

Third Sector: 'Contract Readiness' Checklist Commissioners' Draft

1.Quick Profile	Notes	Suggested Evidence
Number of staff		payroll
Number of Directors/Trustees/management committee members		AGM/Board minutes
Directors/Trustees Comply with standard business practice		Not bankrupt or disqualified from being a company director, etc
Annual Turnover/income		Annual Accounts
Usual Service Delivery Interest		Eg services to older people
Contract delivery track record		Contracts to the value of x
Signed up to Compact		Understand obligations under the Compact
References		From previous contracts

2. Governance		Suggested Evidence
Appropriate legal structure		Documentation Appropriate for size and activity
The organisation meets legal and financial obligations		Annual Accounts Annual report Reports to Companies House Directors/trustees meet legal qualifying requirements
Robust Management Systems		Board meetings Board minutes Organisational Chart Staff supervision system
Management continuously review performance and plan improvement		Board minutes Work plan Action Plan
Skills of the Board		Profile of Trustees Knowledge and experience
Quality Assurance Policy		Policy, Action Plan
Equality and Diversity Policy		Policy and procedure Race Relations Act Compliance
Sources of independent advice eg accountant, auditor, solicitor		AGM minutes

3. Staff/Volunteers		Suggested Evidence
Legal requirements		Employment policies and procedures including recruitment procedure, diversity, Contracts/written terms of employment, risk assessments, CRB checks if relevant
Supervision system & disciplinary procedure		Written evidence
5. Managing money/ Finance		Suggested Evidence
legal requirements/regulations		Appropriate bank account, compliance with SORP VAT registration if appropriate
Robust financial policy, systems and procedures		Policy, Minutes from meetings Compliance with SORP etc
3 yrs Financial Accounts		Trading and Profit and Loss Accounts Balance sheet
All income and expenditure is clearly accounted for		Annual Accounts/bookkeeping

6. Managing Risk		Suggested Evidence
capacity to deliver – staff, equipment, IT etc		Business/Delivery Plan for activity
Accessible premises – fire, H&S, DDA compliant		Audit reports & review documents Disability Equality Duty strategy Signing in record Equipment checks/records
ICT Equipment and software		ICT Policy and Procedures eg Appropriate systems/software & licenses in place, anti-virus software, security protocols; Age of equipment/programs Depreciation and replacement arrangements, staff training. Equipment/network maintenance contract, Backup procedure and Disaster plan.
Data Security		Data protection policy and training
Understanding of Freedom of Information Act		Training Record
Health and Safety requirements		Policy, Procedures, Action plan, records, reports, induction, training, monitoring and reporting.

Data Confidentiality		IT Policy and procedure, data protection policy and training. Staff confidentiality policy.
Insurance		Relevant cover: Employer Liability, Public Liability; Professional Indemnity Relevant Amount of Cover in £
Environmental		Risk assessment
8. Monitoring & Evaluation		Suggested Evidence
Relevant plan – with outcomes, indicators & timescale, feeding into review		Documented planning cycle

End of questions