

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