

# OUTLINE FOR POLICY DEVELOPMENT

## FRAMEWORK GOVERNANCE

1. Organizational Values and Belief Statements
2. Vision Statement
3. Mission Statement
4. Strategic Plan

## BOARD SELF GOVERNANCE

1. Process for Policy Making
2. Governing Style
3. Annual General Meeting
4. Board relationship to the membership
5. Recruiting, selecting, orienting, training and evaluating board members
6. Roles and responsibilities and functions of the board, board members and board committees
7. Board Structure
8. Board member Code of Conduct
9. Conflict of Interest
10. Confidentiality

## OPERATION GOVERNANCE

1. Program Governance
  - a. Program Development
  - b. Treatment of Clients
  - c. Access to Services
  - d. Client Satisfaction
  - e. Program Planning
  - f. Safety considerations for Clients and Staff
  - g. Client Consent for Service
2. Personnel Governance
  - a. Defines board relationship to the executive director
  - b. Delegates authority to the executive director
  - c. Defines the role and responsibilities of executive director
  - d. Defines evaluation process for executive director
  - e. Sets policies for salaries, grievances process, compensation, benefits, health and retirement of all staff
  - f. Policies for volunteer use
3. Financial Governance
  - a. Budgeting and financial reporting
  - b. Monitoring the budget
  - c. Fundraising / Donations and Sponsorship
  - d. Protection of Assets
  - e. Contracts
  - f. Travel Expenses
  - g. Financial Audit

## ADOVACY GOVERNANCE

1. Organization's stand on relevant issues

# POLICY AUDIT OVERVIEW

Policy Area: **FRAMEWORK GOVERNANCE**

POLICY	DESCRIPTION	STATUS	WHO
<b>Organizational Values and Belief Statements</b>	States the fundamental beliefs of your organization	Y N N/A Needs Work	
<b>Vision Statement</b>	Statement of your organizations ideal future	Y N N/A Needs Work	
<b>Mission Statement</b>	Describes your organizations purpose or reason for existence	Y N N/A Needs Work	
<b>Strategic Plan</b>	Is the organization's plan to guide the work of the board, staff and volunteers, usually 3 -5 year plan.	Y N N/A Needs Work	
<b>Planning Cycle</b>	Describes your organizations planning process and what is included in your plan, i.e. goals, outcomes, strategies, actions, etc.	Y N N/A Needs Work	
<b>Work Plan 1year</b>	Is the organization yearly work plan	Y N N/A Needs Work	
<b>Annual Report</b>	Describes what is included in the annual report, explains when it is done, who does it, etc.	Y N N/A Needs Work	

**Policy Area: BOARD SELF-GOVERNANCE**

<b>POLICY</b>	<b>DESCRIPTION</b>	<b>STATUS</b>	<b>WHO</b>
<b>Making Policies</b>	Describes the process for making policies, states what is included in policies, who approves them, when they are reviewed, etc.	Y N N/A Needs Work	
<b>Governing Style</b>	Describes the boards philosophy / approach to how the organization will be governed, describes the board's decision making style	Y N N/A Needs Work	
<b>Annual General Meeting</b>	Further describes the what is stated in the bylaws, really needed if the bylaws are vague, should include, when, notification, agenda, etc.	Y N N/A Needs Work	
<b>Recruiting and selecting board members</b>	Describes the process for recruiting and selecting board members, who does it, when it is done, what is the criteria, etc.	Y N N/A Needs Work	
<b>Orienting and Training board members</b>	Explains the orientation and training that board members will receive, when the orientation is done, who does it, what is included in the orientation, ongoing training to the board, etc.	Y N N/A Needs Work	
<b>Roles and responsibilities and functions of the board</b>	Further defines the bylaws and states what is the role and responsibilities of the board as a whole	Y N N/A Needs Work	
<b>Board Chair/President Position</b>	Further defines the bylaws, clearly states the responsibilities of the Chair/President	Y N N/A Needs Work	
<b>Board Vice Chair / Secretary / Treasurer Positions</b>	Further defines the bylaws and clearly identified responsibilities of the Vice Chair, Secretary, and Treasurer	Y N N/A Needs Work	
<b>Individual Board Members Responsibilities</b>	States both the responsibilities and expectations of individual members are, such as participation, commitment, attendance, etc.	Y N N/A Needs Work	
<b>Board Committees</b>	Further defines the bylaws and what is included in each committee's Terms of Reference, i.e. responsibilities, authority, reporting, etc.	Y N N/A Needs Work	
<b>Board Structure</b>	Further defines the bylaws, states how the organization is structured i.e. board membership, positions, Executive Committee	Y N N/A Needs Work	
<b>Board Executive Committee</b>	Further defines the bylaws states the roles, responsibilities, accountability and reporting of the Executive Committee	Y N N/A Needs Work	

<b>POLICY</b>	<b>DESCRIPTION</b>	<b>STATUS</b>	<b>WHO</b>
<b>Board Member Code of Conduct</b>	Clearly states the expectations for board members conduct, usually is formed that Board members sign	Y N N/A Needs Work	
<b>Conflict of Interest</b>	Describes the process for how individual identify or declare a conflict of interest and expectations once a conflict is identified	Y N N/A Needs Work	
<b>Bylaws and Objectives Review</b>	Further defines the bylaws, describes how and when the bylaws are reviewed	Y N N/A Needs Work	
<b>Confidentiality</b>	Outlines the expectations around confidentiality of information and the sharing of information	Y N N/A Needs Work	
<b>In Camera Board Discussions</b>	States when In Camera protocol is used, who is in attendance, what is recorded in the minutes, etc.	Y N N/A Needs Work	
<b>Board Meetings</b>	Further defines the bylaws stating the number of board meetings, who can call board meetings, etc.	Y N N/A Needs Work	
<b>Agenda Development and Schedule</b>	Describes the process for the development of agendas, who does it, how members contribute items, when agendas are distributed, etc.	Y N N/A Needs Work	
<b>Board Liability Insurance</b>	Clearly states if the organization has Board Liability Insurance or not	Y N N/A Needs Work	

Policy Area: **OPERATIONAL (Program)**

POLICY	DESCRIPTION	STATUS	WHO
<b>Program Development</b>	Describes the process for developing programs, including who does it, who approves, what information is required, etc.	Y N N/A Needs Work	
<b>Treatment of Clients</b>	Describes the expectations or philosophy of how your organization will treat their clients, is more philosophical, may state the approach or model used	Y N N/A Needs Work	
<b>Access to Services</b>	States who has access to services, if there is fee subsidies, etc.	Y N N/A Needs Work	
<b>Program Evaluation</b>	Describes the process for program evaluation, including when it is completed, what is included in the evaluation	Y N N/A Needs Work	
<b>Client Satisfaction</b>	Describes the process used to gather feedback from clients and how the information is used	Y N N/A Needs Work	
<b>Program Planning</b>	States the expectations for program planning, when it is completed, who does it, who approves, what is included, etc.	Y N N/A Needs Work	
<b>Safety Considerations for Clients and Staff</b>	Describes the expectations to ensure the safety of the staff and clients, may include working alone policies, etc.	Y N N/A Needs Work	
<b>Client Consent for Service</b>	States if client consent is required for services, when the consent is required, what information is collected, etc.	Y N N/A Needs Work	
<b>Advocacy</b>	States the level of advocacy that staff can do on behalf of their clients	Y N N/A Needs Work	
<b>Provincial Legislation</b>	States any specific provincial or federal legislation that is applicable to your organization i.e. Children Services Act	Y N N/A Needs Work	

Policy Area: **OPERATIONAL (Personnel)**

POLICY	DESCRIPTION	STATUS	WHO
<b>Board relationship to the executive director</b>	Further defines the bylaws, states the defines the relationship of the Senior Staff to the Board	Y N N/A Needs Work	
<b>Authority of the executive director</b>	Defines what authority that the Senior Staff position has, such as signing authority, expenditure approves, etc.	Y N N/A Needs Work	
<b>Role and responsibilities of executive director</b>	Further defines the bylaws, states the roles and responsibilities of the Senior Staff person	Y N N/A Needs Work	
<b>Executive director evaluation</b>	Describes the process used for the Senior staff persons evaluation, including when, who, what is included in the evaluation	Y N N/A Needs Work	
<b>Compensation and Benefits for Executive Director</b>	Describes the compensation for the Senior Staff position, benefits, when compensation is reviewed, expectations	Y N N/A Needs Work	
<b>Sets process for policy development for salaries, grievances process, compensation, benefits, vacation, etc.</b>	Describes the overall principles or philosophy for other HR policies, who develops them, review expectations, who approves, etc.	Y N N/A Needs Work	
<b>Policies for volunteer use</b>	Describes the overall approach of the use of volunteers, many organization also have a set of policies for volunteers including recruitment, selection, training, recognition, etc.	Y N N/A Needs Work	

Policy Area: **OPERATIONAL (Financial)**

POLICY	DESCRIPTION	STATUS	WHO
<b>Budgeting and financial reporting</b>	States the process for developing the budget and financial reports (when it is developed, who develops, when it is approved)	Y N N/A Needs Work	
<b>Monitoring the budget</b>	Clearly outlines the expectations for monitoring the budget including, what is included in reports, when they are do and who provides them, etc.	Y N N/A Needs Work	
<b>Fundraising</b>	Outlines the organizations philosophy or approach to fundraising, states if there is activities that the org will not participate in, etc.	Y N N/A Needs Work	
<b>Donations and Sponsorship</b>	Outlines the process for accepting donations and sponsorship, planned giving, etc.	Y N N/A Needs Work	
<b>Protection of assets</b>	Describes what the organization will do to protect its assets, including risk management, inventory control, insurance, etc.	Y N N/A Needs Work	
<b>Contracts</b>	Describes the process and expectations for contracting services, such as if and when tendering is used, when to tender, who reviews, who approves, etc.	Y N N/A Needs Work	
<b>Reimbursement of Expenses</b>	Further explains the bylaws, states what is included in expenses, if prior approval is required, etc.	Y N N/A Needs Work	
<b>Financial Audit</b>	Further defines the bylaws, states when the audit is done, who completes the audit, etc.	Y N N/A Needs Work	
<b>Surplus Funds</b>	Provides guidelines for how surplus funds or reserves are managed, who is responsible, type of investments, etc.	Y N N/A Needs Work	
<b>Budgeting and financial reporting</b>	States the process for developing the budget and financial reports, including, when it is developed, who develops, when it is approved, etc.	Y N N/A Needs Work	

Policy Area: **ADVOCACY**

POLICY	DESCRIPTION	STATUS	WHO
<b>Organization's Stand on relevant issues</b>	States the organization's philosophy or position on relevant issues	Y N N/A Needs Work	
<b>Linkages with the community</b>	Describes how the organization works with the community, may include sharing of information, feedback or gather input for the organization, etc.	Y N N/A Needs Work	
<b>Linkages with other organizations</b>	Describes how and when the organization will work with other organizations, etc.	Y N N/A Needs Work	