Support Coordinator.

## 1. Insurance

- CERC Combined Insurance Package YES/NO
- Do you have copies of your insurance policy? YES/NO
- Are you lodging insurance claims as appropriate? YES/NO

## 2. Registers

### Are the following registers up to date:

- Directors' Register; YES/NO
- Secretary's Register; YES/NO
- Assets Register; YES/NO
- Forfeiture and/or Withdrawal Registers; YES/NO
- Members Register;
  - Have the new member's names been entered? YES/NO
  - Have the names of members who have left during the year been deleted (resignations, cancellations, expulsions, deaths, evictions)? YES/NO

## 3. Signing legal documents

### If your CERC still uses a Common Seal:

- Has a Board of Directors meeting approved each use of the Common Seal? YES/NO
- Has the Board nominated the Directors who are to sign the documents each time it is used, including tenancy agreements and membership/share certificates? YES/NO
- Has the above been minuted each time? YES/NO

### If your CERC does not use a Common Seal:

- Has a Board of Directors meeting nominated the Directors who are to sign appropriate documents, including tenancy agreements and membership/share certificates? YES/NO
- Have the names of the nominated Directors been minuted each time? YES/NO

## 4. Registered Office

### Does your registered office have:

- A publicly visible sign? YES/NO

- A copy of the Co-op Act 1996 and Regulations and their amendments? YES/NO
- The Common Seal? (if your CERC still has one) YES/NO
- A current set of Rules? YES/NO
- A current set of Policies? YES/NO
- Your Registers? YES/NO
- The Certificate of Registration of your co-operative? YES/NO
- A copy of the Residential Tenancies Act 1997 and its current amendments? YES/NO
- Written Active Membership Agreements (if applicable)? YES/NO
- CCA? YES/NO
- Current Tenancy Agreements? YES/NO
- Your financial records? YES/NO
- If financial records are not kept at the registered office, have you notified the Registrar of Co-operatives of the address where they are kept? YES/NO

**If you are changing the address of your registered office:**

- Has this change been agreed to and minuted at a Board of Directors meeting? YES/NO
- Have you informed the Registrar of Co-operatives? YES/NO

**5. Annual General Meeting**

- Is your AGM held within 5 months after the end of your financial year? YES/NO

**6. Active Membership**

- Does your Board of Directors have a process for monitoring Active Membership? YES/NO

**7. Cancellation of Membership**

**Inactive Members:**

- For any memberships cancelled because of inactivity:
  - Did the Board of Directors invite the members to a Board Meeting to discuss their inactivity, with 28 days written notice? YES/NO
  - Has the name of the member been removed from the Members Register and the share been refunded (if applicable)? YES/NO

**8. *Evicted / Property Abandoned***

- Where a member has been evicted from a CERC house, has the cancellation of their membership been minuted? YES/NO
- Has the name of the member been removed from the Members Register and the share been refunded (if applicable)? YES/NO

**9. *Policy***

- Does your CERC have a policy book? YES/NO
- Is this book kept up to date? YES/NO
- Do you review your policies regularly? YES/NO
- Does each member have a copy of all current policies? YES/NO

**10. *Rent Arrears***

- Does your CERC follow a clear policy and procedure for dealing with rent arrears? YES/NO
- Is CEHL notified of the status of any 21-day rental arrears and the continuing status of the arrears until they are cleared? YES/NO

**11. *Conduct of Meetings***

- Are notices of meetings sent out in accordance with the Co-operatives Act? YES/NO
- Do all Directors receive agendas, minutes, and available Reports prior to the meeting of the Board of Directors? YES/NO
- Do you have quorums at all your meetings as per the Rules? YES/NO
- Does the meeting review the agenda, prioritize, and add items if necessary? YES/NO
- Do you follow your agenda? YES/NO
- Is all expenditure approved, including delegated authority? YES/NO
- Is all delegation recorded after each Annual General Meeting? YES/NO

**12. *Delegation***

- Has your Board of Directors, at the first meeting after the Annual General Meeting, documented any delegations to the Finance and Maintenance Directors/ Sub-committees? YES/NO

### 13. Reporting

#### To Members:

- Do your representatives to the CEHL AGM; Special Meetings of the shareholders; CERC Council and Regional Associations, report regularly to Board of Directors and Special General Meetings? YES/NO
- Does the Board of Directors provide reports to the Special General Meetings? YES/NO
- Do sub-committees report to each Board of Directors and Special General Meetings? YES/NO
- Are written financial reports presented monthly, and do they provide all Board members with details of expenditure, income, rental arrears and current bank balances? YES/NO

#### To CEHL:

- Has CEHL been notified of changes to Office Bearers? YES/NO
- Have you reported to CEHL any property vacant for more than six weeks (for insurance purposes)? YES/NO
- Have you prepared and lodged the Finance Report, Rent Arrears Report and Tenancy Changes (Occupancy) Report to CEHL every quarter? YES/NO

### 14. Correspondence

- Is all mail listed in incoming and outgoing registers? YES/NO
- Is the mail register kept at the registered address? YES/NO
- If not, is the location of the register minuted? YES/NO
- Is a correspondence summary list produced at Board of Directors and Special General Meetings? YES/NO
- Does the Board of Directors approve correspondence and authorize any letters to be written? YES/NO
- Does your CERC have a letterhead upon which all correspondence, and the first page of minutes, is issued? YES/NO

### 15. Minutes

- Are minutes of the meetings of the Board of Directors kept in bound minute books? YES/NO
- Are these minutes made available to members at Special General Meetings? YES/NO
- Are previous minutes signed and dated on each page by the chairperson of each meeting, thus confirming them? YES/NO
- Are all attendances and apologies received from members noted in the minutes? YES/NO

- Do you move and second apologies? YES/NO
- Do these minutes have an action column? YES/NO

## 16. *Membership*

- Is the acceptance of a new member minuted? YES/NO
- Do you approve the use of the Common Seal and nominate two Directors to sign? YES/NO
- Is the motion to do so moved, seconded, and carried by the Meeting, and recorded in the minutes? YES/NO

### ***For CERCS with shares:***

- Have all members paid their share fees and been issued with a receipt? YES/NO
- Has this money been banked and labeled as a share? YES/NO
- Has each member been issued with a numbered share certificate? YES/NO
- In the case of forfeited shares, has a Forfeiture Form been completed, giving the reason why it was forfeited? YES/NO

### ***For CERCS without shares:***

- Have all members paid their membership fees and been issued with a receipt? YES/NO
- Has this money been banked and labeled as a donation? YES/NO

## 17. *Roles*

- Has each Office Bearer been given a clear job description? YES/NO

## 18. *Sub-committees*

- Is there at least one Board member on each of the Finance and Maintenance sub-committees (if applicable)? YES/NO

## 19. *Documents for Members*

### ***Do all tenant members have:***

- A Tenancy Agreement? YES/NO
- A Condition Report? YES/NO
- A copy of "A Guide for Tenants and Landlords"? YES/NO

- A contact list of Directors? YES/NO
- A copy of the Active Membership Agreement (if applicable)? YES/NO
- A copy of the CERC Rules? YES/NO
- A copy of all current Policies? YES/NO
- Maintenance Request Forms? YES/NO

## 20. *Audit*

### *Before the AGM*

#### **1) Have the following been sent to the accountant or CEHL for reconciliation and preparation of the financial reports:**

- Bank Statements YES/NO
- B.A.S statements YES/NO
- Cheque Requisition Forms with invoices YES/NO
- Account books and Circuit disk (if applicable) YES/NO
- Rent records, including monthly Rent Reports YES/NO

#### **2) Have the following been sent to the auditor:**

- Prepared financial statements YES/NO
- Up-to-date Registers YES/NO
- Minute Books YES/NO

### *After the AGM*

- Has the audited financial report been tabled and accepted at the AGM? YES/NO
- Has the following been sent to the Registrar of Co-Operatives within 28 days of the AGM;
  - financial statements
  - Auditors report
  - Directors Report
  - Directors Declaration
  - List of Directors
  - Form 0701 from Consumer Affairs YES/NO
- Has a copy been forwarded to CEHL? YES/NO

## **FINANCE SUB-COMMITTEE**

If your group does not have a finance-subcommittee, these tasks are the responsibility of the Board of Directors.

### ***1. Conduct of Meeting***

- Do all finance sub-committee members receive an Agenda and Minutes prior to each meeting? YES/NO
- Is all expenditure approved, either under delegation, or by the Board of Directors itself? YES/NO
- Are the following tabled at the meeting:
  - Bank statements, including investment accounts; YES/NO
  - Expenditure report; YES/NO
  - Financial report. YES/NO
- Are the Minutes of the meetings kept in a bound Minute Book? YES/NO
- Are the previous Minutes signed and dated on each page by the chairperson, thus confirming them? YES/NO
- Are all attendances and apologies received from members noted in the Minutes? YES/NO

Your sub-committee may also record absentees for the purpose of monitoring Active Membership.

- Do your minutes have an action column? YES/NO

### ***2. Reporting***

- Are written financial reports presented monthly to the Board of Directors, with details of reconciliation of expenditure, income and investments, as well as a current rental arrears report? YES/NO

### ***3. Banking***

- Has the Board of Directors approved the bank signatories? YES/NO
- Has your bank/s a current list of signatories? YES/NO
- Is all money received banked promptly? YES/NO
- Is there a current list of maturity dates of investments? YES/NO
- Does your ABN appear on your cheques? YES/NO

#### 4. *Petty Cash*

- If your group has a petty cash system, are receipts/claim forms held for every transaction? YES/NO
- Have you assigned a listed person to manage the petty cash YES/NO

#### 5. *Cheque Requisitions*

- Is a cheque requisition form, with attached invoice/receipt, held for every cheque? YES/NO
- Does each requisition form have two signatures? YES/NO

#### 6. *Records*

- Are the following records checked and up-to-date every month:
  - Rent Ledger Cards; YES/NO
  - Circuit disk or Cash/Account books; YES/NO
  - Bank reconciliation YES/NO
- Are copies of all Household Details Forms (the Purple Form), along with copies of statements of income, kept by the sub-committee? YES/NO
- Are regular updates provided by members with fluctuating income, and rents adjusted accordingly? YES/NO
- Do all members provide details of changed circumstances, which will affect their rent? YES/NO

#### 7. *Rent Arrears*

- Does your CERC have a clear policy/procedure for dealing with Rent Arrears? YES/NO
- Do you adhere to it in all cases? YES/NO
- If you have tenants in arrears of 21 days or more, has CEHL been notified? YES/NO
- Has a Catch-Up Agreement been signed, or VCAT action taken? YES/NO
- Are all Catch-Up Agreements monitored, and monthly reports sent to CEHL if required? YES/NO
- Is VCAT action taken when Catch-Up Agreements are breached? YES/NO

### **MAINTENANCE SUB-COMMITTEE**

If your group does not have a finance-subcommittee, these tasks are the responsibility of the Board of Directors.

## 1. *Conduct of Meetings*

- Do all maintenance sub-committee members receive an Agenda and Minutes prior to each meeting? YES/NO
- Are the Minutes of the meetings kept in a bound Minute Book? YES/NO
- Are the previous Minutes signed and dated on each page by the Maintenance Director, thus confirming them? YES/NO
- Are all attendances and apologies received from members noted in the Minutes? YES/NO

*Your sub-committee may also record absentees for the purpose of monitoring Active Membership.*

- Do your minutes have an action column? YES/NO
- Have the items in the action column been attended to? YES/NO

## 2. *Reporting*

- Is a written report submitted to the next Board of Directors meeting? YES/NO

## 3. *House Inspections*

- Are all properties inspected at least annually? YES/NO

## 4. *Maintenance Plan*

- Is there a 5-year maintenance plan for each property? YES/NO
- Have these been consolidated and prioritized into an annual Maintenance plan? YES/NO
- Are these updated regularly after your annual house inspections? YES/NO

## 5. *Occupational Health & Safety*

- Do you have an Occupational Health & Safety policy? YES/NO

## 6. *General*

- Is all maintenance work checked before authorizing payment of the account? YES/NO
- Do you have a maintenance policy and procedure? YES/NO
- Do you regularly liaise with the finance sub-committee? YES/NO

## **SPECIAL GENERAL MEETINGS**

### **1. Conduct of Meetings**

- Do all members receive Agendas, Minutes, and available reports prior to the meetings? YES/NO
- Are the Minutes of the meetings kept in a bound Minute Book? YES/NO
- Are the previous Minutes signed and dated on each page by the chairperson, thus confirming them? YES/NO
- Are all attendance and apologies received from members noted in the Minutes? YES/NO

*You may also record absentees for the purpose of monitoring Active Membership.*

### **2. Rule Changes and Expulsion of Members**

- Are Rule changes and expulsion of members dealt with at Extraordinary General Meetings? YES/NO

#### **Changing CERC Rules:**

- Have the Directors informed and consulted with the general members about the change before seeking the approval of the Registrar of Co-operatives? YES/NO
- Has a special resolution form been sent to the Registrar of Co-operatives with the wording of the desired Rule change/s? YES/NO
- Have you received written approval from the Registrar of Co-operatives? YES/NO
- Has the Rule change as approved by the Registrar of Co-operatives been voted on and accepted by a two-third majority of members? YES/NO
- Has the special form and the consolidated copy of the rules been sent to the Registrar of Co-operatives? YES/NO
- After acknowledgment of the changes has been received from the Registrar of Co-operatives, has each member received an updated copy of the Rules? YES/NO
- Has an updated copy of the Rules been sent to CEHL? YES/NO

### **3. Policies**

- Does your CERC have procedures for the presentation of proposed policies, or changes to existing policies? YES/NO