

# Organisational Policy & Procedures Manual

This outline has been designed to assist smaller community organisations develop written policies and organisational manuals.

**SAMPLE ONLY**

## What are Policies & Procedures?

A **Policy** is a statement of agreed intent that clearly and unequivocally sets out an organisation's views with respect to a particular matter.

- It is a set of principles or rules that provide a definite direction for an organisation
- Policies assist in defining what must be done

A **Procedure/Practice** is a clear step-by-step method for implementing an organisation's policy or responsibility.

- Procedures describe a logical sequence of activities or processes that are to be followed to complete a task or function in a correct and consistent manner
- Procedures can be produced in the form of:
  - flowcharts
  - checklists
  - written steps of the process

**Note:** For every policy you establish, you will need to look at creating supporting procedures

## Why have Policy?

- So people working in an organisation can have a framework for actions that help them get on with the job they need to do
- So people in the organisation don't have to keep on discussing and rediscussing the same issues every time they arise – one thought out decision can be applied to many similar cases – efficiency
- So legal and other requirements can be met
- A tool in quality improvement

## What is a Policy & Procedures Manual?

A Policy & Procedures Manual is a written record of the agreed policies and practices of an organisation. It should be readily available to all people involved in the management or work of an organisation. The Manual should be kept in a loose leaf file so that it can be updated and added to as policies and practices are reviewed and amended.

***Unwritten policies and procedures often lead to confusion and conflict.***

## Steps in writing policies

In small community organisations there are three processes that are commonly used for developing policy:

1. The policy/planning/evaluation day (or weekend)
2. A consultative process for developing particular policies
3. A policy review process

In larger organisations, the processes are likely to be more formalised:

- Standing Policy & Procedures Committee (s) for different areas
- Forms Committee (s)
- Recommendations and decisions passing through several levels of management

### **1. Planning/Evaluation Day**

The stakeholders in the organisation come together for a day and develop key organisation policies such as:

- Mission
- Organisational Philosophy
- Aims, objectives, strategies
- Determining priorities for policy development during the coming year

***Tips: Involve all the stakeholders; get a facilitator, especially if there are big value differences between those participating; use lots of butchers paper to keep track of the content of the day; and have a good time.***

## 2. Policy Development Process

- a. Seek commitment to developing policy
- b. Collectively identify an area for policy development
- c. Staff or another group, brainstorm the issues involved (*Tip: focus on naming the issues; don't necessarily attempt to resolve the issues*)
- d. Write a first draft
- e. Distribute the draft and consult across the organisation for comment
- f. There may be a meeting to review all the feedback, written and verbal and to amend and revise the draft (*Tip: where there are major differences of view, name them, don't resolve them – the Management Committee might be good for a major policy debate*)
- g. Recirculate the draft and continue this process as necessary
- h. Write a final draft
- i. Prepare a cover sheet for the Board/Management Committee identifying the steps that were used in developing the draft policy
- j. Decision is made by the Board/Management Committee
- k. Ensure the Board/Management Committee endorse the policy (*Tip: put in the date on which the policy was ratified*)
- l. The policy is incorporated into the Policy and Procedures Manual
- m. Set a date for review of the policy
- n. The policy is communicated to all the relevant people and if necessary, a date is set for a training/information session to ensure all staff have the knowledge and skills to implement the policy

### **3. Policy Review Process**

A staff meeting or a Board/Management Committee meeting once every 12 months to look at the organisational manual and ask whether the policy in it is still relevant and appropriate. If not, a process like the one above would be followed to revise existing policy or develop new policy

***Tip: In small organisations wanting to develop an organisational manual, consider the following:***

- ***Devote time at a staff meeting at least once a month to brainstorm issues related to one area of policy***
- ***Review the draft of a policy that has been prepared as a result of previous brainstorming***
- ***At every Board/Management Committee meeting, devote some time to reviewing a draft policy and making decisions on it.***

## What could the table of contents look like?

The following is an **example table of contents** of an organisations policies and procedures manual.

**Introduction:** This section can outline the purpose of the manual and the intended users

### Section 1: Service Management

#### **A. Overview of the Program/Service**

1. History of the service/program
2. Mission
3. Aims, goals & objectives
4. Philosophy
5. Service Code of Practice
6. Outcomes

#### **B. Standards, Rights & Responsibilities**

1. Service Standards
2. Organisation Code of Conduct
3. Organisation Rights & Responsibilities
4. Volunteer Rights & Responsibilities
5. Staff rights & Responsibilities
6. Advisory Committee rights & Responsibilities
7. Policy on Conflict of Interest

#### **C. Incorporation**

1. A copy of the constitution
2. A copy of the Association's Incorporation Act
3. Information on the requirements of the Incorporation
4. A copy of the register of Member Organisations
5. A copy of the register of Management Committee Members
6. Annual General Meeting requirements
7. Copies of forms such as:
  - Application for membership

- Agenda
- Notice of Annual General Meeting
- Election of Officers
- Proxy
- Nominations

#### **D. Board/Management Committee**

1. Committee responsibilities
  - legal responsibilities
  - Policy & Planning
  - Financial
  - Staff
  - Other committee responsibilities
2. Roles and responsibilities of Board/Management Committee Members
  - Chairperson
  - Secretary
  - Treasurer
  - Other Management Committee Members
3. Orientation Kit for new Board/Committee Members
4. Terms of Agreement for Board/Committee Members
5. Code of Behaviour for Management Committee members
6. Agenda format for Board/Management Committee Meetings
  - Time
  - Attendance
  - Agenda
  - Quorum
  - Role of Coordinator/Manager at Management Committee Meetings
  - Minutes proforma

#### **E. Organisational Structures**

1. Organisational Chart/Diagram
2. Accountability Chart
3. Organisation Meetings and Processes

#### **F. Planning and Evaluation**

*(Evaluation attempts to answer questions about such matters as effectiveness, efficiency, adequacy and appropriateness of services)*



1. Evaluation Policy & Plan
2. Evaluation Questions
3. Evaluation Strategies
  - Ongoing monitoring
  - Annual presentation of data
  - Consumer feedback
  - Feedback from other community groups
  - Planning day
  - Agenda
4. Data Collection Sheets
5. Data Reporting Format
6. Client/consumer questionnaires
7. Community group questionnaires

## **G. Insurance**

*(Covers the cost that may result from action or inaction of organisational members during the course of their work)*

1. Policy regarding Insurance
2. Insurance and Indemnity policies
  - Students
  - Volunteer Personal Accident
  - Public Liability
  - Professional Indemnity
  - Directors & Officers (Management Committee)
  - Organisation vehicle
  - Volunteer vehicle
3. Register of Insurance Policies detailing all current Insurance Policies

## **H. Assets Management**

1. The Assets Register

## **I. Funding Agreements**

1. Summary of current funding
2. Copies of current funding agreements
3. Details of accountability requirements for each Funding source (including reporting requirements)
4. Policies and Procedures on applying for grants/funds
5. Policy & Procedure on Fundraising

## **J. Financial Management**

1. Role of the committee and Treasurer
2. Principles of Financial Management
3. Bank Account details
4. Financial Report Formats
5. Project Budget Sheet
6. Project Reconciliation Sheet
7. Financial information – Recording and Reporting timeframes
8. Categories of Receipts and Payments

## **K. Use of Equipment & Vehicles**

1. Policy on use of Private Vehicles
2. Policy on use of Organisation Vehicles
3. Policy on Depreciation
4. Register of Motor Vehicles
5. Motor Vehicle Log Sheet
6. Motor Vehicle Accident Procedures
7. Policy on Traffic Infringements incurred during service delivery
8. Policy on Transporting clients in vehicles
9. Procedure for Transporting clients in vehicles
10. Motor Vehicle Breakdown Procedures
11. Motor Vehicle Maintenance

## **L. Occupational Health, Safety & Welfare**

1. Policy on Health & Safety
2. Workplace Health & Safety Act 1995 and Amendments
3. OHS checklist
4. Workplace accident procedures
5. Accident Reporting Form
6. OHS Incident Register
7. Injury/Insurance Record
8. OHS Communication Procedure
9. Certificate of Registration of a Workplace
10. Smoking Control Policy
11. Employee Safety Awareness Questionnaire
12. Manual Handling Procedures
13. Workplace Health & Safety Representative
14. Fire Control and Evacuation Procedure
15. Health & Safety Training on the causes and prevention of work related illnesses and injuries
  - Furniture & Equipment
  - Visual Display Units and Eye Strain
  - Stress
  - Worker security on home visits

16. First Aid Station
17. Workers Compensation
18. Volunteer Personal Accident Insurance

## **M. Service Delivery**

1. Promotion of services – Community Brochure
2. Consumer Information – Client Handbook
3. Prioritising Requests for Assistance
4. Client Assessment:
  - Decision:**
    - If Service is refused
    - If the Client is placed on a waiting list
  - Clients With Special Needs**
    - Non-English Speaking Clients
    - Aboriginal Clients
    - Clients who cannot read or write
    - Clients with disabilities – physical/intellectual
5. Assessment Records
6. Principles to be observed in Assessments
7. Privacy & Confidentiality in the Assessment Process
8. Privacy & Confidentiality of Information
9. Records – length of time Records are held
10. Identification
11. Training
12. Clients Rights & Responsibilities
13. Dealing with suspected carer or care recipient abuse
14. Suitability checks/Police checks for service delivery staff
15. Client Reviews:
  - Client Complaints Procedure
  - Clients Record Form
  - Dispute Resolution Process between clients and staff
  - Confidentiality of Complaints
  - Service Delivery completion/Exit
16. Referral
17. Referral Privacy & Confidentiality
18. Client Care Plans – Coordination with other Services
19. Care Plan Reviews
20. Care Plan protocols
21. Fees
  - Capacity to pay
  - Payment of fees
  - Scale of fees
  - Transport Services
  - Services for which fees are not charged
  - Clients in receipt of other services
  - Collection of fees
  - Appeals mechanism
19. Safety Precautions in Service Delivery

- Back Care
- Health & Hygiene Procedures
- Household Safety Precautions

## **Section 2: Human Resources**

### **N. Staff Recruitment**

1. Policy & Processes for recruitment of staff
2. Equal Employment Opportunity/Workplace Harassment Policies
3. Anti-Discrimination Laws
  - Federal Racial discrimination Act 1975
  - Federal Sex Discrimination Act 1984
  - Federal Disability Discrimination Act 1992
  - Queensland Anti-Discrimination Act 1991
4. Recruitment process for Paid Staff
  - Advertisements for staff positions
5. Short listing
  - The Short listing and Interview Panel
6. Interviewing policy and processes
7. Standard Interview Questions
8. Procedure for starting a new member of Staff
9. Appointments & Contracts
10. Suitability checks/police checks for employees
11. Staff Orientation Kit
12. Staff Personal File

### **O. Role Outlines & Conditions of Employment**

1. Role Outlines
2. Selection Criteria
3. Agreements of Employment
4. Copies of relevant Awards
5. Code of Behaviour for Staff
6. Confidentiality Agreement
7. Reporting requirements – A.T.O., Superannuation, Workers Compensation

### **P. Staff Management & Development**

1. Staff reporting Procedures and Formats
2. Staff travel
3. Staff Work at home
4. Timesheets
5. Record of Annual Leave
6. Policy on Staff Supervision and Performance Development
7. Policy on Training and Development of Staff

8. Team meetings
9. Performance Appraisals
10. Staff Performance Dispute and Grievance Procedure
  - Staff Performance Dispute
  - Staff Grievance Dispute
  - Appeal
  - Misconduct
11. Staff Performance Interview Note Sheet
12. Employee Exit Procedure
13. Exit Interview Record

## **Q. Volunteers**

1. Policy regarding volunteer involvement in the organisation
2. Volunteer Code of Conduct – Policy
3. Volunteer Code of Conduct
4. Recruitment Policy
5. Role Outlines for Identified Volunteer Positions
6. Initial Contact/Volunteer Application Forms
7. Registration
8. Reference Checks
9. Placement
10. Induction
11. Introductory Period
12. Statement of Understanding
13. Volunteer Personnel Record
14. Volunteer Training – Policy and Process
15. Rights of Volunteers
16. Responsibilities of Volunteers
17. Confidentiality of work done on behalf of the organisation
18. Confidential Information
19. Confidentiality Agreement
20. Recognition of Volunteer by paid staff
21. Performance Review
22. Volunteer Awards and acknowledgement
23. Reimbursement of expenses
24. Use of Motor Vehicles
25. Occupational Health & Safety
26. Suitability checks/police checks for volunteers
27. Personal Insurance Cover
28. Equal Opportunity
29. Sexual Harassment
30. Dispute/Grievance Resolution Policies and Procedures
  - Where a staff member has a dispute with a volunteer
  - Misconduct
  - Unsatisfactory performance
31. Inappropriate Behaviour and Volunteer Dismissal
32. Resignation
33. Volunteer Program Evaluation

## **R. Administration and Office Procedures**

Office Policy Document:

- Office Hours
- Absences and Lateness
- Attendance
- Dress Code
- Bulletin Board
- Computer Software (Unauthorised copying)
- Copyright/Ownership Issues
- Representing the Organisation
- Resources
- Personal Phone calls
- Gifts and Soliciting
- Office Security
- Using office equipment