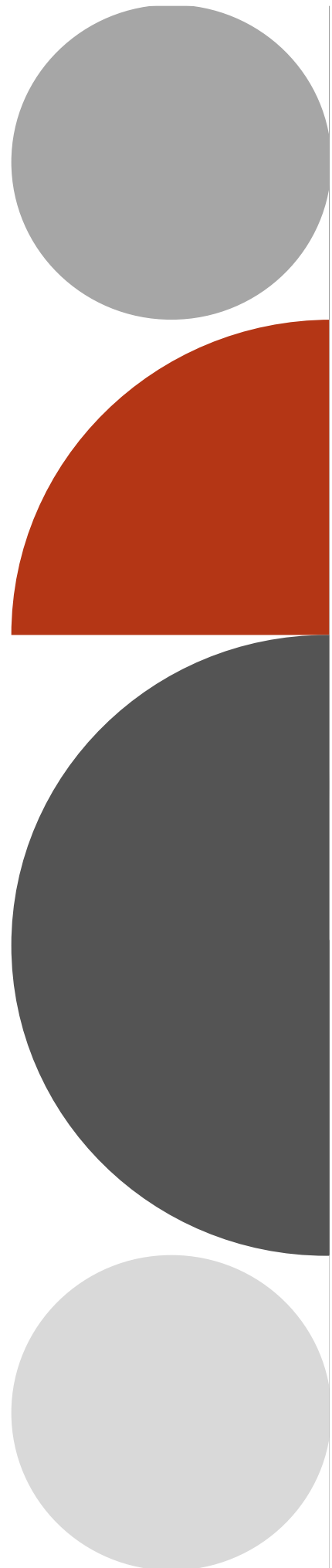




Organizational Governance And Accountability Checklist

**Transitioning Models of Care
Supplementary Assessment Tool**

Residential Care Service
Providers and Donor Entities



Organisational Governance and Accountability Checklist

Residential Care Service Providers & Donor Entities

ABOUT THE CHECKLIST

The Organizational Governance and Accountability Checklist It is designed to help you determine whether the organisation providing residential care services and principal donor (where the principal donor represents an entity) have sufficient governance and accountability structures in place to mitigate, manage and address risks or issues that may arise in the course of transition.

The checklist provides a list of questions covering the areas of legal status, board governance, financial controls, child protection and staff management. It allows you to identify gaps that may need to be addressed in the governance strengthening stage of transition depending on the level of risk your assessments reveal. Strengthening the governance framework is even more critical when the transition is taking place in a country with weak legal and regulatory systems.

| 1 | LEGALLY REGISTERED AND DULY LICENSED | Res Care Provider | Donor Entity | Verification & Comments |
|-----|---|-------------------|--------------|-------------------------|
| 1.1 | Is the organisation properly registered as an NGO/charity in the country of operation? | Y/N | Y/N | |
| 1.2 | Is the residential care facility appropriately registered or licensed to operate residential services for children? | Y/N | NA | |
| 1.3 | Are all required licenses and registrations current? | Y/N | Y/N | |
| 1.4 | Are all original registration, license and other legal documents accessible and appropriately held/stored? | Y/N | Y/N | |
| | | | | |
| 2 | GOVERNANCE | Res Care Provider | Donor Entity | Verification & Comments |
| 2.1 | Does the organisation have a formal governing instrument? | Y/N | Y/N | |

| | | | | |
|------|--|-----|-----|--|
| | Does the constitution/governing instrument include articles that address: | | | |
| 2 | <ul style="list-style-type: none"> Appointment and termination of board members | Y/N | Y/N | |
| 2.3 | <ul style="list-style-type: none"> Charitable purpose and status as a not for profit organisation | Y/N | Y/N | |
| 2.4 | <ul style="list-style-type: none"> Distribution of assets in the case of dissolution | Y/N | Y/N | |
| 2.5 | Does the entity have a board appointed in accordance with the constitution? | Y/N | Y/N | |
| 2.6 | Has the board been registered with the relevant ministry/government agency? | Y/N | Y/N | |
| 2.7 | Have there been any changes to the board composition and have these changes been lodged with government? | Y/N | Y/N | |
| 2.8 | Does the board meet regularly and function according to the constitution? | Y/N | Y/N | |
| 2.9 | Does the board keep formal minutes of meetings and circulate these amongst board members? | Y/N | Y/N | |
| 2.10 | Are there any obvious conflicts of interest that could impact governance? (i.e. CEO /Director is also the chairperson, family members on boards) | Y/N | Y/N | |
| 2.11 | Are there board members in office who are not in support of the transition? | Y/N | Y/N | |
| 2.12 | Is the organisation or any of its board or staff currently involved in any litigation or subject to serious complaints or investigations? | Y/N | Y/N | |
| 2.13 | Do the board actively manage the director/CEO's role and performance? | Y/N | Y/N | |
| 2.14 | Is there an agreement signed between the two boards establishing the nature of their relationship/partnership/agreement? | Y/N | | |
| | | | | |

| 3 | FINANCIAL AND ASSET CONTROLS | Res Care Provider | Donor Entity | Verification & Comments |
|------|---|----------------------|-----------------|----------------------------|
| 3.1 | <p>Does the organisation have controls in place to manage the risk of fraud and/or misappropriation of funds?</p> <p>This should include at minimum:</p> | Y/N | Y/N | |
| 3.2 | <ul style="list-style-type: none"> • A bank account in the organisation's name | Y/N | Y/N | |
| 3.3 | <ul style="list-style-type: none"> • A requirement for two signatories to withdraw funds | Y/N | Y/N | |
| 3.4 | <ul style="list-style-type: none"> • A clear operational budget and means of recording and tracking expenses against the budget | Y/N | Y/N | |
| 3.5 | <ul style="list-style-type: none"> • A transparent process for recording gifts and donations | Y/N | Y/N | |
| 3.6 | <ul style="list-style-type: none"> • A requirement to obtain and keep original receipts for expenditure | Y/N | Y/N | |
| 3.7 | <ul style="list-style-type: none"> • A transparent financial reporting process | Y/N | Y/N | |
| 3.8 | <ul style="list-style-type: none"> • Periodic independent audits of accounts | Y/N | Y/N | |
| 3.9 | Are salaries wired into staff bank accounts and records kept on file? | Y/N | Y/N | |
| 3.10 | Does the organisation publish or make available annual reports which include financial statements? | Y/N | Y/N | |
| 3.11 | Does the organisation own any major assets such as land, buildings, vehicles or large equipment purchased for the purposes of providing residential care? | Y/N | NA | |
| 3.12 | Are all major assets held in the organisation's name? | Y/N | NA | |
| 3.13 | Where it is unavoidable for assets to be in the personal name of the director/staff/board member, are contracts in place to prevent misappropriation? | Y/N | NA | |

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|------|--|-------------------|--------------|-------------------------|
| 3.14 | Are all titles, deeds, certifications of ownership and contracts that would be needed to sell organisational assets held in personal names stored securely in a way that protects the assets? (i.e. with a lawyer or other such professional firm) | Y/N | NA | |
| 3.15 | Where major assets were purchased with donor funds, is there a clear agreement between the two entities regarding the ownership and purpose of the assets and documented evidence of the source of funds used to purchase the assets? | Y/N | | |
| | | | | |
| 4 | CHILD PROTECTION | Res Care Provider | Donor Entity | Verification & Comments |
| 4.1 | Does the organisation have a written child safeguarding policy (otherwise called a child protection policy) in place? At minimum, does the policy include: | Y/N | Y/N | |
| 4.2 | <ul style="list-style-type: none"> A commitment to safeguarding, including through providing staff and stakeholders with appropriate training and providing information to children | Y/N | Y/N | |
| 4.3 | <ul style="list-style-type: none"> Child safe screening and recruiting practices | Y/N | N/N | |
| 4.4 | <ul style="list-style-type: none"> Code of Conduct | Y/N | Y/N | |
| 4.5 | <ul style="list-style-type: none"> Definitions of abuse | Y/N | Y/N | |
| 4.6 | <ul style="list-style-type: none"> Clear procedure for reporting concerns or allegations, including child safe and friendly reporting procedures. | Y/N | Y/N | |
| 4.7 | <ul style="list-style-type: none"> Child safe communication and media protocols, including use of children's images, protection of privacy and identity. | Y/N | Y/N | |
| 4.8 | <ul style="list-style-type: none"> Prohibition on orphanage tourism and unskilled volunteering, and clauses that limit the use of skilled volunteers to non-caregiver roles. | Y/N | Y/N | |

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|------|---|-----|-----|--|
| 4.9 | <ul style="list-style-type: none"> Requirement for all staff and stakeholders to sign the policy. | Y/N | Y/N | |
| 4.10 | Are there any current child protection incidents or allegations involving the staff, children or stakeholders? | Y/N | Y/N | |
| 4.11 | Are there any historical child protection incidents or allegations involving the staff, children or stakeholders? (including serious accidents or deaths) | Y/N | Y/N | |
| 4.12 | Is there detailed documentation on file of all past and present incidents and/or allegations? | Y/N | Y/N | |

| 5 | STAFF MANAGEMENT | Res Care Provider | Donor Entity | Verification & Comments |
|-----|---|-------------------|--------------|-------------------------|
| 5.1 | Does the organisation have signed contracts in place for all staff with clear roles, responsibilities and expectations outlined? | Y/N | Y/N | |
| 5.2 | Does the organisation have clear disciplinary procedure/complaints handling policy in place? (organisational or government labour policy) | Y/N | Y/N | |

NEXT STEPS

Based on the information above determine the priority areas and actions necessary to strengthen the governance and accountability framework to ensure the transition risks are appropriately managed.

| | ACTION REQUIRED | DESCRIPTION OF APPROACH | PRIORITY |
|---|-----------------|-------------------------|----------|
| 1 | | | H/M/L |
| 2 | | | H/M/L |

| | | | |
|---|--|--|-------|
| | | | |
| 3 | | | H/M/L |
| 4 | | | H/M/L |
| 5 | | | H/M/L |
| 6 | | | |

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|-------|
| NOTES |
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