

ORGANIZATION POLICY AUDIT

GOVERNANCE AREA	POLICY	DESCRIPTION	STATUS	COMMENTS
FRAMEWORK GOVERNANCE	Vision Statement	Statement of your organization's ideal future.	Yes No Needs Work	
	Mission Statement	Describes your organization's purpose or reason for existence (who, what, how).	Yes No Needs Work	
	Organizational Values and Belief Statements	States the fundamental beliefs of your organization.	Yes No Needs Work	
	Strategic Plan	Describes the organization's plan to guide the work of the board, staff and volunteers, (long term, often 3 – 5 years).	Yes No Needs Work	
	Planning Cycle	Describes your organization's planning process and what items are included in your plan, (e.g.: goals, outcomes, strategies, actions, etc.).	Yes No Needs Work	
	Business Plan or Work Plan (1year)	Describes the organization's yearly work plan (usually includes financial resources, budgets, etc.).	Yes No Needs Work	
	Annual Report	Describes what is included in the annual report, explains when it is done, who does it, etc.	Yes No Needs Work	

GOVERNANCE AREA	POLICY	DESCRIPTION	STATUS	COMMENTS
BOARD SELF GOVERNANCE	Making Policies	Describes the process for making policies. States what is included in policies. Describes roles and responsibilities regarding policy formation and implementation (who approves them, when they are reviewed, etc).	Yes No Needs Work	
	Governing Style	Describes the type and structure of the organization (policy governance or administrative governance). Describes the board's philosophy or approach to how the organization will be governed. Describes the board's decision making style.	Yes No Needs Work	
	Annual General Meeting Special General Meetings	Further describes what is stated in the bylaws (essential if the bylaws are vague). Should include date, notification, agenda, etc.	Yes No 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.	Yes No 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.	Yes No Needs Work	
	Roles and responsibilities and functions of the board	Further defines the bylaws and the roles and responsibilities of the board as a whole.	Yes No Needs Work	
	Board Chair/President Position	Further defines the bylaws, clearly states the responsibilities of the Chair/President (job description).	Yes No Needs Work	
	Board Vice Chair Position	Further defines the bylaws, clearly states the responsibilities of the Vice Chair (job description).	Yes No Needs Work	
	Board Secretary Position	Further defines the bylaws, clearly states the responsibilities of the Secretary (job description).	Yes No Needs Work	
	Board Treasurer Position	Further defines the bylaws, clearly states the responsibilities of the Treasury (job description).	Yes No Needs Work	
	Individual Board Members Responsibilities	States both the responsibilities and expectations of individual members, such as participation, commitment, attendance, etc. (job description).	Yes No Needs Work	
	Board committees	Further defines the bylaws and should describe what is included in each committee terms of reference, (e.g.: responsibilities, authority, membership, reporting, etc.).	Yes No Needs Work	

GOVERNANCE AREA	POLICY	DESCRIPTION	STATUS	COMMENTS
BOARD SELF GOVERNANCE (continued)	Board structure	Further defines the bylaws states how the organization is structured (i.e.: board membership, positions, Executive Committee, etc.).	Yes No Needs Work	
	Board Executive Committee	Further defines the bylaws and states the roles, responsibilities, accountability and reporting of the Executive Committee (if applicable).	Yes No Needs Work	
	Board member code of conduct	Clearly states the expectations for board members conduct, usually is formed that Board members sign (can include confidentiality agreements, etc.).	Yes No Needs Work	
	Conflict of Interest	Describes the process identifying and declaring a conflict of interest, and expectations once a conflict is identified.	Yes No Needs Work	
	Bylaws and Objectives Review	Further defines the bylaws by describing how and when the bylaws are reviewed, and when.	Yes No Needs Work	
	Confidentiality	Outlines the expectations and processes around protection of information and sharing of information.	Yes No Needs Work	
	In Camera Board Discussions	States when In Camera protocol is used, who is in attendance, what is recorded in the minutes, etc.	Yes No Needs Work	
	Board Meetings	Further defines the bylaws by stating the number of board meetings, who can call board meetings, etc.	Yes No Needs Work	
	Agenda Development and Schedule	Describes the process for the development of agendas, who does it, how board members contribute items, when agendas are distributed, etc.	Yes No Needs Work	
	Board Liability Insurance	Clearly states if the organization has Board Liability Insurance or not.	Yes No Needs Work	
Board remuneration	States what, if any, compensation is provided to board members.	Yes No Needs Work		

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OPERATIONAL: PROGRAM	Program Development	Describes the process for developing programs, including who does it, who approves, what information is required, how it will be monitored or measured, etc.	Yes No Needs Work	
	Treatment of Clients	Describes the expectations or philosophy of how your organization will treat their clients, and may state the approach or model used.	Yes No Needs Work	
	Access to Services	States who has access to services, if there is fee or subsidies, etc.	Yes No Needs Work	
	Program Evaluation	Describes the process for program evaluation, including when it is reviewed or completed, what is included in the evaluation, etc.	Yes No Needs Work	
	Client / Stakeholder Satisfaction	Describes the process used to gather feedback from clients and from stakeholders and states how the information is used.	Yes No Needs Work	
	Program Planning	States the expectations for program planning, when it is completed, who does it, who approves, what is included, etc.	Yes No Needs Work	
	Safety Considerations for Clients and Staff	Describes the expectations to ensure the safety of the staff and clients, may include policies for staff who are working alone or traveling, etc.	Yes No Needs Work	
	Client Consent for Service	States if client consent is required for services, when the consent is required, what information is collected, etc.	Yes No Needs Work	
	Advocacy	States the level of advocacy that staff can do on behalf of their clients.	Yes No Needs Work	
	Provincial Legislation	States any specific provincial or federal legislation that is applicable to your organization (e.g.: Societies Act, Children Services Act, Ag Societies Act, Housing Act, Companies Act, etc.)	Yes No Needs Work	

GOVERNANCE AREA	POLICY	DESCRIPTION	STATUS	COMMENTS
OPERATIONAL: PERSONNEL	Board relationship to the executive director	Further defines the bylaws and outlines the relationship of the Senior Staff to the Board.	Yes No Needs Work	
	Authority of the executive director	Defines what authority that the Senior Staff position has, such as signing authority, expenditure approves, etc. (executive director limitations).	Yes No Needs Work	
	Role and responsibilities of executive director	Further defines the bylaws and states the roles and responsibilities of the Senior Staff person.	Yes No Needs Work	
	Executive director evaluation	Describes the process used for the Senior staff persons evaluation, including when, who, what is included in the evaluation.	Yes No Needs Work	
	Compensation and Benefits for Executive Director	Describes the compensation for the Senior Staff position, the benefits provided, when compensation is reviewed, expectations on overtime, etc.	Yes No Needs Work	
	Sets process for policy development for salaries, compensation, benefits, vacation, etc.	Describes the overall principles or philosophy for other HR policies, who develops them, review expectations, who approves, etc.	Yes No Needs Work	
	Grievances	Describes the procedure for dealing with staff grievances.	Yes No 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.	Yes No Needs Work	
OPERATIONAL: FACILITY	Facility use and maintenance	Defines policies related to the maintenance and use of any facilities owned or rented by the organization. Reflects existing municipal, provincial and federal statutes and regulations, and keeps in mind risk management policies such as facility insurance agreements.	Yes No Needs Work	

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OPERATIONAL: FINANCIAL	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.	Yes No Needs Work	
	Monitoring the budget	Clearly outlines the expectations for monitoring the budget, including what is included in reports, when they are due and who provides them, etc.	Yes No Needs Work	
	Fundraising	Outlines the organization's approach to fundraising. States types of activities that the organization will not participate in, etc.	Yes No Needs Work	
	Donations and Sponsorship	Outlines the process for accepting donations and sponsorship, planned giving, etc.	Yes No Needs Work	
	Protection of assets	Describes what the organization will do to protect its assets, including risk management, inventory control, insurance, etc.	Yes No Needs Work	
	Contracts	Describes the process and expectations for contracting services (e.g.: when tendering is appropriate, when to tender, who reviews, who approves, etc.).	Yes No Needs Work	
	Reimbursement of Expenses	Further explains the bylaws and states what is included in expenses, if prior approval is required, etc.	Yes No Needs Work	
	Financial Audit	Further defines the bylaws and states when the audit is done, who completes the audit, etc.	Yes No Needs Work	
	Surplus Funds	Provides guidelines for how surplus funds or reserves are managed, who is responsible, type of investments, etc.	Yes No Needs Work	
GOVERNANCE AREA	POLICY	DESCRIPTION	STATUS	COMMENTS
ADVOCACY	Organization's Stand on relevant issues	States the organization's philosophy or position on relevant issues.	Yes No Needs Work	
	Linkages with the community	Describes how the organization works with the community. May include sharing of information, gathering feedback or input, etc.	Yes No Needs Work	
	Linkages with other organizations	Describes how and when the organization will work with other organizations, partnership definitions and processes, etc.	Yes No Needs Work	