

## SHAP POLICIES AND PROCEDURES CHECKLIST

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### PURPOSE

SHAP has a number of policies and procedures to help ensure it is well run.

They provide:

- appropriate **controls** including a framework for **delegation** by the Board to contractors, Associates or volunteers, by setting out how things should be done and what is expected of people;
- **Transparency and accountability** that the Board will be conducting the work of the organisation appropriately;
- A framework for **compliance with regulatory requirements**;
- The organisational approach to **risk management**.

A policy states what needs to happen; a procedure states how it will happen. Procedures follows on from policies and can be a separate document or a section of the same document.

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### VERSION CONTROL

Every policy and procedure will have the following version control table to ensure that only current versions are used.

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### REVIEW

This policy will be reviewed every three years or sooner if legal or regulatory changes take place.

Signed:

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SHAP Chairman

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Date

Document Title	Policy/Procedure name
Version	
Release Date	5 <sup>th</sup> April 2018
Next Review Date	5 <sup>th</sup> April 2021
Document Type	Policy/Procedure
Sponsor	Name
Author	Name

## POLICY AND PROCEDURE REVIEW

The Board lead member for SHAP policies and procedures is confirmed annually by the Board.

Policy and procedure priorities for 2018 include:

- Governance
- Core policies – regulation and compliance
- Working with others – partners, volunteers, associates, suppliers and contractors
- Communications – website, IT use and social media.

The full list of current and potential policies and procedures are shown below:

Policy/procedure issue	Name of policy/procedure OR Brief statement on the SHAP response to the issue	IN PLACE		Still required	
		Date approved		Policy	Proc.
		Policy	Proc.	Policy	Proc.
<b>Governance</b>					
Board	See Articles of Association and Code of Conduct for Board members				
Financial management	<ul style="list-style-type: none"> <li>• Incoming funds</li> <li>• Authorisation of budgets</li> <li>• Approval of invoices</li> <li>• Payment of invoices</li> <li>• Annual accounts</li> </ul>				
Anti-bribery	Anti-Bribery Policy				

Fund raising	Income generation strategy including: <ul style="list-style-type: none"> <li>• Membership/partnership fees</li> <li>• Fundraising and event income</li> <li>• Sponsorship</li> <li>• Corporate Social Responsibility</li> </ul>				
Complaints	Complaints and Feedback Procedure				
AGM	See Articles of Association				
Insurance and Audit	Directors Liability to be held Data Breach Insurance to be held Contractors to hold their own insurances				
Petty cash	No petty cash is held				
Reserves					
Board (and sub-committee/s) Terms of Reference	See Articles of Association				
Role Descriptions for officers	<ul style="list-style-type: none"> <li>• Chair</li> <li>• Treasurer</li> <li>• Secretary</li> </ul> Any others?				
Conflicts of interest	See Code of Conduct				
Expenses	Board Members and Directors are not paid expenses				
Attendance	In person or remotely at Board meetings				
Induction procedure and checklist	<ul style="list-style-type: none"> <li>• Board</li> <li>• Secretariat</li> <li>• Volunteers</li> <li>• Associates</li> <li>• Contractors/consultants</li> </ul>				
Bullying and harassment					
Code of Conduct	<ul style="list-style-type: none"> <li>• Board</li> <li>• Secretariat</li> <li>• Volunteers</li> <li>• Associates</li> <li>• Members and partners</li> <li>• Sponsors</li> <li>• Contractors/consultants</li> </ul>				
Exit interviews					

Grievance procedure					
Disciplinary procedure					
IP / commercially sensitive information					
Environmental protection	Environmental Policy				
<b>Core policies – regulation and compliance</b>					
Data protection and GDPR					
Equality and Diversity	Equality and Diversity Policy				
Health and Safety	<ul style="list-style-type: none"> <li>• Attending external meetings</li> <li>• Attending site visits</li> <li>• Remote or lone working</li> <li>• Workstation assessment procedure</li> <li>• Fire safety</li> <li>• Mitigation</li> <li>• Insurance</li> <li>• Risk management</li> </ul>				
Working with children and vulnerable adults					
<b>Working with others – partners, volunteers, associates, suppliers and contractors</b>					
Associate agreement					
Volunteer agreement	<ul style="list-style-type: none"> <li>• When you would use volunteers</li> <li>• How to recruit and assess</li> <li>• Management and supervision</li> <li>• Expenses</li> <li>• Workplace and equipment</li> <li>• Volunteering hours and time period</li> <li>• Clarification of not becoming an employee</li> </ul>				
Supplier/contractor/consultant appointment	<p>Procurement process including:</p> <ul style="list-style-type: none"> <li>• Sign off of scope of works, timescales and budgets by Board</li> <li>• Procurement processes and thresholds</li> <li>• Letter of appointment</li> <li>• Award of contract</li> </ul>				
Working with partners – Memorandum of Understanding					

<b>Communications – website, IT use and social media</b>					
Website management	Management of the website is the responsibility of the SHAP secretariat provider, who reports to the SHAP Board				
Acceptable use of IT	Email and internet use				
Working with the media	Who is authorised to say what				
Picture/photograph protocol	Obtaining authorisation Acknowledging authorship and ownership				