

Risk Assessment - WOODSTOCK AND DISTRICT DEVELOPMENTAL SERVICES

Governance

1. The Board has a governance model in place to guide their decision making. Clear, formal lines/systems for decision-making that involve broad participation and appropriate dissemination/implementation of decisions. The Board decision-making process is transparent and based on relevant data and/or information to help the organization effectively meet its responsibility for the children, youth, families and communities they serve. The Board's governance model has been revised annually to address changes in agency's circumstances and to ensure adherence to bylaws and other applicable legislation.
2. Board membership has good diversity in fields of practice and expertise; the membership represents most constituencies (non-profit, clients/consumers, academia, legal, corporate, etc.) and is consistent with the Board's succession plan. A profile of each board member is available in written form in the agency's records. The list of board members is made available to the public and is updated on an ad-hoc basis.
3. The board meets on a regular basis, according to agency's by-laws and policies. Meetings are well-managed, consistently and attended in compliance with their quorum requirement and meeting minutes are documented and include key discussions and decisions for reference purposes. Board by-laws, policies and practices are updated and revised at least once every three years, and as needed to guide decision-making and support strategic service delivery objectives. Relevant committees and sub-committees to support are in place to support appropriate use of Board members' skills and expertise. The committees are reflective of the business needs and make constructive recommendations for Board decisions. The Board demonstrates that it exercises its authority as a whole (team work), and not at an individual level.
4. Through their practice, engagement and discussions during board meetings, the Board members demonstrate a thorough understanding of their roles and responsibilities as it relates to strategic planning, governance policies, accountability, oversight and performance management. The Board also has well-established financial limits and controls, (e.g., spending limits; spending approvals; sign-off procedures) for the organization and has a designated Board member/committee responsible for this function, and monitors the limits and controls on a regular basis.
5. There is always a clear differentiation between the governance roles/functions that the Board undertakes and the senior management roles/functions that the CEO undertakes and senior management is consistently held accountable for their roles/functions. Their roles and responsibilities clearly reflect lines of authority and delegation of powers among the Board and the management. It is standard practice for the CEO to anticipate the board's information requirements and consistently provides sufficient and appropriate level of information to board members to enable effective decision-making.
6. The Board has completed and documented the results of a performance assessment of the CEO in the last two years, with minimal follow-up on previously-set goals.
7. The Board members interact with the CEO very often formally and informally. The working relationships among board members and the CEO can be described being based on trust, mutual understanding, respect and constructive problem-solving. The CEO proactively works to communicate and build relationships with the Board members. The CEO helps determine which issues the board will address and provide timely the information that shapes board discussions and guides the board towards a true governance role. The Board has a policy to address conflict of interest that requires all members to disclose potential conflicts and a process in place to address conflict as it arises. Board members work well together and perform their responsibilities in a way that demonstrates consideration and understanding of the role and perspective of the other.
8. The agency has a Board approved strategic plan that is clear and achievable within established timeframes and available resources. The strategic plan was developed with input from the Board members and it is revised periodically, every three years. The strategy is both actionable and linked to overall mission, vision, overarching goals of the agency and reflective of community needs and ministry strategic objectives. The strategy is known and consistently supports governance, Board decision making, and drives day-to-day operations at all levels of the organization. Strategic planning exercise carried out regularly.

Service Delivery

1. The agency has policies and procedures in place to effectively manage client health and safety concerns, and has designated staff responsible for this function; follow-up of health and safety concerns is consistent and effective.
2. The agency has service delivery standards, monitors them regularly and takes action to adjust their services.
3. The agency is responsive to current focus on continuous improvement of client outcomes and mechanisms are in place to track and assess their clients' progress and achievements. This agency regularly assesses their own work through internal reviews, audits, evaluations of their programs and services to provide Board and ministry with timely, accurate and reliable information.
4. The agency has been accredited or has had a third-party review, has an action plan in place to deal with substandard areas, and has created improvements in these areas; or no substandard areas have been identified. A rating of 1 also applies when the agency has not been accredited or has had a third-party review because this is not promoted in their sector of work.
5. Service Results are reported on-time and cover Ministry-specified topics in sufficient detail.
6. Risk management is done proactively to identify risks at every level in the organization, and is strongly integrated with its management practices; risk-related information is consistently reported to the Board.
7. In coordination of services for clients, the agency has effectively built, leveraged, and maintained strong, high-impact, relationships with variety of relevant parties, both within and outside its sector.

Stakeholder Satisfaction

1. The agency has a client complaints process, which is followed, communicated and well-known to clients (e.g. in a brochure or on its website) and is effective in resolving clients' reasonable complaints.
2. The agency has received only positive media coverage and has had no instances of media coverage in the past two years.
3. The agency is reasonably well-known within community, and is perceived as open and responsive to community needs.

Financial Risk

1. The agency has a cash-flow (cash management) budget, has internal controls regarding access to cash, and has a contingency plan in place that is regularly monitored and reported to the Board.
2. The agency has good policies and procedures in place for debt management, it has effective cash management practices to ensure the debt obligations are fulfilled.
3. The agency has and adheres to financial policies and procedures (less than 3 years old), including procurement, meals/hospitality, and travel and accountable procurement procedures.
4. The agency has adequate, fully-developed financial controls, forecasts and effective plans in place to deal with variances. The agency has a designated staff responsible for this function and follows-up on variances in a consistent manner.
5. The agency consistently provides complete and accurate budgets, forecasts, service and financial YTD and year-end reporting in a timely manner as per ministry requirements
6. There have been no concerns were raised as a result of external or Ministry financial reviews or audits.

Legal

1. The agency has a process in place to ensure compliance with applicable legislation, regulations and policy requirements – they are monitored and updated as required.
2. There has been no litigation, legal proceedings or settlements resulting in fines, penalties, personal liabilities for management/employees.
3. There are no pending legal actions
4. The Ministry or agency has received no communication within the past 12 months signaling concerns or alleged improprieties from stakeholders. The agency has put in place mechanisms and protocols to identify risk of fraud or misconduct and take corrective actions when it occurs.

IT

1. The IT and/or paper-based system is adequately backed-up with stored electronic records and files and has a Disaster Recovery & Business Continuity Plan which is current and which has been tested.
2. The agency has a Disaster Recovery & Business Continuity Plan for its physical plant that has been updated in the past year.
3. The agency has disclosure and confidentiality policies and procedures and there has been no unauthorized incident.

HR

1. The agency has had some difficulty in recruiting qualified staff, even though it has a thorough recruitment plan, but cannot attract qualified staff due to geographic isolation, funding, etc.
2. Organization is able to develop and refine concrete, realistic, and detailed HR plan; has critical mass of internal expertise in HR planning (via trained, dedicated HR manager), or efficiently uses external, sustainable, highly qualified resources; HR planning exercise carried out regularly.
3. The agency has developed a process and policy to capture, document and disseminate knowledge, including an exit interview policy. When a staff leaves, the agency follows this policy and process consistently.
4. There is a succession plan for key management positions – there is a well-planned process to recruit, develop, and retain key managers; CEO takes active interest in managerial development; individually tailored development plans for employees who exhibit exceptional potential. Performance annual reviews include a development plan for each staff.
5. All of the management team has the requisite core competencies and the required knowledge, skills and experience to deliver on contract expectations.
6. The agency has a formal orientation process and package for new employees. Orientation is consistently carried out with every new employee, relevant materials are up-to-date, and covers all aspects of the agency's mandate, structure, policies, as well as services and functions.