

OUTLINE FOR POLICY DEVELOPMENT

FRAMEWORK GOVERNANCE

- Organizational Values and Belief Statements
- Vision Statement
- Mission Statement
- Strategic Plan

BOARD SELF GOVERNANCE

- Process for Policy Making
- Governing Style
- Annual General Meeting
- Board relationship to the membership
- Recruiting, selecting, orienting, training and evaluating board members
- Roles and responsibilities and functions of the board, board members and board committees
- Board Structure
- Board member Code of Conduct
- Conflict of Interest
- Confidentiality

OPERATIONAL GOVERNANCE

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

ADVOCACY GOVERNANCE

- Organization's stand on relevant issues

POLICY AUDIT OVERVIEW

Policy Area: **Framework Governance**

| POLICY | DESCRIPTION | STATUS | WHO |
|--|--|-----------------------|-----|
| Organizational Values and Belief Statements | States the fundamental beliefs of your organization | Y N N/A Needs Work | |
| Vision Statement | Statement of your organizations ideal future | Y N N/A Needs Work | |
| Mission Statement | Describes your organizations purpose or reason for existence | Y N N/A Needs Work | |
| Strategic Plan | 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 | |
| Planning Cycle | 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 | |
| Work Plan 1year | Is the organization yearly work plan | Y N N/A Needs Work | |
| Annual Report | 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

| POLICY | DESCRIPTION | STATUS | WHO |
|--|--|-----------------------|------------|
| Making Policies | 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 | |
| Governing Style | 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 | |
| Annual General Meeting | 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 | |
| Recruiting and selecting board members | 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 | |
| Orienting and Training board members | 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 | |
| Roles and responsibilities and functions of the board | Further defines the bylaws and states what is the role and responsibilities of the board as a whole | Y N N/A Needs Work | |
| Board Chair/President Position | Further defines the bylaws, clearly states the responsibilities of the Chair/President | Y N N/A Needs Work | |
| Board Vice Chair / Secretary / Treasurer Positions | Further defines the bylaws and clearly identified responsibilities of the Vice Chair, Secretary, and Treasurer | Y N N/A Needs Work | |
| Individual Board Members Responsibilities | States both the responsibilities and expectations of individual members are, such as participation, commitment, attendance, etc. | Y N N/A Needs Work | |

| POLICY | DESCRIPTION | STATUS | WHO |
|--|---|-----------------------|------------|
| Board Committees | 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 | |
| Board Structure | Further defines the bylaws, states how the organization is structured i.e. board membership, positions, Executive Committee | Y N N/A Needs Work | |
| Board Executive Committee | Further defines the bylaws states the roles, responsibilities, accountability and reporting of the Executive Committee | Y N N/A Needs Work | |
| Board Member Code of Conduct | Clearly states the expectations for board members conduct, usually is formed that Board members sign | Y N N/A Needs Work | |
| Conflict of Interest | 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 | |
| Bylaws and Objectives Review | Further defines the bylaws, describes how / when the bylaws are reviewed | Y N N/A Needs Work | |
| Confidentiality | Outlines the expectations around confidentiality of information and the sharing of information | Y N N/A Needs Work | |
| In Camera Board Discussions | States when In Camera protocol is used, who is in attendance, what is recorded in the minutes, etc. | Y N N/A Needs Work | |
| Board Meetings | Further defines the bylaws stating the number of board meetings, who can call board meetings, etc. | Y N N/A Needs Work | |
| Agenda Development and Schedule | 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 | |
| Board Liability Insurance | 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 |
|--|---|-----------------------|-----|
| Program Development | Describes the process for developing programs, including who does it, who approves, what information is required, etc. | Y N N/A Needs Work | |
| Treatment of Clients | 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 | |
| Access to Services | States who has access to services, if there is fee subsidies, etc. | Y N N/A Needs Work | |
| Program Evaluation | Describes the process for program evaluation, including when it is completed, what is included in the evaluation | Y N N/A Needs Work | |
| Client Satisfaction | Describes the process used to gather feedback from clients and how the information is used | Y N N/A Needs Work | |
| Program Planning | 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 | |
| Safety Considerations for Clients and Staff | Describes the expectations to ensure the safety of the staff and clients, may include working alone policies, etc. | Y N N/A Needs Work | |
| Client Consent for Service | States if client consent is required for services, when the consent is required, what information is collected, etc. | Y N N/A Needs Work | |
| Advocacy | States the level of advocacy that staff can do on behalf of their clients | Y N N/A Needs Work | |
| Provincial Legislation | 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 |
|---|---|-----------------------|-----|
| Board relationship to the executive director | Further defines the bylaws, states the defines the relationship of the Senior Staff to the Board | Y N N/A Needs Work | |
| Authority of the executive director | Defines what authority that the Senior Staff position has, such as signing authority, expenditure approves, etc. | Y N N/A Needs Work | |
| Role and responsibilities of executive director | Further defines the bylaws, states the roles and responsibilities of the Senior Staff person | Y N N/A Needs Work | |
| Executive director evaluation | 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 | |
| Compensation and Benefits for Executive Director | Describes the compensation for the Senior Staff position, benefits, when compensation is reviewed, expectations | Y N N/A Needs Work | |
| Sets process for policy development for salaries, grievances process, compensation, benefits, vacation, etc. | Describes the overall principles or philosophy for other HR policies, who develops them, review expectations, who approves, etc. | Y N N/A Needs Work | |
| Policies for volunteer use | 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 |
|--|---|-----------------------|-----|
| Budgeting and financial reporting | 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 | |
| Monitoring the budget | 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 | |
| Fundraising | 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 | |
| Donations and Sponsorship | Outlines the process for accepting donations and sponsorship, planned giving, etc. | Y N N/A Needs Work | |
| Protection of assets | Describes what the organization will do to protect its assets, including risk management, inventory control, insurance, etc. | Y N N/A Needs Work | |
| Contracts | 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 | |
| Reimbursement of Expenses | Further explains the bylaws, states what is included in expenses, if prior approval is required, etc. | Y N N/A Needs Work | |
| Financial Audit | Further defines the bylaws, states when the audit is done, who completes the audit, etc. | Y N N/A Needs Work | |
| Surplus Funds | Provides guidelines for how surplus funds or reserves are managed, who is responsible, type of investments, etc. | Y N N/A Needs Work | |
| Budgeting and financial reporting | 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 |
|--|--|-----------------------|-----|
| Organization's Stand on relevant issues | States the organization's philosophy or position on relevant issues | Y N N/A Needs Work | |
| Linkages with the community | 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 | |
| Linkages with other organizations | Describes how and when the organization will work with other organizations, etc. | Y N N/A Needs Work | |