

# **CITY.COMM Organisational Health Check**

## **Guidelines**

### **What is the Organisational Health Check?**

The VAW Organisational Health Check was developed in 2006 to diagnose and support organisations to implement systems and procedures essential for the running of their group. *(It is not a medical check and you won't need to go to the doctor for this type of health check!!)*

Essentially the organisational health check is a diagnostic of your *organisational* functioning (or health) that covers the following areas:

- Legal structure & governance
- Core policies
- Management
- Financial resources
- Fundraising & income generation
- Volunteers, personnel & human resources
- Monitoring & evaluation

Since 2006 the organisational health check has been re-designed into two levels, improved to make it easier for your organisation to use and is now available on-line as a self assessment tool.

- Level 1 comprises of the legal requirements that your organisation will need to fulfill in order to function as a community organisation and become 'fundable'
- Level 2 focusses on the best practice systems and procedures and is more relevant if you employ staff

### **Who is it for?**

The organisational health check is of most benefit for small organisations or those considering PQASSO (the healthcheck is a simpler quality system, so will help you prepare for PQASSO).

## **So, how to use the Organisational Health Check?**

There are several ways that you can use the organisational health check as a self assessment tool. Some methods are outlined below and it is advised that you choose the method that is most suitable and relevant for your organisation.

- As a diagnostic tool – you can go through each section of the health check and use the ‘meets capacity’ column. This will give you a snapshot of how your organisation stands at a particular point in time. The benefits of this are that it does not put pressure on your organisation and gives you a good framework for future changes or improvements in your organisation.
- If you would like to use the organisational health check as a quality system to make improvements then a suggested way of working may be:
  - a. use the health check as a diagnostic in the first instance
  - b. go through and identify action points for your organisation to improve the area (you can use the action planning table at the end of this worksheet)
  - c. should you require more information or support in implementing processes, policies or procedures, go to the web links in the resources section, or contact an Organisational Development Officer at CITY.COMM.

It is advisable however that you complete the Level 1 organisational health check and ensure that you meet all the criteria before you embark on Level 2

*Please note that web links often are out of date and links become obsolete – if you find that the web links are not valid, please contact CITY.COMM and these will be amended.*

If you have any questions about the organisational health check please do not hesitate to contact the Organisational Development Team on 020 7535 0482 – if not, happy healthchecking!

<b>SUBJECT</b>	<b>TYPE OF DOCUMENT OR PROCEDURE</b>	<b>CRITERIA FOR ASSESSMENT</b>	<b>MEETS CAPACITY – YES OR NO</b>	<b>RISK OF NOT HAVING DOCUMENT OR PROCEDURE IN PLACE</b>	<b>RESOURCES</b>
<b>Legal Structure &amp; Governance</b>					
<b>Constitution and Membership</b>	Governing Document	<b>Question</b> 1. Do you have a governing document – i.e set of rules, constitution, memorandum of articles & association, trust deed? 2. Does it include the following? <ul style="list-style-type: none"> <li>• objects (aims, what the charity does)</li> <li>• how it does this (powers)</li> <li>• who will run (trustees)</li> <li>• changes to admin procedures</li> <li>• dissolution clause</li> <li>• how the trustees will run the organisation</li> <li>• internal arrangements for voting, money, meetings (including AGM)</li> </ul>		Legal compliance Statutory responsibilities Public accountability Lack of clarity of aims and objectives	CC22: Choosing & preparing a governing document  <a href="http://www.charity-commission.gov.uk/publications/cc22.aspx">http://www.charity-commission.gov.uk/publications/cc22.aspx</a>  Model governing documents <a href="http://www.citycomm.org.uk/resource-bank">http://www.citycomm.org.uk/resource-bank</a>
	Trustees given a copy of the governing document	<b>Question</b> 1. Do trustees have a copy of the governing document? 2. Do trustees understand the rules set out in the governing document?			

	<p>Company or Charity Registration</p>	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. If you are an unincorporated organisation (set of rules, trust deed or constitution) with less than £5000 annual turnover, skip this question.</li> <li>2. Are you an unincorporated organisation (set of rules, trust deed or constitution) with over £5000 annual turnover? If so, are you registered with the Charity Commission?</li> <li>3. If you are not an unincorporated association (Memorandum of Articles and Association), are you registered with Companies House?</li> <li>4. If you are neither an unincorporated or incorporated organisation, are you a Community Interest Company? If so, are you registered with the CIC regulator?</li> <li>5. If you are not a charity, company or CIC, are you a cooperative, mutual society or type of Industrial and Provident Society? If so, are you registered with the Financial Services Authority? For more information about the IPS, Friendly Societies and the FSA, please contact an Organisational Development Officer at VAW.</li> </ol>		<p>Might be undertaking unauthorised activity Less funding streams available Loss of income through gift aid</p>	<p>Charity Registration guidance <a href="http://www.charity-commission.gov.uk/Start_up_a_charity/Guidance_on_registering/default.aspx">http://www.charity-commission.gov.uk/Start_up_a_charity/Guidance_on_registering/default.aspx</a></p> <p>Registering ad Company at Companies House <a href="http://www.companieshouse.gov.uk/infoAndGuide/companyRegistration.shtml">http://www.companieshouse.gov.uk/infoAndGuide/companyRegistration.shtml</a></p> <p>Registering with the CIC regulator <a href="http://www.cicregulator.gov.uk/forms.shtml">http://www.cicregulator.gov.uk/forms.shtml</a></p> <p>Registering with the Financial Services Authority <a href="http://www.fsa.gov.uk/Pages/Doing_small_firms/MSR/index.shtml">http://www.fsa.gov.uk/Pages/Doing_small_firms/MSR/index.shtml</a></p>
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<b>Membership and Governance structure</b>	Understanding of roles and responsibilities of trustees (management committee or board members) and any liabilities.	<b>Question</b> <ol style="list-style-type: none"> <li>Does your organisation have at least three trustees, two of which are unrelated (recommendation to have five trustees)?</li> <li>Do your trustees have the experience to cover the following roles <ul style="list-style-type: none"> <li>chair</li> <li>treasurer</li> <li>secretary</li> </ul> </li> <li>Do your trustees understand their liabilities in running the organisation?</li> </ol>		Lack of clarity of roles Legal responsibility Lack of responsibility for management and strategic planning Lack of awareness of roles and responsibilities of Trustees Lack of commitment of Board of Trustees Lack of appropriate skills on Board of Trustees	The Essential Trustee  <a href="http://www.charity-commission.gov.uk/Charity_requirements_guidance/Charity_essentials/The_essential_trustee.aspx">http://www.charity-commission.gov.uk/Charity_requirements_guidance/Charity_essentials/The_essential_trustee.aspx</a>
	Minutes or record of decisions made in Trustees meetings and signed by the chair	<b>Question</b> <ol style="list-style-type: none"> <li>Do you take minutes of the main points of discussions, key decisions agreed and action points from trustee meetings?</li> <li>Are the minutes signed and dated?</li> </ol>		Lack of leadership Internal conflict Legal requirement Conflict of interest Influence of decisions Contractual requirements	CC10: Hallmarks of an Effective Charity <a href="http://www.charity-commission.gov.uk/Publications/cc10.aspx">http://www.charity-commission.gov.uk/Publications/cc10.aspx</a>

				Financial risk Managerial risk Protect/avoid conflict	
<b>Core Policies</b>					
<b>Equal Opportunities</b>	Equal opportunities or diversity statement and/or policy	<b>Question</b> <ol style="list-style-type: none"> <li>1. Do you have an equal opportunities or diversity policy or statement?</li> <li>2. Does it include the following elements?</li> <li>3. When was it last reviewed? <ul style="list-style-type: none"> <li>• types of discrimination (gender, race, disability etc)</li> <li>• identify both direct and indirect discrimination</li> <li>• intention of equal opps and commitment to treating workers in an equitable and indiscriminate way</li> <li>• include all workers &amp; volunteers</li> <li>• include disability statement</li> <li>• highlight relevant legislation</li> <li>• state procedure for dealing with discrimination? (can be included in grievance procedure)</li> </ul> </li> </ol>		Contractual and legal implications Core Values Reputation	Sample Policies – Equal Opportunities and Diversity  <a href="http://www.citycomm.org.uk/resource-bank">http://www.citycomm.org.uk/resource-bank</a>

<p><b>Health and Safety</b></p>	<p>Health &amp; Safety Policy</p>	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Does your organisation have a health and safety policy?</li> <li>2. If so, does your policy cover the following aspects? <ul style="list-style-type: none"> <li>• purpose of policy, responsibilities and duties, and reporting arrangements</li> <li>• health and safety risk assessment</li> <li>• lone working, visits/off site working, violence and aggression, key holders (personal safety)</li> <li>• relevant legislation (including areas such as provision and use of equipment, electricity, display screens, first aid officer etc)</li> </ul> </li> <li>3. When was the policy last reviewed?</li> </ol>		<p>Health and safety of staff, beneficiaries and volunteers Contractual and legal implications Core values Reputation</p>	<p>Sample Health and Safety Policy</p> <p><a href="http://www.citycomm.org.uk/resource-bank">http://www.citycomm.org.uk/resource-bank</a></p>
<p><b>Child Protection &amp; Vulnerable Adults Policy</b></p>	<p>Safeguarding Children Policy</p>	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Does your organisation have a safeguarding children (or child protection) policy?</li> <li>2. If so, when was the policy last reviewed?</li> <li>3. Does your child protection policy cover the following information? <ul style="list-style-type: none"> <li>• covers relevant legislation</li> <li>• identify different types of abuse</li> <li>• the policy contains two designated names people with contact</li> </ul> </li> <li>4. Do trustees, staff &amp; volunteers endorse the policy?</li> <li>5. Are trustees, staff &amp; volunteers able to recognize and respond to child</li> </ol>		<p>Legal compliance Safety and well-being of children and vulnerable adults Contractual requirement</p> <p>** note: please keep up to date with relevant changes on ISA</p>	<p>Sample Safeguarding Children/Child Protection policy</p> <p><a href="http://www.citycomm.org.uk/resource-bank">http://www.citycomm.org.uk/resource-bank</a></p> <p>Independent Safeguarding Authority</p> <p><a href="http://www.isa.gov.org.uk/">http://www.isa.gov.org.uk/</a></p>

		<p>protection issues or allegations</p> <p>6. Is your organisation aware of safer recruitment practices relating to children (can be included in child protection or recruitment policy/procedure)</p>			
	Vulnerable Adults Policy	<p><b>Question</b></p> <p>1. Does your organisation work with vulnerable adults, and if so does it have a vulnerable adults policy?</p> <p>2. Has the policy been recently updated?</p> <p>3. Does it include the following?</p> <ul style="list-style-type: none"> <li>• covers relevant legislation</li> <li>• definition of a vulnerable adult (according to legislation)</li> <li>• definition of abuse</li> <li>• types of abuse</li> <li>• responsibilities of organisation</li> <li>• procedures for dealing with abuse</li> </ul> <p>4. Do trustees, staff and volunteers endorse the policy?</p> <p>5. Are trustees, staff and volunteers able to recognise and respond to vulnerable adult issues/allegations</p> <p>6. If relevant, is your organisation aware of safer recruitment practices relating to vulnerable adults (can be included in either your recruitment or vulnerable adult policy &amp; procedures).</p>			<p>Guidance on developing a safeguarding policy (LVSC)</p> <p><a href="http://www.lvsc.org.uk/Template/information.asp?NodeID=92791&amp;i1PNID=90016&amp;i2PNID=90165&amp;i3PNID=90188">http://www.lvsc.org.uk/Template/information.asp?NodeID=92791&amp;i1PNID=90016&amp;i2PNID=90165&amp;i3PNID=90188</a></p> <p>Independent Safeguarding Authority <a href="http://www.isa.gov.uk/">http://www.isa.gov.uk/</a></p>

	CRB Checks for staff and volunteers in contact with children or vulnerable adults	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Does your organisation have up to date enhanced CRB check for each staff, volunteer and trustee who directly works with children or vulnerable adults?</li> </ol>		<p>Legal compliance Covers the organisation trustee/staff/volunteers</p>	<p>Criminal Records Bureau check <a href="http://www.crb.homeoffice.gov.uk/">http://www.crb.homeoffice.gov.uk/</a></p> <p>A list of ‘umbrella’ organisations who can provide CRB checks : <a href="http://www.elcvnetwork.org.uk/support/crb/">http://www.elcvnetwork.org.uk/support/crb/</a></p>
	Child protection training for staff or volunteers in contact with children	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Do the individuals working directly with staff and volunteers working directly with children attend safeguarding training?</li> <li>2. If so when did they last attend?</li> <li>3. Are staff and volunteers familiar with the legislative changes relating to safeguarding children and vulnerable adults?</li> </ol>			<p>NSPCC training courses <a href="http://www.nspcc.org.uk/Inform/TrainingAndConsultancy/Training/training_wda47917.html">http://www.nspcc.org.uk/Inform/TrainingAndConsultancy/Training/training_wda47917.html</a></p> <p>Contact Razia Sattar (VAW) for information on VAW child protection training courses <a href="http://www.vawcvs.org/contact">http://www.vawcvs.org/contact</a></p>
<b>Confidentiality &amp; data control protection</b>	Data Protection & Confidentiality Policy	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Does your organisation have a data protection and/or a confidentiality policy?</li> <li>2. If so, and your organisation collects sensitive or personal information from users, does it cover the following principles? <ul style="list-style-type: none"> <li>• that data is fairly and lawfully processed</li> <li>• that data is processed for limited purposes</li> <li>• that data is accurate &amp; up to date</li> <li>• that data is not kept for longer than necessary</li> </ul> </li> </ol>		<p>Legal Compliance Confidentiality/personal security issues Reputation</p>	<p>CITY.COMM – sample policy <a href="http://www.citycomm.org.uk/resource-bank">http://www.citycomm.org.uk/resource-bank</a></p> <p>Information Protection Commissioner <a href="http://www.ico.gov.uk/">http://www.ico.gov.uk/</a></p>

		<ul style="list-style-type: none"> <li>• that data is processed according to individuals rights</li> <li>• that data is secure</li> <li>• that data is not transferred to other countries without adequate protection</li> </ul> <p>3. If your organisation collects individual, sensitive data on users (e.g medical conditions etc), is your organisation registered with the Information Protection Commissioner?</p>			
<b>Conflict of Interest Policy</b>	Conflict of Interest Policy for board of Trustees	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Does your organisation have a conflict of interest policy and or procedure?</li> <li>2. If not, does your organisation have a trustee code of conduct?</li> <li>3. If not is conflict of interest for trustees covered in your governing document?</li> <li>4. Do these policy/code of conduct or procedures cover the following elements? <ul style="list-style-type: none"> <li>• clear guidelines for receipt of gifts/donations</li> <li>• trustees to act in the best interests of the charity.</li> <li>• trustees not to benefit from his or her office as a trustee - other than to the extent permitted by the governing document.</li> <li>• trustees are not to put himself or herself in a position where his or her interests conflict with those of the charity.</li> </ul> </li> </ol>			<p>Guide to Conflict of Interest <a href="http://www.charitycommission.gov.uk/Charity_requirements_guidance/Charity_governance/Good_governance/conflicts.aspx">http://www.charitycommission.gov.uk/Charity_requirements_guidance/Charity_governance/Good_governance/conflicts.aspx</a></p> <p>Please contact CITY.COMM staff for assistance to develop a conflict of interest policy/procedures for your trustees <a href="http://www.citycomm.org.uk/contact-us">http://www.citycomm.org.uk/contact-us</a></p>

<b>Management</b>					
<b>Administrative procedures</b>	Charity and/or Company Annual Return	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Does your organisation complete annual returns for the appropriate regulating body (Charity Commission and or Companies House?) - if your organisation is not registered with a particular body, then skip to the next section</li> <li>2. If your organisation is a company, does your annual return include: <ul style="list-style-type: none"> <li>• the name of the company;</li> <li>• its registered number;</li> <li>• the type of company it is, for example, private or public;</li> <li>• the registered office address of the company;</li> <li>• the address where the company keeps certain company registers if not at the registered office</li> <li>• the principal business activities of the</li> </ul> </li> </ol>			<p>Charity Commission Annual Return  <a href="http://www.charitycommission.gov.uk/Charity_requirements_guidance/Accounting_and_reporting/Preparing_annual_returns/default.aspx">http://www.charitycommission.gov.uk/Charity_requirements_guidance/Accounting_and_reporting/Preparing_annual_returns/default.aspx</a></p> <p>Companies House  <a href="http://www.companieshouse.gov.uk/about/gbhtml/gp2.shtml">http://www.companieshouse.gov.uk/about/gbhtml/gp2.shtml</a></p>

		<p>company</p> <ul style="list-style-type: none"> <li>• the name and address of the company secretary, where applicable</li> <li>• the name, usual residential address, date of birth, nationality and business occupation of all the company's directors;</li> <li>• the date to which the annual return is made-up (the made-up date)</li> </ul> <p>3. If your organisation is a charity, does it submit the annual accounts to the Charity Commission?</p> <p>4. If so, is it in line with the following income limitations?</p> <ul style="list-style-type: none"> <li>• charities with £10,000 or less complete an Annual Update to Charity Commission</li> <li>• charities with an income between £10,001 - £25,000 complete an annual return to Charity Commission (part A – essential information – i.e trustee information)</li> <li>• £25,000 - £500,000 – Annual return Part A (essential information) and statement from trustees legal obligation to report serious incidents</li> <li>• £500,000 - £1,000,000 – Part A &amp; B (financial information) &amp; accounts in line with SORP recommendations &amp; Trustee statement for RSI</li> </ul>			
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		<ul style="list-style-type: none"> <li>Over £1,000,000 – Part A, Part B, Part C &amp; trustee statement on RSI</li> </ul>			
	Minutes of AGM meetings	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>Does your organisation record discussions, key decisions and results of any elections or amendments to the governing document in AGM meetings?</li> </ol>			CC48: Charity Meetings <a href="http://www.charity-commission.gov.uk/Publications/cc48.aspx">http://www.charity-commission.gov.uk/Publications/cc48.aspx</a>
	Year Plan	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>Does your organisation have a year plan of the activities that you would like to undertake within the year?</li> <li>Do all staff, volunteers and trustees have a copy of the plan and understand their role within the plan?</li> <li>Does the plan correspond to the yearly budget?</li> </ol>			Contact CITY.COMM Organisational Development Team for more information on planning (project, strategic & business planning) <a href="http://www.citycomm.org.uk/contact-us">http://www.citycomm.org.uk/contact-us</a>

Insurance	Public Liability	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Does your organisation have public liability insurance?</li> <li>2. If so, does it cover the following: <ul style="list-style-type: none"> <li>• events within your premises</li> <li>• staff, volunteers and trustees</li> <li>• events outside your premises</li> <li>• for any foreseeable accidents</li> </ul> </li> </ol> <p><i>* note any accident/claims that are above the amount insured for, the organisation will be liable</i>  <i>* public liability insurance does not cover negligence</i></p>		<p>Legal responsibility  Financial liability  Contractual requirements  Risk of loss / damage  Potential health and safety risks  Legal requirements  Insurance cover requirements  Contractual requirements</p>	<p>CC49: Charities and Insurance  <a href="http://www.charity-commission.gov.uk/publications/cc49.aspx">http://www.charity-commission.gov.uk/publications/cc49.aspx</a></p>
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Financial Systems					
<b>Budgeting and Financial Control</b>	A system for monitoring income and expenditure	<b>Question</b> 1. Does your organisation have basic bookkeeping records? (e.g. Excel sheet) 2. Is your organisation solvent (i.e. without debt)		Legal Compliance Overspend Under-spend Solvency Legal accountability of trustees/ directors Lack of forward planning Lack of planning	Accounting for Community Enterprise (ACE) <a href="http://www.havco.org.uk/ace/">http://www.havco.org.uk/ace/</a>
	Bank account with at least two unrelated signatories	<b>Question</b> 1. Does your organisation have a bank account with the same name as your organisation? 2. Does your organisation have at least two unrelated signatories?			CITY.COMM – sample policies <a href="http://www.citycomm.org.uk/resource-bank">http://www.citycomm.org.uk/resource-bank</a>
	At least 2 trustees are signatories on bank account	<b>Question</b> 1. Do you have two unrelated trustee signatories on your bank account?			CITY.COMM – sample policies <a href="http://www.citycomm.org.uk/resource-bank">http://www.citycomm.org.uk/resource-bank</a>

	Written rules for handling petty cash	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>Does your organisation have petty cash procedures?</li> <li>Does this include the following? <ul style="list-style-type: none"> <li>use of petty cash</li> <li>limitations</li> <li>system for recording expenses</li> <li>person responsible</li> <li>receipt collection</li> <li>reimbursement processes</li> </ul> </li> </ol>			CITY.COMM – sample policies <a href="http://www.citycomm.org.uk/resource-bank">http://www.citycomm.org.uk/resource-bank</a>
	Written rules for issuing cheques	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>Does your organisation have written rules for issuing cheques?</li> <li>Does it include the following? <ul style="list-style-type: none"> <li>include number of signatories on cheques</li> <li>no cheques signed made out to a signatory</li> </ul> </li> </ol>			CITY.COMM – sample policies <a href="http://www.citycomm.org.uk/resource-bank">http://www.citycomm.org.uk/resource-bank</a>
	Annual accounts are produced and filed as appropriate	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>If you are a company, are your annual accounts submitted to Companies House within 6 months of the end of your financial year (or 18 months for the first year if you are a start up company)?</li> <li>If you are a Charity, are your annual accounts (and annual report) submitted to the Charity Commission within 10 months of the end of your financial year? (if your income is over £25,000/year)</li> </ol>			Charity Commission Annual Return <a href="http://www.charitycommission.gov.uk/Charity_requirements_guidance/Accounting_and_reporting/Preparing_annual_returns/default.aspx">http://www.charitycommission.gov.uk/Charity_requirements_guidance/Accounting_and_reporting/Preparing_annual_returns/default.aspx</a>  Companies House <a href="http://www.companieshouse.gov.uk/about/gbhtml/gp2.shtml">http://www.companieshouse.gov.uk/about/gbhtml/gp2.shtml</a>

		<p><b>** Note: annual accounts are different from annual returns (Companies House recognise this as two documents). Charity Commission requires annual returns (or Annual Update depending on yearly income) which includes financial information as well as trustee reports if your income is over £25k/year. Forms available on the Charity Commission website.</b></p>			
	Meeting Inland Revenue requirements	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Do you employ staff?</li> <li>2. If so, do you ensure that NI contributions (PAYE) to the HMR&amp;C?</li> </ol> <p><b>**Note charitable companies are exempt from income and corporation tax. It is often not worth for charities to be VAT registered (unless their trading income is more than 67k after which it becomes a legal requirement). This means that charities will pay VAT on goods/supplies and do not need to include VAT on their own trading services. If they receive donations, these can be VAT free (separate from trading income).</b></p>			<p>HM Revenue &amp; Customs <a href="http://www.hmrc.gov.uk/employers/">http://www.hmrc.gov.uk/employers/</a></p>
	Agreed budget for this year	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Do you have a yearly budget that corresponds to your activity plans?</li> <li>2. Is it agreed by trustees?</li> <li>3. Do you revise these budgets depending on income received and expenditure?</li> </ol>			<p>Please contact CITY.COMM Organisational Development officer for more information <a href="http://www.citycomm.org.uk/contact-us">http://www.citycomm.org.uk/contact-us</a></p>

	Audited accounts or independent examination	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Does your organisation undertake and independent examination OR an audit each year?</li> <li>2. Are the main finance officers involved in the process?</li> </ol> <p><i>** Note: if you are a charity with between £25,000 - £500,000 annual income you can elect to have an independent examination. Charities with over £500,000/year must have an external audit</i></p> <p><i>** Note: If your organisation is a company with less than £90,000/year turnover, you organisation is exempt from an audit, however companies with greater than £90,000/year turnover must have an external audit.</i></p> <p><i>** Note; if you are both a company and a charity, you should be following the more stringent guidelines.</i></p>			<p>Charity Commission – Audited accounts &amp; Independent Examinations <a href="http://www.charitycommission.gov.uk/Charity_requirements_guidance/Accounting_and_reporting/Auditing_accounts/default.aspx">http://www.charitycommission.gov.uk/Charity_requirements_guidance/Accounting_and_reporting/Auditing_accounts/default.aspx</a></p> <p>Companies House audit requirements <a href="http://www.companieshouse.gov.uk/about/gbhtml/gp2.shtml#ch3">http://www.companieshouse.gov.uk/about/gbhtml/gp2.shtml#ch3</a></p>
<b>Fundraising and Income Generation</b>					
<b>Fundraising and Income Generation</b>	Photocopies of fundraising applications	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Does your organisation raise money through grants?</li> <li>2. If so, do you keep copies of your fundraising applications (soft copies) and reports?</li> </ol>		Financial security Lost opportunities Forward planning	<p>Contact CITY.COMM Organisational Development Officer for more information on fundraising <a href="http://www.citycomm.org.uk/contact-us">http://www.citycomm.org.uk/contact-us</a></p>

Volunteers, Personnel and Human Resources					
<b>Staff and Volunteer Recruitment</b>	Job Descriptions	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>Does your organisation provide employed staff with a job description that includes the following: <ul style="list-style-type: none"> <li>main areas of responsibility</li> <li>duties and outcomes required for the role</li> <li>line management (reporting to and managing)</li> </ul> </li> <li>Does your organisation work with volunteers? If so, do you provide a role description that includes the following? <ul style="list-style-type: none"> <li>main areas of activity for the volunteer</li> <li>support/management for the volunteer</li> </ul> </li> </ol>			<p>Please contact CITY.COMM Organisational Development Officer if you require assistance in developing an appropriate job description.  <a href="http://www.citycomm.org.uk/contact-us">http://www.citycomm.org.uk/contact-us</a></p>
	Grievance Procedures	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>Does your organisation have grievance procedures?</li> <li>If so, do your grievance procedures include the following elements: <ul style="list-style-type: none"> <li>purpose of the policy</li> <li>procedure to deal with grievance including formal and informal avenues</li> <li>refers to disciplinary procedure</li> </ul> </li> </ol>			

	Disciplinary Procedures	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Does your organisation have a disciplinary procedure?</li> <li>2. If so, does it cover the following? <ul style="list-style-type: none"> <li>• examples of areas where disciplinary action may need to be taken (e.g poor attendance, breach of staff policy etc)</li> <li>• formal procedure for dealing with disciplinary action</li> </ul> </li> </ol> <p><i>** note could be linked to the grievance procedure</i></p>			<p>CITY.COMM - sample policies <a href="http://www.citycomm.org.uk/resource-bank">http://www.citycomm.org.uk/resource-bank</a></p>
	Trustees understand the difference between volunteer, employee & freelance worker	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Does your organisation only pay volunteer expenses (e.g travel, lunch) on presentation of a receipt?</li> <li>2. Does your organisation have any freelance workers/consultants? If so are these consults paid for a specific piece of work with clear outcomes, within a specific time period?</li> </ol> <p><i>** note freelance workers or volunteers could be considered employees (and therefore entitled to employee rights such as annual leave, sick leave etc) if you pay a volunteer a flat rate for example, or if as an organisation you are instructing a consultant on how the work might be undertaken.</i></p>			<p>LVSC – PEACe service <a href="http://www.lvsc.org.uk/Templates/information.asp?NodeID=96030&amp;i1PNID=90016&amp;i2PNID=90165">http://www.lvsc.org.uk/Templates/information.asp?NodeID=96030&amp;i1PNID=90016&amp;i2PNID=90165</a></p> <p>Contact CITY.COMM Organisational Development Officer if you would like to discuss employment/volunteer issues <a href="http://www.citycomm.org.uk/contact-us">http://www.citycomm.org.uk/contact-us</a></p>

<p><b>Volunteers</b></p>	<p>Procedures in place for payment of volunteers (lunch, travel, childcare)</p>	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Does your organisation have a volunteer policy (if you work with volunteers)?</li> <li>2. If so does your volunteer policy cover the following: <ul style="list-style-type: none"> <li>• definition of volunteers</li> <li>• reimbursement for travel/lunch/childcare expenses</li> <li>• insurance coverage</li> </ul> </li> </ol> <p><i>** note: it is important that a volunteer does not cover a paid staff member's main responsibilities – this could be considered a job and therefore the volunteer may be entitled to employee rights</i></p>			<p>Contact Volunteer Centre Westminster for more information on Volunteer Policies and other volunteer related issues  <a href="http://www.volunteer.co.uk/Groups/113676/Volunteer_Centre_Westminster/Contact_Us/Contact_Us.aspx">http://www.volunteer.co.uk/Groups/113676/Volunteer_Centre_Westminster/Contact_Us/Contact_Us.aspx</a></p>
<b>Monitoring &amp; Evaluation</b>					
<p><b>Monitoring and Evaluation</b></p>	<p>Monitoring and evaluation tools – outputs, outcomes</p>	<p><b>Question</b></p> <ol style="list-style-type: none"> <li>1. Does your organisation have monitoring procedures that relate to both the organisational aims as well as individual project aims?</li> <li>2. Does your organisation have evaluation procedures for projects?</li> <li>3. Do you collate and use this monitoring and evaluation information to improve future projects?</li> </ol>			<p>Contact the Organisational Development Officer at CITY.COMM for one-to-one support on your outcomes and developing tools to monitor and evaluate your outcomes  <a href="http://www.citycomm.org.uk/contact-us">http://www.citycomm.org.uk/contact-us</a></p> <p>Charities Evaluation Service  <a href="http://www.ces-vol.org.uk/index.cfm?pg=40">http://www.ces-vol.org.uk/index.cfm?pg=40</a></p>

# Action Planning

<i>SUBJECT</i>	<i>TYPE OF DOCUMENT OR PROCEDURE</i>	<i>ACTION POINTS TO FULFIL GAPS</i>	<i>WHO?</i>	<i>WHEN?</i>	<i>REVIEW/ APPROVAL AND SUPPORT NEEDED</i>