# catalyst
### Stockton-on-Tees

# Catalyst Quality Assurance
# For Voluntary and Community Groups
# & Social Enterprises
# In Stockton-on-Tees

# Draft Document for Consultation Period
# February 2011 to April 2011

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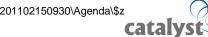With special thanks to
Redcar & Cleveland Voluntary Development Agency

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# DOCUMENT CONTROL

## Change Record

| Date | Author | Version | Change Description | Approved / Quality Checked by & Date | Target Audience/ Circulation | Document Review Date |
|------|--------|---------|--------------------|---------------------------------------|------------------------------|----------------------|
| February 2011 | A Agius | 1.0 | Launch draft | None required – for consultation only at this stage | Any organisation or individual with an interest in quality in the VCS and SE sector | DRAFT ONLY |
| | | | | | | |

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# Quality Assurance
# Draft paper for Consultation

## 1. Introduction

The Stockton Quality Assurance (QA) system is <u>not</u> a quality system. That we don't need.

Instead it has been designed to offer a yardstick with which to measure the quality assurance of Voluntary and Community Organisations and Social Enterprises (VCS and SE).

It is to QA in the VCS and SE sector what NVQ is to the education sector. Regardless of what *type* of qualification you have you can always state it's NVQ equivalent. For example, 'I have a degree which is an NVQ level 4 equivalent.'

In time it is anticipated that on seeing an organisation's QA level one can have a snapshot of the capacity and capability of that organisation. This could have a number of key benefits as stated in section 2 below.

## 2. Why a QA Mark? (Anticipated Benefits)

For the examples below let's assume QA3 denotes an acceptable level of capacity and capability for delivery.

1. Will assist in defining full and associate membership in consortium development where a full member will hold a QA3 or above.

2. Organisations will have a clear idea where they are and what they need to improve in order to gain a higher level QA.

3. Commissioners and procurement officers will have a better understanding of the quality levels of VCS and SE organisations and consequently stronger confidence in the organisations they work with.

   It is envisaged that eventually an organisation that is at QA3 level will not need to complete the generic parts of the PQQ (excluding the technical specification specific to each contract); thus saving time and resources for both the public sector and VCS and SE organisations. It could be in effect a pre-approved supplier level.

4. Sections of applications forms designed purely to demonstrate the robustness of governance etc of an organisation will no longer be required as the QA mark will satisfy these requirements.

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We have already received an in principal agreement from Professional Services Group and Tees Valley Community Foundation and we are approaching regional and national funders too.

5. Will assist VCS and SE Organisations to form successful partnerships, as each will recognise instantly the level of their proposed partner. For example where two organisations are both at level 3 the dialogue on QA negotiations is not required. Where an organisation is a level 4 and another at 2 the QA4 organisation may still choose to partner with the QA2 organisation (because of a specialised niche they have) but QA4 will be aware of the potential need for closer management of the contract.

6. It is expected to improve the overall quality, capacity and capability of the sector.

7. It will identify clear needs of the sector in terms of generic support and thus capacity building activities can be targeted and measured more effectively i.e. of the 20 organisations who started at QA1 how many, after receiving support have achieved QA2?

We will need the commitment from the following to realise the full potential benefits of this QA system:

o Voluntary and Community sector including Social Enterprises
o Public sector commissioners and procurement officers
o Members of the Council
o GP Commissioning groups
o Professional Services Group
o Tees Valley Community Foundation
o Other funders and stakeholders as the system is further established

We will also be seeking support from a range of other partners.


## 3. The Consultation Process

**Timescale**
The consultation period is 12 weeks starting from 2nd February 2011 and ending on 29th April 2011.

**Communication Methods**
✓ During this period the consultation will comprise of communication in the Catalyst newsletter, the ebulletin, website,

Facebook and twitter and through the networks of our partners and stakeholders.

✓ We will also take every opportunity at Catalyst events and those of our partners and stakeholders to raise awareness of this consultation document.

**Meetings**
✓ Four public meetings will be held to allow opportunities for questions and/or clarification. Feedback and contributions can also be logged at these events.

The schedule for these meetings is as follows:

1. Tuesday 1st March 2011 – 10-12pm
   Catalyst Board Room

2. Monday 28th March 2011 – 5-7pm,
   John Whitehead Bowling Club – To be confirmed

3. Wednesday 6th April 2011 – 2-4pm,
   Elm Tree Community Centre

4. Thursday 21st April 2011, 3-5pm,
   South Thornaby Community Centre

**To ensure we can accommodate you please book by emailing enquiries@catalyststockton.org or telephone 01642 733906**

✓ The paper will also go through the usual Renaissance consultation channels.

**Feedback and Contributions**
There are a variety of opportunities to contribute to this consultation:

✓ In writing via email: please send submissions to:
   feedback@catalyststockton.org

✓ Or post to Catalyst, 27 Yarm Road, Stockton on Tees, TS18 3NJ

✓ Via one of the events or seminars we are hosting to support this process as above or email us at enquiries@catalyststockton.org for more details

The deadline for the submission of information is COP on **Friday 22nd April**. However, Catalyst would particularly welcome early contributions wherever possible.

Finally I would just like to thank you for taking time out of your busy schedule to read this document.

## 4. Questions

This proposal is intended as a draft document for consultation and we accept it is unrefined and will need further work.

There are a number of generic questions we would ask you to consider when working through this draft paper:

1. What process should be developed for the assessment?

2. Who should monitor and award the QA standard?

3. What appeals process should be in place, if any, and who/how should this be managed?

4. How frequently should the award be reviewed?  Annually, bi-annually or once an organisation reaches a particular standard is it a lifetime QA mark?

5. Is this consultation document clear enough?  If not please highlight those areas you think need to be made clearer.

Also look out for question boxes A – E throughout the document asking for your feedback on specific aspects of the consultation document.

They also feature in the appendices.

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# 5. Proposed Levels – General

**No QA mark**

May have a constitution and committee in place but no formal structures, policies or procedures

**QA1**

- All basic governance documentation in place (see appendix 1 for details of what is proposed for inclusion).
- No contract delivery experience
- Limited capacity to deliver on contracts.
- Can demonstrate they are competent to manage a work level/project of around £5,000 - £15,000.
- No quality assurance systems in place.
- Likely to be an organisation ran largely by volunteers with no paid staff or part time staff only.

**For the next level:** In order to rise to QA2 the organisation would require:
- Some contract delivery experience (perhaps as a sub contractor)
- To complete a self assessment quality assurance scheme
- A suite of policies in place
- Limitation of liability in place.

**QA2**

- All basic governance documentation in place (see appendix 1 for details of what is proposed for inclusion).
- A set of policies is in place relevant to the size, scale and structure of the organisation (see appendix 1 for details of what is proposed for inclusion).
- Some experiences of delivery through grant funds but limited experience of contracts.
- Can demonstrate they are competent to manage a contracts/projects of around £15,000 to £100,000.
- Has carried out a self assessment in a recognised quality assurance system appropriate to the size and scale of the operation (see appendix 2 for details of those identified)
- Likely to be an organisation ran largely by volunteers and some part time staff or 1 or 2 full time staff.
- Limitation of liability is in place.

**For the next level:** In order to rise to QA3 the organisation would require:
- Further contract delivery experience
- A pass on an externally assessment quality assurance scheme
- Reference from commissioners

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- A management structure in place.

## QA3

- All basic governance documentation in place (see appendix 1 for details of what is proposed for inclusion).
- A full suite of policies is in place relevant to the size, scale and structure of the organisation (see appendix 1 for details of what is proposed for inclusion).
- Good experience of delivery through grant funds and contracts with references from commissioners.
- Can demonstrate they are competent to manage contracts or projects of around £100,000 to £500,000.
- Has an externally verified quality assurance system in place appropriate to the size and scale of the operation (see appendix 2 for details of those identified)
- Mix of paid staff and volunteers with a management structure
- Limitation of liability is in place.

**For the next level:** In order to rise to QA4 the organisation would require:
- Extensive contract delivery experience
- A wider range of policies and processes including continual professional development of all staff and volunteers.
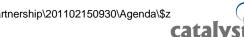
## QA4

- All basic governance documentation in place (see appendix 1 for details of what is proposed for inclusion).
- A full suite of policies is in place relevant to the size, scale and structure of the organisation (see appendix 1 for details of what is proposed for inclusion).
- Project Management processes in place
- Extensive experience of delivery through grant funds and contracts
- Track record of quality delivery and management with references from commissioners.
- Can demonstrate they are competent to manage a contracts/projects of over £500,000.
- Has an externally verified quality assurance system in place appropriate to the size and scale of the operation (see appendix 2 for details of those identified)
- Mix of paid staff and volunteers with a management structure
- Limitation of liability is in place.

# Question Box A

## Question 1

The competency level of contract delivery experience or management of projects has been set at
£5,000 - £15,000 for QA1
£15,000 - £100,000 for QA2
£100,000 - £500,000 for QA3
Over £500,000 for QA4

Do you agree with these levels?  If not, where do you think it should be?
Can you give reasons for your answer?

## Question 2

Should the following be considered in the 'experience' aspect of the QA standards?

1. Turnover or size of the organisation.
For example, should an organisation, in it's own right, have a turnover of at least £100,000, £200,000 or more to reach QA3?

2. Geographical reach
For example should a differentiation be made between local, sub-regional, regional and national organisations?  How?

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3. Age of the Organisation
For example, should an organisation have been established for three months, six months or at least a year before they reach QA2 or above? Is this organisational experience or that of the trustees and management who form that organisation?

**Question 3**

What else would you like to see to have confidence in doing business with a level 3 organisation?

**Question 4**

Do we need to start all organisations at a baseline of QA1 rather than no QA mark?
This would result in the following:

| Current suggested | New level |
|---|---|
| No QA | QA1 |
| QA1 | QA2 |
| QA2 | QA3 |
| QA3 | QA4 |
| QA4 | QA5 |

Would there be a need for another QA level beyond QA4/5 above?

**Question 5**

Is this all clear?  Do you understand?  If not please highlight what you feel needs further clarity.

**Question 6**

Do you have anything else to add or any additional comments?

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# APPENDIX 1

## Policies and Procedures

Policies can be written for every aspect of your organisation's work. Examples of areas that commonly have them are staffing, equal opportunities and finances. Policies give clear guidance on what an individual needs to do in any given situation. They can be understood as written guidelines that everyone within an organisation should understand and adhere to. Policies clarify roles, and responsibilities and they can serve as a basis for decision-making.

Policies are frequently unwritten, but written policies are preferable.

Below is a list of the proposed policies/ policy statements should have along with the proposal QA levels.

## Legal requirement &/or strongly recommended (All QA levels)

| Staff and Volunteer Policies | Services and Activities Policies |
|---|---|
| Grievance | Data Protection |
| Capability and discipline | Equal opportunities |
| Recruitment | CRB |
| Recruitment of ex-offenders | Child Protection |
| Flexible working | Protection of Vulnerable Adults |
| Induction (staff and volunteers) | Complaints |
|  | Confidentiality |
|  | Health and Safety |
|  | Provision of First Aid |
| **General Organisational Policies** | **Financial Policies** |
| Insurance | Expenses |
| Risk Assessment | Raising and Payment of Invoices |

## Good Practice (QA2)

| Staff and Volunteer Policies | Services and Activities Policies |
|---|---|
| Harassment and bullying | User Involvement |
| Volunteer | |
| Supervision and appraisal | |
| Redundancy | |
| Retirement | |

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| | |
|---|---|
| Maternity<br>Paternity<br>Adoption<br>Holidays<br>Lone workers<br>ICT and email usage<br>Sick leave/absence from work | |
| **Financial Policies**<br>Reserves<br>Purchase Orders<br>Petty Cash | |

## Excellent Practice
## (QA3)

| | |
|---|---|
| **Staff and Volunteer Policies**<br>Whistle Blowing<br>Training and Development | **Services and Activities Policies**<br>Customer Service Policy |
| **General Organisational Policies**<br>Environmental Impact | |

## Exemplary Practice
## (QA4)

| | |
|---|---|
| **Staff and Volunteer Policies**<br>A Continual Professional Development (CPD) Policy | **Services and Activities Policies**<br>Project Management Procedure |
| | **Financial Policies**<br>Measuring Social Impact<br>Procurement Policy |

## Question Box B

Does this cover everything? If not, what else should be included?

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Is this too much?  If so, how do you think it should be structured?

If it is decided that a governance check is required how often should an organisation complete it?  Annually?  Every two years?  Every three?

Is it clear?  Do you understand?  If not please highlight what you feel needs further clarity.

Do you have anything else to add or any additional comments?

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# APPENDIX 2

## Current Quality Systems
## (and their proposed grading)

There follows a brief explanation of each of the current quality systems most commonly used by the sector along with a ranking on our QA levels.

### C3Perform
Deigned to help VCS organisations 'embark on a journey of performance improvement and quality management'. Free to download and self assessment **(QA2)**.
www.c3partnership.org/toolkit

### PQASSO
Designed for small to medium Voluntary organisations to provide a system for assessing and improving all aspects of their work. The most commonly used quality standard in the VCS. Prices up to £2,500 takes between 28-42 weeks to complete and is made up of self-assessment **(QA2)** and an external assessment **(QA3)** for the Quality Mark.
www.pqassoqualitymark.org.uk

### Matrix Standard
National standard of quality for any organisation that delivers information, advice and/or guidance on learning and work to external clients or internal staff. Take 6-9 months, costs in the region of £600 +VAT and involves both self-assessment **(QA2)** and an external assessment **(QA3)** for the Quality Mark.
www.matrixstandard.com

### Quality First
Based on PQASSO but designed for very small organisations with no paid staff or only part-time staff. Self assessment and costs around £35 – 40. **(QA2)**
www.tinyurl.com/cuobl2

### ISO9000
ISO 9000 is a term applied to a group of standards that aim to help an organisation achieve customer satisfaction by focusing on 'how things are done'. To achieve the quality mark an organisation will develop a quality management system that meets the specific requirements required by ISO 9001. Most organisations need ISO 9000 to currently qualify for a tender or achieve preferred supplier status. Costs are in excess of £2000 and both self assessment **(QA2)** and external audit are required. **(QA3)**
www.tinyurl.com/2ely7u

### FRSB (Fundraising Standards Board)

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A code of Fundraisers practice set for fundraisers in the UK and supported by the Government. It covers a range of governance and best practice issues covering general advice on accounting through to the legal requirements to different types of fundraising. Free to download and self assessment used. **(QA2)**
www.frsb.org.uk

**NOS (National Occupational Standards)**

A Code of Governance that provides a range of tools to improve an organisations understanding of its governance mechanisms (including the role of the board) with the aim of improving the management of the organisation.
Free to download and self assessment used. **(QA2)**
www.governancehub.org.uk

**EFQM Excellence Model**
Designed as an overarching self-assessment framework for continuous improvement. Used by large VCS organisations that are tendering for contracts. Organisations applying for external assessment will be charged depending on their size and complexity but fee is around £11,000 for organisations with less than 500 employees. **(QA2 or 3 depending on stage of assessment)**
www.efqm.org

**The Hallmarks of an Effective Charity**
Developed by the Charity Commission to set out the standards that will help trustees to improve the effectiveness of their charity. Free and self-assessment used. **(QA2)**
www.tinyurl.com/amp3cs

**NAVCA Performance Standards and Quality Mark**
A set of performance standards and an assessment process that can be used to help local infrastructure organisation to review and improve the effectiveness of their core activity. Takes a year, subject to external assessment **(QA3)** and costs in the region of £2,000.
www.tinyurl.com/uu7nu

**Reach**
Self assessment framework for Youth Action agencies (youth Volunteering). Costs in the region of £100 – £150. **(QA2)**
www.tinyurl.com/at2w3o

**Young Suffolk Quality Mark**
This award is in recognition that an organisation has provided evidence that it is a well run and safe provider of services for children and young people. Designed to be 'rigorous but not onerous'. Takes between 4-12 months, is free and requires final review by the Quality Standards Review Panel. **(QA2)**

www.onesuffolk.co.uk/youngsuffolk/qualitystandards

**Investing in Governance Framework and Quality Mark**
A new board evaluation framework designed to enable boards to assess their governance against best practice. Costs for the quality mark accreditation is in excess of £3,500 and requires both self-assessment **(QA2)** and external assessment. **(QA3)**
www.investinggovernance.org.uk

**Customer Service Excellent: Government Standard**
New system that looks at the standards of customer service delivery checking that the customer is at the centre of everything it does. Free on-line assessment. **(QA2)**
www.tiinyurl.com/bbxbnc

**Approved Provider Standard**
Developed as a national benchmark for organisations providing one-to-one, volunteer mentoring or befriending supported by the Home Office Active Communities Directorate and the Department of Education and Skills. It is free, takes up to 12 months and consists of self assessment **(QA2)** and an external audit. **(QA3)**
www.mandbf.org.uk

**Becoming Visible Community Standards**
Operating standard for community centres and multi-purpose community organisations that are mission and performance focused. Takes around 6 months, costs upwards of £1,400 plus VAT and consists of self assessment **(QA2)** and external assessment. **(QA3)**
www.visiblecommunities.org.uk

**Clubmark**
Standard developed by Sport England to ensure that sports clubs provide a high quality experience for young people. Take 12 months, basic standard is free and each NGB (national Governing Body) have different ways of assessing their own 'Clubmark' Scheme. **(QA2)**
www.sportengland.org/clubmark

**The Community Legal Services (CLS) Quality Mark**
Specifically designed for organisation providing legal information and advice to the public. Takes 3-6 months, is free and involves both self-assessment **(QA2)** and an external audit. **(QA3)**
www.tinyurl.com/djg6z

**CommunityMark**
A new national standard, which recognises business excellence in community investment. Take up to 12 months, costs around £600 and involves both self-assessment **(QA2)** and an external audit. **(QA3)**
www.bitc.org.uk/community/communitymark

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**Hear by Right**
A tried and tested framework for organisations to assess and improve practise and policy on the active involvement of children and young people. Free to download and involved self-assessment. **(QA2)**
www.hbr.nya.org.uk

**QASRO**
Quality Assurance System for refugee organisations is a tool to help these organisations ensure they are well run and deliver high quality services.  It is free to download and involved self assessment only. **(QA2)**
www.tinyurl.com/dd5rdt

**QuADS – Quality in Alcohol and Drug Services**
A manual intended for use by alcohol and drug treatment service providers as an assessment tool to help with the development of quality in services.  Free to download and consists of self-assessment. **(QA2)**
www.tinyurl.com/cjhrm3

**Quest**
UK quality standard for sport and leisure organisation (centres) in the commercial, voluntary and public sectors.  Takes approx 3 months, costs vary and consists of both self-assessment **(QA2)** and external assessment. **(QA3)**
www.quest-uk.org

**Standards for Safeguarding and Protecting Children in Sport**
The Child Protection in Sport Unit has a downloadable publication, which gives full details of the ten standards developed by Sport England Governing Body Services and the Sports Task Force on Policy and Standards.  Designed to help sports organisations safeguard children and young people.  Take 5 years and involves self-assessment **(QA2)** and an external audit. **(QA3)**
www.tinyrul.com/bqcqg9

**Star Social Firm Standard**
First quality standard to be developed in the social enterprise sector and has been developed by Social Firms UK.  It confirms quality – of the business, their products and services and the workplace.  Takes around 6 months and is currently heavily discounted so costs around £300. Comprises of self-assessment and external assessment. **(QA3)**
www.starsocialfirms.co.uk

**Supporting People Regional Accreditation**
It is a requirement of Supporting People that all providers or potential providers, of support services funded by Supporting People can demonstrate they are suitable organisations to contract with.  This is designed to do give that assurance.  The cost is free and comprises of self-assessment. **(QA2)**
www.spkweb.org.uk

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**Training Quality Standard**
As assessment framework and an assessment and certification process which has been designed to recognise and celebrate the best organisations delivering training and development solutions to employers.  Take 4 months+ costs up to £10,00 and comprises of an application form and external assessment. **(QA3)**

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## Question Box C

Investors in People – is not a technically quality system.  Should it be included and if so, at what level?

Investors in Volunteers – is not technically a quality system.  Should it be included and if so, at what level?

Does this cover all the major quality systems?  If not, what else should be included?

Are you happy with the QA level assignment and if not, what changes would you like to see?  Please give reasons for your answers.

Do you have anything else to add or any additional comments?

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# APPENDIX 3

## The Organisational Health/Governance Check

This checklist is designed for use:

- By organisations who simply want a tool to check where their organisations are and where they might like to be without regard to any QA level

- By organisations just starting their quality assurance journey with the goal of working towards a specific QA level in time

- By organisations that feel they are well established and are wishing to achieve a higher QA rating.

If an organisation has the quality assurance systems, levels of experience and other requirements mentioned in section 5 earlier that will determine the QA levels for that organisation as those quality assurance systems will ensure the following is already in place.

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**Section 1 of 2:  Essential**

| Essential Information |
|:---:|

## 1. Management Committee

| | Criteria | Yes | Partial | No | Evidence | Comment |
|---|---|---|---|---|---|---|
| 1.1 | Does the Committee consist of (at least) a chairperson, secretary and treasurer? | | | | | |
| 1.2 | Is the Committee elected following the process as outlines in the organisation's governing document? | | | | | |
| 1.3 | Does the Committee follow the rules outlined in the governing document? | | | | | |
| 1.4 | Does the Committee understand and adhere to relevant regulatory and legal requirements? | | | | | |
| 1.5 | Are all Committee members aware of their responsibilities including declaring declarations of Interest ? | | | | | |
| 1.6 | Does the Committee contribute to the strategic direction of the Organisation? | | | | | |
| 1.7 | Are meetings held regularly, using the appropriate format (agendas and minutes)? | | | | | |
| 1.8 | Has a skills audit of Committee members been completed? | | | | | |

## 2. Structure and Purpose

| | Criteria | Yes | Partial | No | Evidence | Comment |
|---|---|---|---|---|---|---|
| 2.1 | Does the organisation have an appropriate legal structure (e.g. unincorporated, company, Trust, etc)? | | | | | |
| 2.2 | Does the organisation have an up-to-date, relevant governing document that is appropriate for its legal structure? | | | | | |
| 2.3 | Does the organisation have clearly defined aims and values? | | | | | |

## 3. Planning and Reviewing

| | Criteria | Yes | Partial | No | Evidence | Comment |
|---|---|---|---|---|---|---|
| 3.1 | Is an annual plan produced describing the activities and services to be carried out? | | | | | |
| 3.2 | Are the organisations aims reviewed on a regular basis? | | | | | |
| 3.3 | Is the annual plan monitored, with the results used to shape future plans? | | | | | |
| 3.4 | Are service-users given an opportunity to feedback about the work of the organisation? | | | | | |

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## 4. Volunteering

|  | Criteria | Yes | Partial | No | Evidence | Comment |
|---|---|---|---|---|---|---|
| 4.1 | Are volunteers recruited according to their skills and experience? | | | | | |
| 4.2 | Do volunteers have clear, defined roles? | | | | | |
| 4.3 | Do volunteers receive support and guidance? | | | | | |
| 4.4 | Are CRB checks carried out for individuals who will have contact with children and/or vulnerable adults in the course of their volunteering? | | | | | |
| 4.5 | Have all other legal issues relating to volunteers been considered? | | | | | |

## 5. Employees

|  | Criteria | Yes | Partial | No | Evidence | Comment |
|---|---|---|---|---|---|---|
| 5.1 | Are employees recruited following the correct equal opportunities procedures? | | | | | |
| 5.2 | Do employees have a clear job description? | | | | | |
| 5.3 | Do employees have a written statement of particulars/contract of employment? | | | | | |
| 5.4 | Are CRB check carried out for individuals who will have contact with children and/or vulnerable adults in the course of their employment? | | | | | |
| 5.5 | Does the organisation have the processes in place to manage any grievance or disciplinary issue? | | | | | |

| | Criteria | | | | | |
|---|---|---|---|---|---|---|
| 5.6 | Is the organisation equipped to manage employment disputes and dismissals? | | | | | |
| 5.7 | Have health and safety issues been addressed in the workplace? | | | | | |
| 5.8 | Does the organisation keep up-to-date with employment legislation? | | | | | |

## 6. Services and Activities

| | Criteria | Yes | Partial | No | Evidence | Comment |
|---|---|---|---|---|---|---|
| 6.1 | Do the organisation's activities and services fit within the organisation's aims? | | | | | |
| 6.2 | Is the service-user group clearly identified? | | | | | |
| 6.3 | Are services and activities carried out in a safe and welcoming environment? | | | | | |
| 6.4 | Are services and activities carried out according to funding requirements? | | | | | |
| 6.5 | Are services and activities carried out according to funding requirements? | | | | | |
| 6.6 | Does the organisation have appropriate insurance which covers those involved? | | | | | |

## 7. Networks and Partnerships

| | Criteria | Yes | Partial | No | Evidence | Comment |
|---|---|---|---|---|---|---|
| 7.1 | Are there links with other relevant organisations in the area? | | | | | |
| 7.2 | Are service-users sign-posted to other organisations, where appropriate? | | | | | |

## 8. Information and Communication

| | Criteria | Yes | Partial | No | Evidence | Comment |
|---|---|---|---|---|---|---|
| 8.1 | Are there clear channels of communication within the organisation? | | | | | |
| 8.2 | Are regular meetings held involving everyone within the organisation (including between staff and Committee)? | | | | | |
| 8.3 | Do service-users/stakeholders receive information about the organisation's services? | | | | | |
| 8.4 | Are efforts made to publicise the organisation's services to potential service-users? | | | | | |
| 8.5 | Is the information produced accessible to all (e.g. available in large print, different languages etc)? | | | | | |
| 8.6 | Is an Annual General Meeting held every year following the correct procedures? | | | | | |
| 8.7 | Is an Annual Report produced and distributed? | | | | | |

## 9. Finances and Administration

| | Criteria | Yes | Partial | No | Evidence | Comment |
|---|---|---|---|---|---|---|
| 9.1 | Does the organisation have a bank account which requires two cheque signatories? | | | | | |
| 9.2 | Is there a named individual within the organisation with suitable skills and experience to manage the organisation's finances? | | | | | |

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| 9.3 | Is there an agreed annual budget for the organisation? | | | | | |
|-----|--------------------------------------------------------|---|---|---|---|---|
| 9.4 | Are financial records, showing the income and expenditure, kept and recorded? | | | | | |
| 9.5 | Are the audit and reporting requirements understood and adhered to in relation to the size of the organisation?<br>Annual accounts produced?<br>Annual accounts independently checked?<br>Does the organisation comply with its legal obligations under SORP? | | | | | |
| 9.6 | Is personal information of employees and volunteers (including CRB checks) stored safely and secure? | | | | | |

## 10. Policy and Procedures

Which if the following policies and procedures does your organisation have in place?  How up to date are they?

| Policy & Procedure | Policy in Place (Y/N) | Policy Date |
|---|---|---|
| Room Hire Agreements | | |
| Opening and Closing of the Building procedure | | |
| Risks Assessment | | |
| Fire Drill | | |
| Accident and Assault | | |
| Child protection | | |
| Gifts and inducements | | |
| Quality Assurance | | |
| Complaints/Compliments/Suggestions | | |
| Equality and Diversity | | |
| Freedom of Information | | |
| Recruitment and Selection | | |
| Disciplinary and Grievance | | |
| Leave arrangements | | |
| Sickness absence | | |
| Lone worker | | |
| Confidential reporting | | |
| Maternity provision | | |
| Parental Leave | | |
| Volunteering | | |
| Other | | |

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## 11. Insurance

| Insurance | Yes | No |
|---|---|---|
| Public Liability | | |
| Employers liability | | |
| Contents Insurance | | |
| Professional Indemnity | | |
| Directors & Officers Liability libel and slander | | |
| Personal Accident | | |
| Motor Insurance | | |

**Section 2 of 2: Desirable**

## Desirable Information

### 1. Management Committee

|      | Criteria | Yes | Partial | No | Evidence | Comment |
|------|----------|-----|---------|----|----------|---------|
| 1.8  | Does the Committee represent the community it serves (e.g. includes man, women, different ages) | | | | | |
| 1.9  | Is the work of the Committee shred equally and fairly? | | | | | |
| 1.10 | Are processes in place to manage conflicts of interest and disputes? | | | | | |
| 1.11 | Do Committee members have role descriptions? | | | | | |
| 1.12 | Do Committee members have an induction process which includes meeting with staff members (if any)? | | | | | |
| 1.13 | Have sub-committees been set up, if appropriate? | | | | | |

## 2. Structure and Purpose

|   | Criteria | Yes | Partial | No | Evidence | Comment |
|---|----------|-----|---------|-----|----------|---------|
| 2.4 | Is the organisation's legal structure reviewed periodically to ensure it is still appropriate? | | | | | |
| 2.5 | If appropriate, does the organisation have charitable status? | | | | | |
| 2.6 | Is everyone involved in the organisation aware of the organisation's aims? | | | | | |
| 2.7 | Do the organisation's aims fit within the objects as stated in the governing document? | | | | | |
| 2.8 | Does the organisation have a mission statement? | | | | | |
| 2.9 | Is there a written record of the history of the organisation? | | | | | |

## 3. Planning and Reviewing

|   | Criteria | Yes | Partial | No | Evidence | Comment |
|---|----------|-----|---------|-----|----------|---------|
| 3.5 | Does the organisation use the cycle of – planning, implementing, monitoring and reviewing – to carry out its work? | | | | | |
| 3.6 | Does the organisation have a 3 to 5 year business plan, which everyone works to? | | | | | |
| 3.7 | Are a range of people from the organisation involved in the planning process (including service-users)? | | | | | |
| 3.8 | Is there a monitoring system in place, which uses a range of methods to measure the impact of the organisation's work? | | | | | |

| | 3.9 | Are a range of people from within and outside the organisation involved in evaluating the service? | | | | | |
|---|---|---|---|---|---|---|---|

## 4. Volunteering

| | Criteria | Yes | Partial | No | Evidence | Comment |
|---|---|---|---|---|---|---|
| 4.6 | Does each volunteer have a named person within the organisation for support and guidance? | | | | | |
| 4.7 | Does the organisation have a volunteer code of conduct? | | | | | |
| 4.8 | Do volunteers have an induction process? | | | | | |
| 4.9 | Are volunteers given appropriate recognition for their work? | | | | | |
| 4.10 | Are volunteers given opportunities for development and learning? | | | | | |
| 4.11 | Is there a clear process for terminating the volunteering relationship, if necessary? | | | | | |

## 5. Employees

| | Criteria | Yes | Partial | No | Evidence | Comment |
|---|---|---|---|---|---|---|
| 5.1 | Do employees undergo an induction process? | | | | | |
| 5.2 | Do employees receive regular supervision? | | | | | |
| 5.3 | Do employees receive annual appraisals? | | | | | |
| 5.4 | Are employees given opportunities for learning and development? | | | | | |
| 5.5 | Is there a named person within the organisation who is responsible for staffing matters? | | | | | |

## 6. Services and Activities

| | Criteria | Yes | Partial | No | Evidence | Comment |
|---|---|---|---|---|---|---|
| 6.7 | Has the organisation established, and provided evidence of, the need for its work? | | | | | |
| 6.8 | Are efforts made to bring in new service-users? | | | | | |
| 6.9 | Are regular checks carried out to ensure that the activities are meeting the needs of service users? | | | | | |
| 6.10 | Are efforts made to access hard-to-reach individuals? | | | | | |

## 7. Networks and Partnerships

| | Criteria | Yes | Partial | No | Evidence | Comment |
|---|---|---|---|---|---|---|
| 7.3 | Does the organisation have links with other relevant organisations at a local and regional level? | | | | | |
| 7.4 | Does the organisation make links with the statutory and private sector, where appropriate? | | | | | |
| 7.5 | Is best practice shared with other organisations? | | | | | |
| 7.6 | Does the organisation avoid duplication of services? | | | | | |
| 7.7 | Does the organisation work in partnership with others where appropriate? | | | | | |
| 7.8 | Does the organisation ensure its interests are represented to the statutory sector? | | | | | |
| 7.9 | Does the organisation have the skills required to negotiate where necessary? | | | | | |

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## 8. Information and Communication

|     | Criteria | Yes | Partial | No | Evidence | Comment |
|-----|----------|-----|---------|-----|----------|---------|
| 8.8 | Has a communications and marketing strategy been produced? | | | | | |
| 8.9 | Are a range of methods used to publicise the organisation's services? E.g. Internet, newsletters flyers, word of mouth, media. | | | | | |

## 9. Finances and Administration

|     | Criteria | Yes | Partial | No | Evidence | Comment |
|-----|----------|-----|---------|-----|----------|---------|
| 9.7 | Does the organisation understand the purpose of reserves? | | | | | |
| 9.8 | Has the organisation built up reserves to cover 6 months operating costs? | | | | | |
| 9.9 | Have systems been established to deal with all administrative matters (e.g. incoming/outgoing post, enquiries to the organisation, email protocol) | | | | | |

## Question Box D

Does this cover everything?  If not, what else should be included?

Do you have anything else to add or any additional comments?

# APPENDIX 4

# CATALYST USER LED ORGANISATIONS PROJECT

Catalyst has a ULO (User Led Organisation) project designed to support organisation that wish to explore further both the benefits and requirements of becoming a ULO organisation.

In additional Catalyst can buy in a range of support should your organisation decide to pursue this further after initial exploration.

Furthermore, for those organisations that would also like to be awarded a ULO kite mark it is proposed that the QA system would simply have some additional questions.

If an organisation is not interested in ULO status they would simply ignore these questions but where an organisation wishes to achieve the kite mark the questions below would need to be answered satisfactorily.

The organisation that successfully achieved the kite mark would receive a QA mark too. (For the purposes of efficiency it would be useful for organisations that are seeking the kite mark to also be awarded a QA mark at the same time hence it's inclusion here).
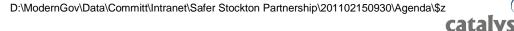
**The following lists the set criteria for a ULO – whilst at first it may look daunting remember that Catalyst has commissioned assistance for organisations to explore this (without any obligation that they then become a ULO).**

## THE ULO DESIGN CRITERIA

Below are the 21 ULO design criteria - these are the minimum requirements for a ULO.

### ULO VALUES

1.       Works from a social model of disability perspective
2.       Promotes independent living
3.       Promotes people's human and other legal rights
4.       Shaped and driven by the initiative and demand of the organisation's constituency
5.       Is peer support based
6.       Covers all local disabled people, carers and other people who use support either directly or via establishing links with other local organisations and networks

7.       Is non-discriminatory and recognises and works with diversity in terms of race, religion and belief, gender, sexual orientation, disability and age
8.       Recognises that carers have their own needs and requirements as carers
9.       Engages the organisation's constituents in decision-making processes at every level of their organisation

## ULO CHARACTERISTICS

10.      Provides support to enable people to exercise choice and control
11.      Is a legally constituted organisation
12.      Has a minimum of 75 per cent of the voting members on the management board drawn from the organisation's constituency
13.      Is able to demonstrate that the organisation's constituents are effectively supported to play a full and active role in key decision-making
14.      Has a clear management structure
15.    Has robust and rigorous systems for running a sustainable organisation (e.g. financial management/contingency planning)
16.    Is financially sustainable as there will be no ongoing central government funding
17.    Has paid employees, many of whom must reflect the organisation's constituency
18.    Identifies the diverse needs of the local population and contributes to meeting those needs
19.    Is accountable to the organisation's constituents and represents their views at a local level
20.    Supports the participation of its constituents in designing, delivering and monitoring of the organisation's services
21.    Works with commissioners to improve commissioning and procurement

---

### Interested?

If you would like to take part in this project without any obligation contact Catalyst

On enquiries@catalyststockton.org

Or call 01642 733906

Or write your contact details in this box and return along with your feedback on the consultation paper and someone will get in touch with you.

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**SCORING SHEET**

This scoring sheet can be used to identify where your organisation is at the moment and highlight areas where support may be needed.

The following scoring criteria for each answer should be used:
- **0 – 0%:** No evidence available
- **1 – 25%:** Partly meet the design criteria OR intention is not specific
- **2 – 50%:** Can partially provide evidence which meets the model answer OR There is a plan of action that might deliver the intent
- **3 – 75%:** Can demonstrate a good understanding of what would be required to meet the criteria through their intention OR can provided sufficient evidence that would indicate they are nearly compliant with the design criteria but have some work still to do
- **4 – 100%:** Can provide evidence of existing work that fully meets model answer OR a clear plan of action for achieving the criteria.

|  | Score |
|---|---|
| **a) ULO** VALUES | |
| A ULO should adhere to a minimum set of values: | |
| 1. works from a social model of disability perspective | |
| 2. promotes independent living | |
| 3. promotes people's human and other legal rights | |
| 4. shaped and driven by the initiative and demand of the organisation's constituency | |
| 5. is peer support based | |
| 6. covers all local disabled people, carers and other people who use support either directly or via establishing links with other local organisations and networks | |
| 7. is non-discriminatory and recognises and works with diversity in terms of race, religion and belief, gender, sexual orientation, disability and age | |
| 8. recognises that carers have their own needs and requirements as carers | |
| 9. engages the organisation's constituents in decision-making processes at every level of their organisation | |
| **Total from 36** | |
| | |
| **b) ULO** ORGANISATIONAL CHARACTERISTICS | |
| A ULO should have the following organisational characteristics: | |
| 10. provides support to enable people to exercise choice and control | |
| 11. is a legally constituted organisation | |
| 12. has a minimum of 75 per cent of the voting members on the management board drawn from the organisation's constituency | |
| 13. is able to demonstrate that the organisation's constituents are effectively supported to play a full and active role in key decision-making | |
| 14. has a clear management structure | |
| 15. has robust and rigorous systems for running a sustainable organisation (e.g. financial management/contingency planning) | |

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| | |
|---|---|
| 16. is financially sustainable as there will be no ongoing central government funding | |
| 17. has paid employees, many of whom must reflect the organisation's constituency | |
| 18. identifies the diverse needs of the local population and contributes to meeting those needs | |
| 19. is accountable to the organisation's constituents and represents their views at a local level | |
| 20. supports the participation of its constituents in designing, delivering and monitoring of the organisation's services | |
| 21. works with commissioners to improve commissioning and procurement | |
| **Total from 48** | |
| | |
| **c) ULO MINIMUM SERVICES** | |
| The minimum ULO services to support independent living are defined in *Improving Life Chances* as: | |
| 22. Information and advice | |
| 23. Advocacy and peer support | |
| 24. Support in using direct payments and/or individual budgets | |
| 25. Support to recruit and employ personal assistants | |
| 26. Assistance with self-assessment | |
| 27. Disability equality training | |
| 28. Support the implementation of the Disability Equality Duty by public sector organisations in the locality (including consumer audits) | |
| **Total from 28** | |
| | |
| | |
| **TOTAL FROM 112:** | |

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# Glossary

**PQQ**
**PreQualification Questionnaire**

A questionnaire used in the tender process to measure an organisation's quality, management systems and financial stability (among other aspects).

**QA**
**Quality Assurance**

A system of checks that are designed to improve the governance, management and quality of an organisation.

**Service User**

The 'customer' of the organisation

**ULO**
**User Led Organisation**

An organisation solely or principally led by its service users and meets a range of criteria that demonstrates such.

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## Question Box E

Do any other words or terms need to be in the glossary?

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Thank you.

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