



## TOOL KIT #3

# BOARD LEGAL REPOSNSIBILITIES

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### How to Use Tool Kit #3

This is the third of six Tool Kits in a series developed for OSEP-funded Parent Training and Information Centers and Community Parent Resource Centers to ensure sound nonprofit governance practices. This training packet addresses Board Legal Responsibilities.

Tool Kit #3 includes materials Parent Centers can use for Board professional development on three topics related to Board Legal Responsibilities: The Three Duties, Board Policies, and Conflict of Interest. Each topic includes:

- a short video that you can stream anywhere you have an internet connection
- a Dialogue Guide (a series of slides with thought-provoking questions meant to prompt discussion/reflection on a topic)
- a FAQ (some of the most common questions that Boards have about the topic)
- a Resource List (great web-based and PDF handouts on the topic area)

You can use these materials selectively to meet the professional development time available and the specific needs of your own Parent Center. Here is one suggested plan for using the toolkit materials with your Board:

- Plan 40 - 45 minutes on your Board agenda
- Show the video first (most are 15-20 minutes)
- Use the Dialogue Guide next (10-15 minutes). You can either use the Dialogue Guide as a PowerPoint for all to see and/or print hard copies. The Dialogue Guide is intended to guide a short board discussion applying the ideas from the video to your own center
- Next, distribute the FAQ Sheet and Resource List. (5 minutes). Both resources can be a “take home” for the Board of key points and important supplementary materials. If time permits, they can be reviewed during the Board professional development. Or, select 1-2 Resources off the list that really speak to you and provide these
- Finally, use the Evaluation form (5 min)

If you would like more details, the chart that follows below briefly describes each product in the three Tool Kit #3-topic areas. Also included is a time estimate for each product and suggestions for optional materials to use during the Board professional development.

TOOL KIT #3  
**PRODUCT GUIDE**

Topic area	Product	Description	Time Needed	Optional Materials Needed
<b>THREE DUTIES</b>	Video	This video <a href="https://youtu.be/DzqUECD5kqY">https://youtu.be/DzqUECD5kqY</a> outlines the three legal duties of boards: the duty of care, loyalty, and obedience, and provides examples of situations in which they are applied.	15 minutes	Internet connection
	Dialogue Guide	This Guide includes a few PowerPoint slides (that follow the video content) with thought-provoking questions meant to prompt Board discussion/reflection related to the 3 D's. "Discussions" can be written exercises, small group conversations, or large group exercises.	10 – 15+ minutes	Paper and pen, white board or chart paper/ easel
	FAQ	FAQs follow the format of the video, providing examples of Board activities and the duties to which they correspond.	NA	NA
	Resource List	Links and resources to hand out or use selectively.	NA	NA
<b>BOARD POLICIES</b>	Video	This video <a href="https://youtu.be/6FLLau61bow">https://youtu.be/6FLLau61bow</a> addresses the importance of strong policies, the policies reported in the Form 990, and the importance of strong fiscal management policies. Several examples of policies and how they are applied are provided.	17 minutes	Internet connection
	Dialogue Guide	This Guide includes a few PowerPoint slides with thought-provoking questions meant to prompt Board discussion/reflection related to your center's Board Policies. "Discussions" can be written exercises, small group conversations, or large group exercises. Featured is an exercise to locate and discuss 5 key policies: Conflict of Interest, Whistleblower, Document Retention and Destruction, Unauthorized Practice of Law, and Federal Grant Compliance. It also explores how a strong financial policy and procedure manual is critical to keeping your organization accountable, legal, and safe.	10 – 15+ minutes	Your organization's Board Policy & Procedure Manual; and Financial procedures manual (if available)
	FAQ	The FAQ reviews the importance of strong policies, what is reported the in Form 990, strong fiscal management policies and special tips for parent centers regarding Grants and Unauthorized Practice of Law.	NA	NA
	Resource List	Links and resources to hand out or use selectively.	NA	NA

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**PRODUCT GUIDE**

Topic area	Product	Description	Time Needed	Optional Materials Needed
<b>CONFLICTS OF INTEREST</b>	Video	This video <a href="https://youtu.be/-V7i2hjONRo">https://youtu.be/-V7i2hjONRo</a> provides definitions and resources for developing strong conflict of interest policies and procedures for the board and key employees. Examples are provided. There is an in-depth discussion of the Form 900 reporting requirements.	15 minutes	Internet connection
	Dialogue Guide	This Guide includes a few PowerPoint slides with thought-provoking questions meant to prompt Board discussion/reflection related to the Conflict of Interest. “Discussions” can be written exercises, small group conversations, or large group exercises. Featured is an exercise to role-play and manage examples of conflicts of interest that PTICs and CPRCs may encounter. Participants are asked to reference their conflict of interest policy for guidance.	10 – 15+ minutes	Conflict of Interest policy and procedures, if available
	FAQ	This FAQ provides definitions, reviews Form 990 requirements, and provides simple examples of conflicts that may occur in the course of business. Good practice tips are also outlined.	NA	NA
	Resource List	Links and resources to hand out or use selectively.	NA	NA
<b>EVALUATION</b>	Evaluation Form	Here is the Survey Monkey link for participants in all or part of Tool Kit #3: <a href="https://www.surveymonkey.com/r/ToolKit3BdLegalResp">https://www.surveymonkey.com/r/ToolKit3BdLegalResp</a> . We would appreciate the feedback.  We have also provided a hard copy Evaluation Form to use with participants if you prefer.	NA	NA