



Policies & Procedures Checklist First steps for small groups

This document can be used to begin to gather information about what you have in place and what you need to have in place: it does not cover the quality of these documents. This list is by no means complete or what every organisation needs but it is a starting point. New organisations should think about which ones are most important for them and start with those, so you don't become overwhelmed by the number of possibilities.

Remember, a policy is what needs to happen; a procedure is how it will happen. The procedure follows on from the policy and can be a separate document or a section of the same document.

Why is it important for your organisation to have the right set of policies and procedure?

A clear, appropriate and coherent set of policies and procedures help ensure that your organisation is well run. Policies and procedures:

- Provide appropriate controls including a framework for delegation by the board of trustees to staff or volunteers, by setting out how things should be done and what is expected of people.
- Transparency and accountability that the board of trustee will be conducting the work of the charity/group appropriately
- Ensure the compliance with the legal framework.
- Limit risk

What is a good policy?

A good policy is:

- easily understood and written in plain, jargon-free

- has a definite purpose
- is linked to your organisation's strategy & governing document
- is flexible and can adapt to change and be amended if needed
- is developed through the involvement of interested stakeholders including employees
- Is communicated to all relevant people.

What policies should my organisation have?

The scope and complexity of policies will vary according to the size and circumstances of your organisation.

You **must** have a health and safety policy if you employ five or more people and anti-discrimination and harassment policies. The following areas are some of those that would benefit from written policies:

- Board responsibilities, conduct at board meetings, composition of the board and committees and the selection of new trustees, role profiles, confidentiality, speaking to the media, conflict of interest etc.
- finance (internal financial procedures including money laundering under the Proceeds of Crime Act), investments and reserves
- code of conduct - your 'organisational rules' covering what is acceptable and unacceptable
- whistle-blowing
- data protection
- equal opportunities
- health and safety
- child protection
- Risk management.

Below is a useful checklist to work out which policies and procedures you have, whether they are adequate and if there are others you need to develop

Policy & Procedure Title	Comprehensive and tailored specifically to our needs.	Basic, used a template or adapted from another form	Don't have but need	Don't need
Child/Vulnerable Adult Protection/ Safeguarding				
Confidentiality				
Data Protection				
Equal Opportunities Statement of Intent. Incl. <ul style="list-style-type: none"> • Harassment • reference to Recruitment procedure 				
Equality and Diversity <ul style="list-style-type: none"> • 10 protected characteristics 				
Health & Safety incl. <ul style="list-style-type: none"> • Workstation assessment procedure • Fire Safety 				
Risk Assessment incl. <ul style="list-style-type: none"> • Mitigation • Insurance • Risk management 				
PERSONNELL				
Annual Leave				
Bullying and Harassment				
Code of Conduct				
Exit Interviews				
Induction Procedure and Checklist				
Job Evaluation				
Recruitment				
Redundancy				
Retirement Policy				
Sick Leave				
Staff Appraisal Procedure				

Staff Disciplinary Procedure				
Staff Expenses				
Staff Grievance Procedure				
Time off in Lieu				
Volunteers <ul style="list-style-type: none"> • When you would use volunteers • How to recruit/assess suitability • Management • Expenses 				
Ethics, Monitoring & Evaluation				
Complaints (for members, service users, public)				
Training Policy (staff, volunteers, committee members)				
External				
Financial procedures				
Other accounting such as audit process, valuation of assets etc.				
Petty Cash policy				
Reserves Policy				
Governance*				
Annual General Meeting (AGM)				
Committee (Standing Orders) incl. <ul style="list-style-type: none"> • What to do in absence of Chair • Voting • Declaration of interest • Expenses 				
Conflicts of Interest				
Management Committee/Board (and sub-committee) Terms of Reference				
Role Descriptions for officers <ul style="list-style-type: none"> • Chair • Treasurer 				

<ul style="list-style-type: none">• Secretary• Any others				
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*Governance procedures are likely to be laid out in your governing document as well as in Charity and Company Law. However, these can be difficult to read and process, so clear policies and procedures will help your management committee to follow the rules.

Support

If you would like any support with policies and procedures or any other issues facing your organisation, please contact the Development Team at CTSI:

Email: admin@ctsi.org.uk Telephone: 01259 213840