

Policy and Procedure Guide



Policy

A policy is a principle/written plan that is intended to guide decisions to achieve outcomes.

Policies provide the framework for the rules under which the organization conducts its daily work and are generally formulated and adopted by the governing body.

Having written policies will assist to ensure:

- a consistent approach to the delivery of services by staff and volunteers
- that volunteers and staff are protected in their rationale for decision making through documented and up to date policies

Many organizations have policies that are contained within the board meeting minutes where the actual resolution was made to adopt them. Once policies are adopted they need to be entered into a consistent format and organized so they can be easily accessed and referred to by members of the organization. Having this organized system will also promote regular review and updating of policies by the Board.

What are Policy Areas?

Policy areas are key factors of quality for the organization. Some policies are common to most human service organizations, i.e. safety and confidentiality, for example, while other policies reflect the unique nature of the organization's service. For example, a policy for a local recreation board that states- *'All programs delivered by the Board shall include an educational component on the Saskatchewan In Motion Movement'*.

Examples of Policy Types that an Organization may have are:

- Human Resources Policies (HR)
 - Volunteer safety policy
 - Swimming pool staff hiring policy
- Program Policies(P)
 - Public skating policy
 - Program registration fee policy
- Facilities and Equipment Policies(FE)
 - Ball diamond usage policy
 - Skating arena board advertising policy
- Administration Policies(A)
 - Electronic data system email policy
 - Staff/volunteer expense reimbursement policy

Writing a Policy

When writing policies keep the language as simple and as straight forward as possible. Policies should be written in a standard format to comply with the community requirements.

A standard policy header should include:

- Name of the organization
- The name of the policy area/type(HR; PP; FE; AP)
- The name of the policy
- Dept. (if applicable)
- The issue date
- The date for the next Review of the policy and who shall perform the review
- The date for the Monitoring of the policy and who shall perform the monitoring
- Issue number
- The page number as part of the document

Policy Review

Review (The process where the intent and content of each policy are examined to ensure the stated policy is relevant, current, and understood.)

It is important that policies once approved have a date set for review by the organization. This can be regarded as a “Best Before” date, whereby the organization wants to ensure that policies are updated to fit current conditions and trends in the field that the organization works in.

Policy Review Template

Policy Review

1. Is this policy still relevant? Yes ___ No ___

If ‘no’, explain why it is no longer relevant.

2. Is this policy easy to understand? Yes ___ No ___

If ‘no’, please provide more concise wording.

3. Are changes to the wording of this policy warranted? Yes ___ No ___

If ‘yes’, please outline the recommended changes.

4. Does the policy review frequency need to be adjusted? Yes ___ No ___

If ‘yes’, please identify proposed changes and provide rationale for the change.

5. Does the policy review date need to be adjusted? Yes ___ No ___

If ‘yes’, please identify a proposed date and provide rationale for the change.

Policy Monitoring

Monitoring (The process of examining whether the organization is compliant with stated policies.)

Policies not only need to be reviewed on a regular basis, but at the same time need to be monitored to ensure that the organization is actually in compliance with the stated policy. A template for monitoring a policy should be set up that includes the following columns:

- a brief listing of what the expectations /responsibility of the policy are,
- what evidence is there that the policy has successfully been implemented or followed
- further comments for direction if in non-compliance

The function of monitoring may be performed at the same time as the review for the content of the policy. Monitoring should include:

- 1. Reading of the entire policy.
- 2. Look to the monitoring template and review the listed Expectations/Responsibility in the left hand column. This column is somewhat of a “Coles notes” of what the intent or expectations of the policy is.
- 3. For each expectation/responsibility listed, you will answer the following question (this is the monitoring process):
 - a. What have the actual successes been for this particular expectation/responsibility for the past year or since the last monitoring period?
 - b. Is the organization in compliance or non-compliance with the expectation/responsibility?
 - c. Comments or direction for correction, if in non-compliance

Policy Monitoring Template

Policy Name: _____

<u>Expectations /Responsibilities</u>	<u>Evidence of Compliance</u>	<u>Comments</u>

Procedure

A procedure is a command or instructions on how to achieve a desired outcome. Instructions flow from policies to procedures with the procedures stating exactly what it is that will be done to implement the given policy.

Unlike a policy, which is general in nature, procedures specifically state what will be done, by whom and how.

A procedure:

- Identifies all the people who are to act
- Describes the precise actions required
- States when the actions are to occur
- Reflects the sequence of events
- Is written in plain English, using short familiar words
- May be written or pictorial (for example, flow charts, and photographs)

Because procedures stem from policies the same procedure category types would be used. (Human Resources-HR, Program-P, Facilities & Equipment-FE, Administration-A).

To write a procedure:

- Ask yourself why you are writing the procedure, check that is fundamental to your quality of service and builds on an existing policy.
- Consider the format of the text that will best convey the procedure (written, diagram, photograph, flow chart). Keep the language as simple and as straight forward as possible.
- Use the standard procedure format.
- Identify any gaps in the procedure by trialing the procedure with a user who was not involved.
- Procedures should be written in a standard format to comply with the community requirements.

A standard procedure header should include:

- Name of the organization.
- The name of the procedure area/type (HR; P; FE; A).
- The name of the procedure.
- The issue date/date last reviewed.
- Issue number.
- The page number as part of the document.

In its development:

- Redraft the procedure on the basis of the trial.
- Refine and forward it to the relevant person for authorization and distribution.

NOTE: Like policies ,procedures should be regularly reviewed and monitored to ensure they are up to date and also being adhered to and followed.

Putting it all Together

Key to effective policies and procedures is keeping them current once organized. Setting up a process for regular review of the Policies and Procedures Manual and designating one person to control the entries and amendments to the manual will contribute to its efficient use.

To document your organization's policies and procedures:

- Identify the category types for your organization.
- Use these category types to generate the list of policies and procedures needed in each area (performing a search of the Board's past meeting minutes will also produce policies so they can be put into the accepted format and organized).
- Use the standard format and document your policies.
- Use the standard format and document your procedures.
- Decide if one Policy and one Procedure Manual will serve the whole organization, or if more than one manual for each is required for various areas. (i.e. rink, swimming pool, office, etc.)
- Prepare title page(s).
- Prepare table(s) of contents.
- Prepare statement(s) of confidentiality requirements.
- Prepare a distribution list. (staff and volunteers)
- Prepare a review and amendment sheet.

Policy Example

Organization: Anywhere Museum Association

Policy Name: Partnerships

Policy Type: Program

Policy NO.: P-1

Issue Date: January 1, 2012

Last Reviewed: February 10, 2014

Date for Review: January 2016

Date for Monitoring: January 2016

Purpose

To enhance and sustain all Museum Association programs & services through the maximum use of all potential resources

Policy

All approved programs and services of the Museum Association shall endeavour to secure a partner(s) to collaborate with in the delivery of the said program/services

Partners may be (but are not limited to) non-profit ,public sector, and/or private sector organizations

Responsibility

It is the responsibility of the Association Executive Director Members to ensure that all reasonable efforts to partner on programs/services are made by volunteers and staff acting on behalf of the association

This policy shall be reviewed by the Museum Association Directors as a whole –every two years

Review /Amendment Comments

Policy Reviewed by Association in 2014 and no changes

Monitoring Comments

Policy

Organization: _____

Policy Name: _____ Policy Type: _____ Policy NO.: _____

Issue Date: _____ Last Reviewed: _____

Date for Review: _____ Date for Monitoring: _____

Purpose

Policy

Responsibility

Review /Amendment Comments

Monitoring Comments

Procedure Example

Organization: Anywhere Museum Association

Procedure Name: Staff/Volunteer Expenses Procedure Type: A Procedure NO.: A-1

Issue Date: January 1, 2014 Last Reviewed: January 2016

Date for Review: January 2018

Date for Monitoring: _____

Procedure Outlined

Staff and/or Volunteers who have been previously approved to represent the association AND who incur expenses while representing the association, shall be eligible for financial reimbursement as per the following :

Eligible Expenses:

-Vehicle Mileage shall be paid at a rate of .45 cents per KM

-Meals shall be paid for at the following rate:

-Breakfast-10.00

-Lunch-15.00

-Supper-20.00

-Hotel Accommodation shall be reimbursed for the exact amount paid-receipts shall be submitted

Payment:

-A written list of expenses shall be submitted by the Staff/Volunteer to the Association Sec/Treas. within one month of the date of the event that the approved expenses were incurred.

- A request for reimbursement shall be submitted to the Association Directors meeting by the Sec/Treas. and payment made to the respective staff/volunteer upon approval

Responsibility

The Sec/Treas. Of the Association shall review this procedure every two years

Review /Amendment Comments

Reviewed in 2016 and the Vehicle Mileage rate increased from .40 to .45 cents per KM-other expenses and procedures remain the same

Monitoring Comments

Procedure

Organization: _____

Procedure Name: _____ Procedure Type: _____ Procedure NO.: _____

Issue Date: _____ Last Reviewed: _____

Date for Review: _____

Date for Monitoring: _____

Procedure Outlined

Responsibility

Review /Amendment Comments

Monitoring Comments