



## **Introduction to our guidance**

Policies and procedures are important to an organisation. They ensure the best service user experience and a safe environment. They also meet legal and contractual requirements.

This document provides guidance on creating policies and procedures. Where possible, a good practice guide, a template, and an example from a national and local organisation are provided for each area. All the information within this document should only be used as a starting point to developing a tailored version of a policy or procedure for your organisation. The policies and procedures shared by organisations within this document have been developed for their organisation and stakeholders' needs. Neither we nor those organisations who have contributed to this document take responsibility for the application and suitability of any policy if it, or any part of, is adopted and used by other organisation. It is your sole responsibility to ensure the policy and procedure your organisation adopts is suitable and meets legal requirements.

We would like to thank all of the organisations who contributed their policies and procedures for inclusion in this document.

If you have any policies or procedures that you can share and you think would be useful for other organisations please get in touch with our Sector Support Manager, Alison Marino, on [alison@bhcommunityworks.org.uk](mailto:alison@bhcommunityworks.org.uk) or 01273 234827

**The information within this document will be reviewed on an annual basis.**

## **Developing a policy or procedure**

Your policies and procedures should relate to your organisation and stakeholders. It is important that you think through what you need to put in place in your particular organisation and how it will work in practice. You should engage your stakeholders in the development and implementation of them. It is the responsibility of your organisation to ensure any policies and procedures adopted are appropriate and comply with all legal requirements.

Your policies and procedures should be reviewed on a regular basis. Your needs as an organisation may change or the law may change, which will mean you will need to adopt a new policy or procedure or update existing ones. Certain events may trigger a review eg if you begin to employ staff there will be several policies required by law and several others it is wise to have. It is helpful to schedule in a review date for all your policies and procedures.

Lastly, your policies and procedures are only effective if people know about them and know how to follow them. You need to train people when a new policy or procedure is put in place and update people when an existing policy or procedure is changed. You need to make sure your policies and procedures form part of your induction process for all new trustees, volunteers and staff.

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## Wellbeing, Health and Safety

### Bullying and harassment policy

A bullying and harassment policy demonstrates an organisations intolerance of bullying and harassment in the workplace. Harassment (eg on basis of gender, race, ethnicity, faith, sexual orientation, disability) and bullying (eg repeated inappropriate behaviour) both involve behaviour which harms, intimidates, threatens, victimises, offends, degrades, humiliates or undermines dignity at work.

#### What are national organisations and groups doing?

- [Human Resource Solutions](#) have provided a bullying and harassment policy template
- [Small Charity Support](#) have provided an example bullying and harassment policy
- [Age UK](#) have shared their harassment policy
- [GRCC](#) provide a dignity at work policy template

#### What are local organisations and groups doing?

- [The Trust for Developing Communities](#) have shared their harassment policy and procedure
- [Brighton College](#) have published their dignity at work policy
- [Brighton and Hove City Council](#) include their dignity and respect at work policy on page 32 of their Employee Rights & Responsibilities Document

### Health and safety policy

The Health and Safety at Work Act 1974 places a duty on employers to ensure the health, safety and welfare of employees and others who may be affected by the actions of the organisations. Health and safety legislation applies to everyone involved in the organisations (eg employees, volunteers, beneficiaries, service users, trustees and visitors).

A health and safety policy should:

- Be specific to the organisation and clearly say who does what, when and how often
- Set out how your organisation will manage its health and safety
- Include a statement of intent (what you intend to do). This is a written policy statement which shows the organisation's commitment to health and safety. It should be signed and dated by the most senior person in the organisation
- Include the organisation details (who will be involved). This part of the policy should name those who will have responsibilities for health and safety matters in the organisation

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- Arrangements (how the policy will be put in place). This section explains how the organisation will control the main hazards that have been identified in the risk assessment
- If there are five or more employees, there must be a written, signed and dated statement of your general policy confirming who takes ultimate responsibility for health and safety and how other matters (eg risk assessment, fire, emergency instructions and manual handling) are managed
- All employees and volunteers should sign to say that they have read and understood the policy and a copy should be displayed on noticeboards

#### What are national organisations and groups doing?

- [NCVO Know How Non Profit](#) offers guidance on developing a health and safety policy
- [The Health and Safety Executive](#) website have a template of a health and safety policy
- [VAI](#) offer a template health and safety policy

#### What are local groups and organisations doing?

- [The Resource Centre](#) have sample health and safety policies from 'Kenyan Community Association', 'Friday Night Youth Club' and their own health and safety policies as well as their own [safety](#) policy
- [The Trust for Developing Communities](#) have shared their [Health and Safety Policy](#) and [Health and Wellbeing Policy](#)
- [Community Works](#) health and safety policy

#### Lone working policy

A lone working policy is designed to alert staff to the risks presented by lone working, to identify the responsibilities each person has in the situation, and to describe procedures which will minimise such risks. It is designed to give staff a framework for managing potential risk situations.

A lone worker policy should include:

- To whom it is applicable: people in fixed establishments and mobile workers working away from their fixed base
- Legal requirements and laws
- Places of work
- Personal responsibility
- Working outside normal hours
- Lone worker risk assessment
- Health and safety

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- Safe system of work
- Organisational responsibilities

#### What are national organisations and groups doing?

- [The Health and Safety Executive](#) website offers guidance on developing a lone working policy and have also issued a [leaflet](#) offering health and safety guidance on the risks on lone working
- [Guardian 24 Lone Worker Support](#) provides an example of a lone worker policy
- [VAI](#) provide a template for a lone working policy

#### What are local organisations and groups doing?

- [The Trust for Developing Communities](#) have shared their lone working policy
- [Community Works](#) lone working policy
- [Brighton and Hove City Council](#) include their lone working policy on page 75 in their Employee Rights & Responsibilities Document

#### Sickness policy

The sickness absence policy exists to provide a fair and consistent approach to the management of sickness absence in the work place. The principles of this policy apply to all staff regardless of contract time.

A sickness/ill health policy should cover:

- Provisions for sick pay and leave
- Notification of sick leave
- Certification of sick leave
- Payment of sick pay
- Monitoring sickness absence
- Return to work meetings
- Reviewing sickness absence
- Occupational health referrals
- Managing short term, intermittent sickness absence
- Managing long term sickness absence or recurring absence
- Medical retirement
- Capability employment review meetings
- Appeals against termination of employment

#### What are national organisations and groups doing?

- [Health and Safety Executive](#) have advice and guidance on managing sickness absence and return to work
- [Unison](#) have produced a detailed guide including the legal requirements and how to implement the most effective procedures
- [Imperial College London](#) have shared their sickness and absence policy and procedure

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### What are local organisations and groups doing?

- [The Trust for Developing Communities](#) have shared their sickness absence policy
- [Grace Eyre](#) have shared their sickness and absence policy
- [Amaze](#) have shared their sickness and related performance policy

### Mental health policy

This is a separate policy for mental health beyond a safeguarding policy or staff health/sickness policy. This is to include specific elements that may be missed in these policies and should include:

- A statement of commitment to staff wellbeing and non-discrimination towards mental health as well as to confidentiality.
- Who members of staff can speak with regarding their mental health
- Examples of provisions that can be made to accommodate any problems, for example: working from home or regular check ins regarding workload and health
- The procedure for time off as a result of mental health, for example: a welcome back interview and re-induction, what support is available to the staff member both in the short term as they settle back in and ongoing

### What are national organisations and groups doing?

- [Acas](#) provide a useful wellbeing guide for the workplace and specific information regarding mental health on page 15
- [Mind](#) have provided a comprehensive guidebook for supporting staff's mental health including lots of important information on processes such as workplace adjustments and support
- [Time to Change](#) have published a report on creating mentally healthy workplaces that provides guidance and examples of good practice

### What are local organisations and groups doing?

- [Brighton and Hove City Council + Brighton and Hove CCG](#) have produced a wellbeing strategy which includes useful information and statistics on mental health generally, but also with a specific focus on those living in Brighton and Hove
- [Grassroots Suicide Prevention](#) have shared their wellbeing policy

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## HR

### Equal opportunities policy

This policy makes your organisations commitment to equal opportunities procedures and practices clear.

An equal opportunities policy should:

- List all forms of discrimination that are covered by the policy (eg. age, gender, race, faith, sexual orientation, relationship status and disability)
- State that the policy will cover all current legislation.
- Oblige all employees to respect and act in accordance with the policy
- Mention equality of opportunity for all job applicants and employees
- Make clear that any bullying or harassment is unacceptable
- Explain the procedure for dealing with complaints
- Include guidance to the grievance procedure
- Include the title of the manager or director who has overall responsibility for the policy
- Be regularly updated and communicated
- Be used in training sessions for all employees, volunteers and trustees

#### What are national organisations and groups doing?

- [NCVO Know How Non Profit](#) offers guidance on developing an equal opportunities policy
- [Diversity Job Board](#) have a ready-made template available on their website
- [Voluntary Action Islington](#) (VAI) offers a basic equal opportunities policy example
- [Gloucestershire Rural Community Council](#) (GRCC) offers an equality and diversity policy template

#### What are local organisations and groups doing?

- [The Resource Centre](#) have sample equal opportunities policies from 'The Under 5's Centre', 'Breastfeed Drop-in' and 'Hindu's Elders Group' and have also shared their own [policy](#)
- [Healthwatch Brighton and Hove](#) have shared their equality and diversity policy
- [Brighton and Hove City Council](#) have shared their 2012-15 equality and inclusion policy
- [Community Works](#) equal opportunities and diversity policy

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## Whistleblowing policy

A whistleblowing policy makes clear the importance the organisation attaches to the identification and rectification of malpractice.

A whistleblowing policy should:

- Define malpractice and identify the standard of conduct required of employees
- Be specific to which employees should report suspected malpractice
- Allow whistle blowers, where possible, to disclose information in confidence and remain anonymous
- Stress that no disciplinary action will be taken against whistle blowers in respect of disclosures made in good faith
- Consider whether an external body should be identified as an alternative to the employer's procedure

### What are national organisations and groups doing?

- [GRCC](#) provide a template whistle blowing policy
- [Human Resource Solutions](#) have a whistle blowing policy template
- [VAI](#) also offer a template with links to further information

### What are local groups and organisations doing?

- [Brighton and Hove City Council](#) have published their whistleblowing policy
- [Amaze](#) have shared their whistleblowing policy

## Redundancy policy

The policy should clarify what procedures will be followed in the event of redundancies becoming unavoidable within your organisation. It should clearly define redundancy and what this means to employees and also state a commitment to fairness and indicate the appropriate HR support available. A redundancy policy should not discriminate directly or indirectly on grounds of race, colour, ethnic or national origin, religion or belief, sex, sexual orientation, marital status, disability, age, trade union membership and activity.

Furthermore, the policy should also highlight that part time staff and those working under fixed term contracts shall under no circumstances be singled out for selection on different criteria to those applied to (comparable) full time staff.

### What are national organisations and groups doing?

- [acas](#) have advice on redundancy consultation and procedure
- [GOV.UK](#) also have advice on the employee's rights in the event of redundancy
- [Staff-Handbook](#) offers a sample redundancy policy

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**What are local organisations and groups doing?**

- [The Trust for Developing Communities](#) have shared their redundancy policy
- [Amaze](#) have also shared their redundancy policy
- [Grace Eyre](#) have shared their organisational change and redundancy policy

## Staff Management

### Volunteering policy

A volunteer policy applies to those working for the charity on a voluntary basis and exists to make clear where volunteers stand within the organisation and what should and should not be expected of them. It should state who the volunteer coordinator/their manager is and include:

- Why you involve volunteers
- Role description
- Recruitment and selection
- Relationships between volunteers and the team/management
- Relationship between volunteers and the client group
- Training and development
- Working conditions
- Recognition
- Support and supervision
- Expenses
- Insurance
- Involvement in organisational structures
- Dealing with problems

#### What are national organisations and groups doing?

- [VAI](#) offers a volunteer policy template
- [Cancer Research UK](#) have shared their volunteering policy
- [NCVO Knowhow Nonprofit](#) share guidelines to creating a volunteer policy

#### What are local organisation and groups doing?

- [The Trust for Developing Communities](#) have shared their volunteer policy
- [Healthwatch Brighton and Hove](#) have shared their volunteer policy
- [Brighton and Hove City Council](#) have published their volunteer policy
- [Amaze](#) have shared their volunteering policy

### Social media policy

An employer should set out in writing what it regards as acceptable behaviour in the use of social media at work and what is unacceptable. It should also give clear guidelines for employees on what they can and cannot say about the organisation.

A social media policy should cover:

- Network security.
- Acceptable behaviour and use of:

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- Internet and emails
- Smart phones and hand-held computers
- Social networking sites
- Blogging and tweeting
- Data protection and monitoring
- Business objectives
- Disciplinary procedures
- The organisation's 'intellectual property'
- Also, an employer should cross reference its social media policy to its bullying and harassment policy

#### **What are national organisations and groups doing?**

- [acas](#) offers advice and guidance on developing a social media policy
- [Small Charities Coalition](#) have lots of information about social media usage
- [immediate future](#) have 30 examples of UK social media policies and guidance

#### **What are local organisations and groups doing?**

- **The Trust for Developing Communities** have shared their: [Social Media Policy](#), [Social Media Policy - "Bad Comment" Flowchart](#), [Social Media Policy - Facebook](#) and [Social Media Policy - Risk Assessment](#)
- [Healthwatch Brighton and Hove](#) have shared their social media policy
- [Brighton and Hove City Council](#) have published their social networking policy

#### **Training and development policy**

It is important that staff within the organisation, both new and existing, receive ongoing training. This helps to ensure that they are able to complete their job effectively, develop their skills and feel valued and confident in their role. It should state who is responsible for identifying staff training needs and facilitating their development, this is usually the staff member's manager, and when this will be reviewed.

#### **What are national organisations and groups doing?**

- [NICVA](#) have shared their staff development and training policy
- [MVSC](#) offer a template staff training policy
- [GRCC](#) also offer a template learning and development policy

## **Supervision and performance policy**

All staff must receive supervision in order to carry out work effectively and efficiently. A supervision and performance policy should contain information about the process of supervision and provide guidance about its structure, frequency and contents.

The main aims of supervision are for all staff members to:

- Be clear about their responsibilities and roles
- Enable work to be planned and progress monitored
- Ensure that specific objectives are being met
- Receive support in carrying out their work
- Enable reflection, analysis and evaluation of practice
- Ensure that learning and professional development requirements are planned for

This enables the management team to:

- Monitor achievement against service, directorate and council performance targets and objectives
- Improve standards and performance

### **What are national organisations and groups doing?**

- [CWDC and Skills for Care](#) have a workforce development tool for providing effective supervision
- [MVSC](#) offer a template supervision policy along with an example form that could be used in supervision meetings
- [Small Charity Support](#) have produced an example supervision policy for charities

### **What are local organisations and groups doing?**

- [The Trust for Developing Communities](#) have shared their supervision policy
- [Grace Eyre](#) have published their capability policy
- [The Resource Centre](#) have also shared their capability policy

## Data Protection and Fundraising

### Confidentiality policy

A confidentiality policy shows that the organisation understands the vital need to keep records confidentially in a safe place and informs all staff members how this should be done.

A confidentiality policy should include:

- The sort of personal information the organisation gathers and why
- When and how personal information is accessed
- Who can access personal information
- Record keeping processes and security

#### What are national organisations and groups doing?

- [VAI](#) have provided a template for a confidentiality policy
- [Community Southwark](#) provide a template for a confidentiality policy
- [GRCC](#) also provide a useful template

#### What are local organisations and groups doing?

- [The Trust for Developing Communities](#) have shared their confidentiality policy
- [Healthwatch Brighton and Hove](#) have shared their confidentiality policy
- [Community Works](#) data protection and confidentiality policy

### Data protection policy

**Special note:** On 25 May 2018, data protection law will change with the introduction of the European General Data Protection Regulation (GDPR). It is a significant change for all organisations that hold and process personal data. Voluntary and community organisations will need to overhaul their privacy and data policies in order to be compliant with the new and more stringent regulatory framework.

Brexit will not affect the introduction of this legislation as the UK will still be a member of the European Union (EU) at the date of implementation, and the government plans to use the new Data Protection Bill to incorporate the GDPR into UK law.

A lot of what's in the GDPR mirrors current law under the Data Protection Act 1998 and guidance published by the [Information Commissioner's Office](#) (ICO). However, GDPR also introduces some new rights and obligations and makes changes to some existing concepts.

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Many of the regulations in the GDPR are designed to promote increased transparency and accountability. The legislation demands more rigorous and accountable data practices. Whilst not an exhaustive list some of the key differences to be aware of are:

- **increased enforcement powers:** maximum fines of up to €20 million or 4% of total annual worldwide turnover of the preceding year, whichever is higher
- **extended geographical scope:** non-EU businesses will be subject to the regulation if they provide their service to EU organisations or monitor the behaviour of EU residents
- **consent:** more rigorous criteria will be applied to obtaining individuals' consent. It must be freely given, specific, informed and unambiguous eg fundraising consent may not be valid if it is given when grouped with non-fundraising matters
- **opt-in:** crucially, where consent is involved, you must gain explicit, opt-in consent
- **profiling:** individuals will have the right to object to profiling, which includes most forms of online tracking and wealth screening
- **the right to be forgotten:** individuals will have the right to request that you delete all their personal data
- **enhanced individual rights:** individuals will have enhanced rights with new provisions covering the right to access data (replacing subject access requests), the right to be forgotten (the right to request that an organisation delete all their personal data) and the right to data portability
- **reporting obligations:** you will also have a duty to report certain types of data breach to the ICO and, in some cases, to the individuals affected

The most up-to-date links to resources and further information on GDPR can be found on our website <http://www.bhcommunityworks.org.uk/voluntary-sector/resources/data-protection/>

#### **What are national organisations and groups doing?**

- The **ICO** is the UK regulator responsible for interpreting and enforcing GDPR. Their website is the best place to start. It's regularly updated as new materials become available and it contains links to other sources, including guidelines from the Article 29 Working Party of European Data Protection Authorities. Visit their dedicated [ICO online information hub on the GDPR](#)
- **NCVO** has a dedicated webpage on [data protection and GDPR](#) for trustees and senior staff

The local examples below were shared before the advent of GDPR and are not intended to represent policies that 'satisfy' GDPR requirements. It is vital to ensure that when creating your own policy you consult sources such as the Information Commissioner Office to ensure that your policy contains all necessary information.

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### What are local organisations and groups doing?

- [The Trust for Developing Communities](#) have shared their data protection policy
- [Healthwatch Brighton and Hove](#) have published their data protection policy
- [Community Works](#) data protection and confidentiality policy

### Fundraising policy

A fundraising policy allows your staff and volunteers to be aware of the standard that is expected of them when fundraising by both your organisation and the law. Fundraisers should be aware of the Code of Fundraising Practice and act in compliance with it, the policy should detail the requirements in the Code; it should:

- Highlight the requirement for clear messages to the recipient regarding how to easily stop receiving communication such as letters or phone calls
- Also the requirement to end a call when asked to do so
- State that the minimum font sizes for opt-in/out statements are the same as any text which asks for recipient's details and any specifying donation amount (in the absence of these, the opt-in/out font must not be smaller than size 10).
- Make it explicit that selling an individual's personal information is banned, as is sharing their data without their clear consent.
- Make it clear that the organisation must not exaggerate facts regarding beneficiaries

### What are national organisations and groups doing?

- **The Fundraising Regulator** has published the [Code of Fundraising Practice](#), including both legal requirements and professional standard. It also provides a clear [rulebook](#) for street and door-to-door fundraising
- **Marie Curie** provide a [fundraising ethical statement](#) where they state their compliance to the Charity Commission and UK law and to the [Fundraising Regulator](#)

### What are local organisations and groups doing?

- [The University of Brighton](#) has shared their fundraising code of conduct which details the standard that their donors can expect of them and how they conduct their fundraising activity

## Financial

### Financial management policy

This policy should cover the organisations' accounting policies, systems and procedures (eg the input, processing, output, control and distribution of financial data). It has been developed to set out the accounting policies and procedures that will:

- Ensure that the organisations' books of accounts are prepared to conform to sound accounting principles and practices.
- Enable the management to obtain accurate and timely financial reports on monthly basis, thereby promoting sound financial management.
- Ensure correct and accountable use of funds and other resources. The approach used is in line with generally accepted accounting principles and organisations best practice reporting requirements.

The main purposes of the policy are:

- To assist in the maintenance of controls.
- To provide a training and monitoring resource.
- To be used as a reference document by the staff, management, auditors and other stakeholders.

#### What are national organisations and groups doing?

- [NCVO KnowHow NonProfit](#) offer guidance on the basics of financial management
- [Volunteer Centre West Berkshire](#) offer model financial policies as well as template book keeping and cash flow spreadsheets
- [VAI](#) also offers a financial policy example along with other useful financial templates and plenty of links to more information

#### What are local organisations and charities doing?

- [The Resource Centre](#) have provided guidelines as well as a template financial policy. They have also published their [own policy](#)
- [The Trust for Developing Communities](#) have shared their financial policy and procedure
- [Healthwatch Brighton and Hove](#) have also shared their financial policy and procedures

### Sustainable purchasing policy

It is important that the organisation's commitment to sustainable purchasing is viable and clearly communicated.

A sustainable purchasing policy should include:

- Clear sustainability objectives
- Commitment to key policy principles including:

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- Spend analysis and prioritisation
- Demand review
- Sustainability review of planned purchases and identification of procurement actions to contribute to sustainability objectives
- Whole life costing
- Social enterprise and SME engagement
- Consideration of mandatory minimum standards
- Innovation and supplier development
- Training and implementation
- Communication and reporting
- Commitment to review policy to reflect key policy developments

#### **What are national organisations and groups doing?**

- [Forum for the Future](#) offers guidance and advice on sustainable procurement
- The [CFDG](#) (Charity Finance Directors' Group) have shared their sustainable procurement policy
- [Business in the Community](#) have also share their policy
- The [Charity Commission](#) has shared their action plan for sustainable purchasing

#### **What are local organisations and groups doing?**

- [Brighton and Hove City Council](#) have shared their sustainability policy
- [The University of Brighton](#) has shared their sustainable procurement policy
- [Grace Eyre](#) have published their purchasing policy

## Organisational

### Environmental policy

An environmental policy is an agreed documented statement of a charity's stance towards the environment in which it operates and how the organisation intends to minimise its negative impact on it.

A good environmental policy should:

- Highlight the organisation's intent to reduce its carbon footprint, improve recycling, reduce reliance on packaging, minimising waste and improve efficiencies on finite natural resources in all of the company's operations and in all departments
- Should cover water and energy as well as transport. A far reaching policy might also include biodiversity and how to improve on the premises
- Say what the key objectives that the company is following, who is accountable and how the objectives are going to be achieved

#### What are national organisations and groups doing?

- [Environmentalpolicy.org](http://Environmentalpolicy.org) have useful information on developing an environmental policy and have sample environmental policies
- The [Charities Commission](http://Charities Commission) have published a report on charities and environmental responsibility
- [VAI](http://VAI) offer an environmental policy template

#### What are local groups and organisations doing?

- [The Trust for Developing Communities](http://The Trust for Developing Communities) have shared their environmental and sustainability policy
- [Community Works](http://Community Works) environmental policy
- [The Hanover Community Association](http://The Hanover Community Association) have shared their environmental policy

### Safeguarding policy

#### Safeguarding

### Safeguarding policy

The policy statement should make clear to staff, parents and children what you and your organisation will do to keep children and vulnerable adults safe

A safeguarding policy should:

- Set out what your organisation wants to say about keeping children safe
- Set out why your organisation is taking these steps

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- How your organisation is going to meet this responsibility with reference to the [Pan-Sussex Child Protection & Safeguarding Procedures](#) and including contact with Local Area Designated Office (LADO) – see note below for further details
- Lay out who the policy applies and relates to
- How your organisation will put the policy into action and how it links to other relevant policies and procedures eg taking photographs and videos, internet use, recruitment
- Identify the organisation, its purpose and function
- Recognise the needs of children and vulnerable adults from minority ethnic groups and disabled children and adults, especially around communication
- Briefly state the main law and guidance that supports the policy
- Your organisation will also need an action plan that states how you will ensure that everyone is aware of and understands your safeguards. This needs to explain how you will tell everyone about the safeguards, including disabled people and people who use different languages

### **A note on the Local Area Designated Officer**

The Local Authority Designated Officer (LADO), has overall responsibility for the management of allegations of Abuse against Adults who work with Children. The LADO provides advice and guidance, liaises with the Police, Social Care Teams, regulatory bodies such as Ofsted and other organisations as needed and ensures a consistent, fair and thorough process for both child and adult.

All staff have a responsibility to report if they believe a member of staff is harming or using unacceptable behaviour towards a child. Information may come to light about behaviour outside of the workplace which could indicate a breach of acceptable professional conduct.

The Local Authority Designated Officer (LADO) is responsible for the oversight and management of allegations made against employees. Consequently they should be informed of all allegations that come to an employer's attention.

The LADO will provide advice, guidance and help to determine whether a concern or allegation sits within the scope of safeguarding procedures. They have responsibility for ensuring the workforce is safe by managing allegations of abuse or misconduct of professionals working with children, offering advice and making referrals to the relevant bodies as appropriate.

For contact information and further information on the LADO role for:

#### **Brighton and Hove City Council visit -**

[http://www.brightonandhovelscb.org.uk/professionals/prof\\_lado/](http://www.brightonandhovelscb.org.uk/professionals/prof_lado/)

#### **West Sussex –**

<http://www.westsussexscb.org.uk/professionals/concerns-at-work-2/lado-local-authority-designated-officer/>

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### What are national organisations and groups doing?

- [NSPCC](#) provide clear guidance for a child safeguarding policy including an example policy
- [GRCC](#) offer a template for a charity safeguarding policy
- [VAI](#) offers guidance for child safeguarding and guidance along with an example policy for adult safeguarding

### What are local organisations and groups doing?

- [The Trust for Developing Communities](#) have shared their child protection and duty to vulnerable adult's policy
- [Healthwatch Brighton and Hove](#) have shared their safeguarding policies
- [The Resource Centre](#) have shared their child and adult safeguarding policy

### Ethical business development policy

An ethical business development policy sets out general principles of corporate ethics that an organisation will guide itself by. Furthermore, an ethical policy is an effective way of demonstrating a corporate commitment to honest and proper business practices, from the way an organisation treats its employees to how it deals with its environmental impact. A clear ethics policy can also help ensure that employees know the sort of behaviour expected from them, which in turn can help pre-empt potentially embarrassing or damaging situations occurring where employees acting on behalf of the company act unethically.

An ethical policy should include:

- Human Rights
- Worker's Rights
- Environmental Issues
- Conflicts of Interest
- Information and Confidentiality
- Suppliers and Partners
- Bribery and Corruption

It is likely that issues detailed in this policy will relate to several other specific policies such as a full whistleblowing or environmental policy and guidance to these should be included.

### What are national organisations and groups doing?

- [Simply-Docs](#) offer guidance on developing an ethical policy
- [Non Prof Network](#) provides an ethics policy template
- [MVSC](#) provide their business ethics and anti-bribery policy

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### What are local organisations and groups doing?

- [Grace Eyre](#) have published their corporate social responsibility policy

### Complaints policy

A complaints policy is aimed at people outside of the organisation, such as service users or members of the public, who wish to make a formal complaint about the charity or a specific member of staff. A complaints policy should include:

- A commitment to resolve complaints and make changes as a result
- A commitment to the confidentiality of complaints received
- A complaints form to be filled in by the complainant
- The procedure which will be triggered upon receiving the complaint (both formal and informal) including who will be investigating and the timeframe within which the complainant can expect to learn the outcome
- What the complainant can do if they are not happy with the outcome of the investigation

### What are national organisations and groups doing?

- [VAI](#) have shared a template complaints policy
- [MVSC](#) offer both a template complaints policy as well as a complaints notice

### What are local organisations and groups doing?

- [Healthwatch](#) have shared their complaints procedure
- [Amaze](#) have shared their complaints policy
- [Grace Eyre](#) have also shared their complaints policy.

### Insurance

If your charity employs people or operates vehicles, legally it must have insurance. If paid staff are employed by the charity then it must have employers' liability insurance with at least £5 million worth of cover to protect the charity. Any vehicles on public roads must be insured.

Different charities may require differing insurance depending on their activities (eg. Events), and it is recommended to speak with more than one provider to so that you have several plans to compare and find the appropriate policy for the organisations operations and size. Other types of insurance that may be required include:

- Public liability insurance
- Buildings insurance

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- Contents insurance
- Legal expenses insurance
- Trustees indemnity

It is important to regularly review your charity's insurance policies, as there may have been changes such as expansion that require extra coverage, or the ceasing of certain activities that mean an insurance policy can be removed, such as no longer operating vehicles. There are many insurance brokers that operate specifically with charities and so are more likely to understand the needs of charities of various sizes and can compare policies to find the most appropriate for your organisation.

#### **Further advice**

- [The Charity Commission](#) offers advice about when a charity needs to be insured and what type may be needed
- [Small Charities coalition](#) offers links to guidance on insurance and risk and also to charity insurance brokers.
- [UK Charity Insurance](#) provides an example list of different types of cover that a charity may need, such as public liability or contents cover and offers a free review of current insurance.



## Governance

### Conflict of interest policy

When making decisions, there is a legal duty to act in the organisation's best interests. If there's a decision to be made where a person has a personal or other interest, this is a conflict of interest and they won't be able to comply with their duty. This policy applies to trustees and decision making staff within the organisation.

A conflict of interest policy should:

- Provide a definition of conflicts of interest
- State the organisation's commitment to addressing the issue of conflicts of interest
- Define the nature of conflict of interest risk in the organisation and set out clearly the actions or behaviours that individuals are expected to follow, or avoid, in order to minimise it
- Set out staff and board members' obligations in relation to the conflicts of interest policy
- Set out guidance for identifying conflicts of interest that may arise and arrangements for reporting them
- Set out a process for managing conflicts of interests, including responsibilities for decision making and the decision making criteria
- Establish a mechanism for recording interests that can commonly give rise to a conflict. This mechanism should include procedures for monitoring and updating this policy and procedures where necessary
- Set out the consequences of non-compliance with the policy eg disciplinary action

#### What are national organisations and groups doing?

- [icsa](#) have provided a guidance note on developing a conflict of interest policy
- [GOV.UK](#) also have a guide on managing conflicts of interest
- [Governance Pages](#) have provided a template of a conflict of interest policy that covers all the basics that should be included, an example of a more comprehensive conflict of interest policy for charitable companies and a simple form to record each committee member's interests

### Gift acceptance policy

It is important to have a policy regarding gift acceptance that sets out a clear procedure. Having a policy in this area can help protect the charity, and ensure that there is consistency in gift receipt.

A policy should include:

- A clarification of trustees' legal position regarding the acceptance of gifts.
- A description of which gifts are acceptable and how these may be given.
- Clear distinctions between trustees, fundraisers, volunteers and staff and when each may or may not accept each type of gift

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- A statement on the organisation's core values that must be upheld and a clear commitment to anti-corruption and bribery
- Examples of gifts that should not be accepted, such as property or land that the organisation would be unable to manage

#### What are national organisations and groups doing?

- [The Institution of Fundraising](#) offers clear guidance on what should be included in a charity's gift acceptance policy and what the legal requirements are
- [Community Foundation](#) provide their gift acceptance policy
- [Durham University](#) also provide their policy

#### What are local organisations and groups doing?

- [Brighton College](#) provide their gift acceptance policy
- [Brighton and Hove City Council](#) include policy on gift acceptance on page 58 of their Employee Rights & Responsibilities Document

#### Trustee code of conduct

Trustees are volunteers who are appointed to the board with the highest governing authority in the charity and each have equal responsibility (they may be called something else such as directors or governors). By creating a document such as a trustee's code of conduct each existing and new member of this body is able to see what is expected of them. It should express what the responsibilities are of trustees, what the regulations exist around becoming a trustee (such as minimum age or bankruptcy status) and set out the values of the charity which should be upheld. According to The Charity Commission, trustees have six main duties:

- Ensuring that the charity carries out its purpose for the public benefit
- Complying with the charity's governing document and with the law
- Acting in the charity's best interests
- Ensuring the charity is accountable
- Managing the charity's resources responsibly
- Acting with reasonable care and skill

#### What are national organisations and groups doing?

- [The Charity Commission](#) offers guidance about what a trustee's duties are, how they should act and what the legalities are
- [VAI](#) offer a template trustee code of conduct
- [MVSC](#) have shared a template trustee code of conduct

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### What are local organisations and groups doing?

- [Grace Eyre](#) have shared their role of trustees document

### Due diligence

Due diligence refers to the checks that must be carried out by trustees in relation to donors, beneficiaries and partners. This is to ensure that all money donated to the charity comes from a reputable source with the right intentions, and that those who are given money by the organisation use it for the intended purpose. When choosing to work with a new partner it's important to assess whether they are trustworthy and legitimate and to seek legal advice if you're unsure. It is part of the legal duties of a trustee to carry out due diligence and ensure that they follow the 'know your' principles when selecting donors, partners and beneficiaries, which are as follows:

- Identify
- Verify
- Know what their business is
- Know what they business is with your organisation
- Look out for suspicious conduct or requests

### Further advice

- [The Charity Commission](#) provides useful guides about what due diligence is and why it should be carried out and also have several tools to use when assessing risk. They have also produced a specific [guide](#) about how to carry out due diligence when merging with another charity.

### Urgent decision making procedure

Organisations may have a specific decision making process, usually as part of regular meetings of the management committee (including trustees, management etc.) where issues are discussed and an action decided on by the whole board. There may be times when a decision must be made urgently and therefore outside of this procedure. This may be when action must be taken before another meeting is scheduled or a significant number of the board are unavailable for a meeting. In this case, an 'urgency' policy can be followed, which should include:

- What circumstances make a decision urgent; for example, that it must be acted upon sooner than the next board meeting

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- Who is able to make the decision eg the chair of the management committee, a specific trustee
- Whether there are certain requirements that can affect whether a decision may be made outside of normal procedure, for example, if it would result in over a certain level of expenditure it cannot be made urgently and must pass the normal procedure
- The process by which it must be decided, for example: does the decision have to be run past a certain number of people, or do one or two people have the authority to pass it
- What must be done next - eg. a report to be written about what decision was taken, its outcomes and why it was urgent to be presented at the next committee meeting

**What are national organisations and groups doing?**

- [New Forest District Council](#) have published their procedure for making urgent decisions
- [Norfolk Council](#) have also published their procedure