

# AdviceUK

## The Governance Project

### Organisation self-assessment template

# The Governance Project – Organisation self-assessment template

Standard					Current Practice	Evidence	Action	By Whom	Deadline
	Not met (0%)	Partly met (33%)	Largely met (66%)	Fully met (100%)					
<b>1. General</b>	<b>Section 2 p12 of the Effective Governance Manual covers legal &amp; charitable status, section 4 p34 covers board roles</b>								
The organisation has a constitution or Memorandum and Articles of Association that has been reviewed for currency and relevance									
There is a clear structure for the Board covering numbers of members, co-optees, reserved places and sub committees									
Any sub-committees have clear terms of reference and lines of reporting									
Board members are clear about the legal or charitable status of the organisation									

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2. Recruitment	Section 4.2 p.35 covers recruiting and selecting new members + p42 includes sample board skills audit								
The Board has conducted a skills audit of its members and recruits new members to fill any gaps. (model board skills audit p42)									
The Board recruits new members by advertising in the appropriate press, journals, communities, advice networks etc.									
The Board co-opts new members to fill vacancies that remain unfilled									
All suitable applicants are interviewed by the Board as part of the recruitment process									
Recruitment of new members is not based on patronage or cronyism									
The Board has an appropriate mix of gender, ethnicity, age, sexuality etc									
The Board composition reflects the community it serves and no one sector is in the majority except where the constitution so demands (section 4 p34)									

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<b>3. Induction Training and Appraisal</b>	<b>Section 4.3 p33 covers supporting and retraining existing members</b>								
New Board members receive an induction into the organisation and a pack containing the governing document, job description, history of the organisation, a structure map, staff list etc. (section 4 p36 and 37)									
Induction includes shadowing and appropriate training									
Board members receive regular training based on the results of the skills audit and the need for updates in Company/Charity law or changing policy in the sector									
Every Board member receives an annual appraisal									
<b>4. Roles and Responsibilities</b>	<b>See Handout C p40 for a sample Board member job description</b>								
The Board has written job descriptions for Chair, Vice-Chair, Treasurer, Secretary and general board members (sample board member job description p41)									

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There is a written code of conduct for all Board members that details the overall duties and responsibilities to the organisation as a company and any legal or charity commission requirements									
All Board members are aware of their duties and responsibilities and ensure that all requirements of Company Law or the Charity Commission are met									
Board members are aware of the boundaries of their role especially in relation to the operational management and delivery of the service									
There is a conflict of interest policy and a register of Board members' interests is maintained									
<b>5. Board Meetings</b>									
There is an annual schedule of meetings									
Board members attend the majority of meetings									
An Annual General									

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Meeting (AGM) is held at least every 15 months									
Minutes and records of meetings and attendance are produced and maintained									
Board members are encouraged to participate fully in discussions/decision making at meetings									
The Director attends all board meetings; staff are invited to attend only to deliver or answer questions on a specific report or service area.									
<b>6. Relationship with Chief Executive</b>	<b>Section 3.2 p32 covers distinguishing governance from management</b>								
The Chair of the Board (or other designated member) carries out an annual appraisal of the Director									
There are regular scheduled meetings between the Chair and the Director									
The role of the Director at Board Meetings is clearly defined									
There is a clear scheme of delegation that covers finance, line management of staff and recruitment									

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<b>7. Planning</b>	<b>Section 5 starting at p52 covers strategic planning</b>								
Board members agree the direction, position and priorities for the organization									
Board members participate fully in the development of the strategic/business plan									
The Board reviews the business plan at least annually									
The Board decides on and revises major resource decisions									
The Board oversees and ensures that a risk assessment is carried out on the business plan									
<b>8. Finance</b>	<b>Section 7 starting at page 81 covers finance</b>								
The Board agrees annual budgets and ensures the organization has sufficient funds to carry out its planned activities									
Board members have all received adequate training to enable them to monitor finances									
The Board ensures that audited accounts that comply with company law and the									

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Charity Commission SORP are prepared and submitted annually									
<b>9. Human Resources</b>	<b>Section 8 starting at p88 covers human resources</b>								
Board members are aware that they are the employers and must operate fair procedures									
The Board oversees and agrees the organisational structure									
The Board agrees any recruitment process within the scheme of delegation									
The Board ensures that it is aware of and that the organisation complies with all relevant employment legislation									
Board members are aware of their responsibility regarding redundancies and their role in disciplinary and grievance procedures									
<b>9. Monitoring and Evaluation</b>	<b>Section 4.4 page 37 covers monitoring and evaluating services</b>								
The Board has a schedule of organisational policies to be reviewed and oversees their implementation and									

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operation									
The Board receives regular reports on the organisation’s financial position									
The Board receives regular reports on the work of the organization and monitors progress/compliance with any targets, grant conditions, contracts, SLAs etc									
<b>10. Other</b>	<b>Section 4 page 34 covers board roles &amp; responsibilities</b>								
The Board oversees regular reports of health & safety inspections and details of any incidents for review									
The Board ensures that there is adequate insurance cover for Employers and Public liability, professional indemnity, buildings, contents, etc.									
The Board reviews at least annually records of any complaints and user feedback and incorporates relevant issues into policies and the planning process									
<b>11. Small/new organisations</b>	<b>Section 3 starting at page 29 covers governance including distinguishing governance from managment</b>								
Board members are clear about the									

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difference between their role as board members and their role as volunteers									
Board members are aware of the potential conflicts of interest where they carry out both roles									
Board members fully understand how policies and procedures may apply differently to them in their role as board members from in their role as volunteers									
Where board members take on operational roles clear guidelines exist and are adhered to									
Board members understand the need to take on a strategic role and relinquish any operational role when the organisation employs a member of staff									