

Third Sector: 'Contract Readiness' Checklist Commissioners' Draft

1.Quick Profile	Suggested Evidence	More Information/Who can Help you with this?
Number of staff	Number on the payroll	WVSC provides a cost-effective payroll service to third sector organisations that do not have the skills or the time to administer payroll.
Number of Directors/Trustees/management committee members	AGM/Board minutes	WVSC can advise on third sector governance issues. WVSC can provide a sample trustee induction pack
Directors/Trustees Comply with standard business practice	Not bankrupt or disqualified from being a company director, etc	WVSC Specialist Services team give advice on what is required to demonstrate this.
Annual Turnover/income	Annual Accounts	If you are not sure what your turnover is or need help with preparing your Annual Accounts ask WVSC Community Accountant.
Usual Service Delivery Interest	Eg services to older people	WVSC has staff experienced in a wide range of third sector activity. WVSC may be able to advise you on aspects of running your particular service.
Contract delivery track record	Contracts to the value of x	WVSC Specialist Services can advise on the content of contracts (eg lease of a building, employment contracts etc) before third sector organisations sign them.

Signed up to Compact	Understand obligations under the Compact	If you do not know of the Compact, the benefits, or whether or not you are signed up to it contact WVSC Partnerships and Participation Team.
References	From previous contracts	These references need to be provided by people you have previously held contracts with to deliver services. Ask for them now, you never know when they will be needed. They should cover your competence to deliver the service according to the contract .
2. Governance	Suggested Evidence	More Information/Who can Help you with this?
Appropriate legal structure	Documentation Appropriate for size and activity	WVSC Specialist Services advise on legal structures for third sector organisations. Advice from qualified lawyer, free of charge. This department charges for some services but advice is free.
The organisation meets legal and financial obligations	Annual Accounts Annual report Reports to Companies House Directors/trustees meet legal qualifying requirements	WVSC Specialist Services dept advise on legal responsibilities. The WVSC governance and employment handbooks support third sector organisations in carrying out their responsibilities. Handbooks are updated regularly as there are many changes in the law in these fields at the moment. There is a charge for the handbooks.
Robust Management Systems	Board meetings Board minutes Organisational Chart Staff supervision system	WVSC can advise on management systems in relation to employment (employment handbook) and give general advice on management and HR systems processes and procedures. WVSC is experienced in employment tribunals where they act on behalf of third sector organisations.

Management continuously review performance and plan improvement	Board minutes Work plan Action Plan	WVSC can advise on management systems in relation to employment (eg employment handbook) and give general advice on management and HR systems processes and procedures.
Skills of the Board	Profile of Trustees Knowledge and experience	WVSC publishes a governance handbook to support third sector organisations in the responsibilities of trustees
Quality Assurance Policy	Policy, Action Plan	WVSC Policy and Development Officer can advise on quality assurance policy and systems
Equality and Diversity Policy	Policy and procedure Race Relations Act Compliance	WVSC Specialist Services can advise on policies and procedures including drafting of policies relating to Equality and Diversity and RRA compliance.
Sources of independent advice eg accountant, auditor, solicitor	AGM minutes	WVSC is a source of independent advice which is free of charge in Legal and Financial matters eg Specialist Services Department (Legal) and Community Accountant (Financial).
3. Staff/Volunteers	Suggested Evidence	More Information/Who can Help you with this?
Legal requirements	Employment policies and procedures including recruitment procedure, diversity, Contracts/written terms of employment, risk assessments,	WVSC Specialist Services department provides information and advice on employment policies and procedures and other policies required in third sector organisations. WVSC will advise on and draft written contracts of employment for third sector organisations. WVSC can provide a contact for CRB checks for third sector organisations in Wolverhampton.

	CRB checks if relevant	
Supervision system & disciplinary procedure	Written evidence	WVSC can provide sample policies and procedures, advise and draft policies for third sector organisations.
4. Managing money/ Finance	Suggested Evidence	More Information/Who can Help you with this?
legal requirements/regulations	Appropriate bank account, compliance with SORP VAT registration if appropriate	WVSC Community Accountant can advise on the setting up of appropriate banking arrangements, compliance with SORP regulations and the procedure for VAT registration for third sector organisations.
Robust financial policy, systems and procedures	Policy, Minutes from meetings Compliance with SORP etc	WVSC can provide information and advice and if necessary draft a robust financial policy, systems and procedures appropriate to the size of your organisation. Advice is free. WVSC will charge for some services eg if you ask us to prepare your annual accounts.
3 yrs Financial Accounts	Trading and Profit and Loss Accounts Balance sheet	WVSC Community Accountant can explain what these terms mean, and help your organisation put them in place.
All income and expenditure is clearly accounted for	Annual Accounts/bookkeeping	WVSC can advise on all aspects of practical bookkeeping, preparing financial reports and annual accounts.
5. Managing Risk	Suggested Evidence	More Information/Who can Help you with this?
capacity to deliver – staff, equipment, IT etc	Business/Delivery Plan for activity	WVSC Specialist Services, Policy and Development Officer and Community Accountant can help you identify what should be in a business plan if you do not have one.
Accessible premises – fire, H&S,	Audit reports & review	WVSC Specialist Services Department, and Policy and Development Officer and other staff can advise

DDA compliant	documents Disability Equality Duty strategy Signing in record Equipment checks/records	on these.
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.	WVSC can advise on policies and procedures and draft them as appropriate.
Data Security	Data protection policy and training	WVSC can advise on policies and procedures and draft them as appropriate.
Understanding of Freedom of Information Act	Training Record	WVSC can advise on policies and procedures and draft them as appropriate.
Health and Safety requirements	Policy, Procedures, Action plan, records, reports, induction, training, monitoring and reporting.	WVSC can advise on policies and procedures and draft them as appropriate. NHS can offer training in H&S to third sector organisations.

Data Confidentiality	IT Policy and procedure, data protection policy and training. Staff confidentiality policy.	WVSC can advise on policies and procedures and draft them as appropriate.
Insurance	Relevant cover: Employer Liability,Public Liability; Professional IndemnityRelevant Amount of Cover in £	WVSC can support organisations to identify appropriate types of insurance for their activity.
Environmental	Risk assessment	
6. Monitoring & Evaluation	Suggested Evidence	More Information/Who can Help you with this?
Relevant plan – with outcomes, indicators & timescale, feeding into review	Documented planning cycle	WVSC staff are experienced in outcomes training and in supporting organisations to develop monitoring and evaluation processes.

End of questions