

POLICIES & PROCEDURES - DRAFTING, APPROVING, FILING & REVIEWING

1.0 INTRODUCTION AND RESPONSIBILITIES

1.1 This procedure describes our arrangements for:

- a) drafting new or revised policies and procedures
- b) approving new or revised policies and procedures
- c) saving new or revised documents in the appropriate folder, and ensuring that previous versions are archived
- d) ensuring that reviews of policies and procedures are carried out when they are due.

1.2 The Chief Executive or appropriate Director is responsible for producing new or revised policies or procedures covering their area of responsibility. The task of drafting a particular document may be delegated to a Manager, other ARK officer, or staff group in specific instances.

1.3 Where a policy or procedure relates to activities in more than one department, the responsible Director or reviewing officer will ensure that colleagues in the relevant department(s) are consulted during the drafting process.

2.0 DRAFTING & APPROVING NEW POLICIES AND PROCEDURES

Format

2.1 Policies and procedures will be produced in a standard format, generally following the layout in Appendix 1. For further guidance see existing policies and procedures.

Approving New Policies

2.2 All drafts of new policies will be submitted for approval via a 2 stage process:

Stage 1

New policies will initially be submitted to the Senior Leadership Team for review and approval. The drafts will be accompanied by ARK's policy and procedure review cover sheet (see Appendix 2), which will summarise the background to the policy area, and the reason for the policy being put in place. It will not be necessary to complete the section of the policy and procedure cover sheet in relation to changes to the policy, as this will be the first version.

Stage 2

Following approval by the SLT, draft policies, together with the policy and procedure review cover sheet, will be submitted to the Board of Management, or the relevant Sub-Committee of the Board of Management, for approval, as follows:

- Finance Sub-Committee- All Housing Management, Maintenance and Finance policies
- Board of Management- All other policies

- 2.3 Where a policy involves changes to staff terms and conditions, the HR Director will be responsible for ensuring that the Trade Union is consulted, and their agreement obtained where required.

Approving New Procedures

- 2.4 All drafts of new procedures will be submitted to the SLT for review and approval. The drafts will be accompanied by ARK's policy and procedure review cover sheet.

SLT approval will be sufficient in relation to implementation of new procedures. It will therefore not be necessary to submit new procedures to the Board of Management, or a Sub-Committee of the Board of Management, for approval. .

3.0 REVIEWING POLICIES & PROCEDURES

Reviewing policies

- 3.1 The Chief Executive or relevant Director will be responsible for ensuring that policy and procedure is reviewed, including review by the SLT, in time to be submitted to the Board of Management or Finance Sub-Committee by the due month.

Policies will be submitted for review via a 2 stage process:

Stage 1

A tracked copy of the previous version of the policy, showing changes to the previous version, will be submitted to the SLT for review and approval, together with a completed policy and procedure review cover sheet, summarising key amendments.

Stage 2

Once the SLT has reviewed and approved the changes to the policy, the Board of Management/ Finance Sub-Committee will receive a copy of the policy and procedure review cover sheet **only**, but not the tracked policy. The policy and procedure review cover sheet will, in the majority of cases, provide sufficient information for the Board to review the changes to relevant policies. However, should individual Board or Sub-Committee members wish further information on a particular policy area, a copy of the tracked policy will be made available to them on request.

Reviewing Procedures

- 3.2 The process for reviewing procedures will be as set out in section 3.1 above, except that reviewed procedures will be approved by the SLT only, and not by the Board of Management.

4.0 FILING POLICIES AND PROCEDURES

- 4.1 All current policies and procedures will be filed in the **General** drive/ **Policies & Procedures** folder, within which there are further sub-folders for:

a) Care and Support

c) Governance (Chief Executive's office)

e) Housing

g) Learning and Development

b) Finance

d) Health & Safety

f) HR

h) Maintenance.

- 4.2 The Policies & Procedures folder and sub-folders will be maintained by the Personal Assistant

to the Executive Team (PA). All documents will be saved on a 'read-only' basis so that no unauthorised changes can be made to the version in this master folder.

Archive folders

- 4.3 The PA will maintain a set of archive folders that mirror the current master folders. The purpose of the archive folders is to provide an 'audit trail' of amendments to policies and procedures, should this be required in the future, and to demonstrate that ARK has a continuous improvement process of regular policy and procedure reviews.

Policy & Procedure Master Index

- 4.4 The PA will maintain a master index of policies and procedures (See Appendix 3), which will also be filed in the 'Policies & Procedures' folder.

The index will contain:

- each document's reference number and title
- the month and year it is next due to be reviewed.

- 4.5 The PA will colour code the entries on the master index, as follows:

- Red- Overdue for Review
- Amber- Due for review in the next 6 months
- Green- Due for review 6 months +

Performance in relation to review of policies and procedures will be reported upon through review of the Master Index at meetings of the Senior Leadership Team.

- 4.6 Following approval of a new or revised policy or procedure by ARK's SLT or Board of Management, the PA will:

- check that the final draft is in the correct format, and in particular that the details in the header and footer, are correct.
- save the document in the relevant sub-folder,
- update the master index by entering the title under the relevant month and year, according to when it is due to be reviewed.
- add a hyperlink to the document so that members of staff can access that document directly from the index, and
- save any previous version of the policy/ procedure in the appropriate archive folder, ensuring that it is saved under the relevant version number of that document's title, to distinguish it from any other versions already archived.

5.0 ADVISING STAFF

- 5.1 The PA will ensure that at least once every quarter an email is sent to all Priory staff and all Care and Support/ Registered Operations Managers with a list of the policies and procedures approved or reviewed in that period.

6.0 IMPLEMENTATION AND REVIEW

- 6.1 The Chief Executive is responsible for ensuring that this procedure is implemented by the appropriate staff.

6.2 The Chief Executive will ensure that this procedure is reviewed at least every three years.

Approved by the SLT:

May 2016

Next review due by:

May 2019

ARK HOUSING ASSOCIATION LTD. [ARK]

POLICY or PROCEDURE REF: REF NO.

Version No.– Month Year - e.g. 2016

TITLE - with either POLICY or PROCEDURE at the end

1.0 INTRODUCTION

TEXT – with paragraph and sub-paragraph headings and numbering as in existing policies or procedures.

Always make the final section:

[No.] IMPLEMENTATION and REVIEW - see an existing document for content.

Then, for policies, add the following before any pages with appendices:

Approved by the Senior Leadership Team: [relevant month and year]

Approved by the Board of Management/Finance Sub-Committee: [relevant month and year]

Next review due by: [relevant month and year]

For procedures, add the following before any pages with appendices:

Approved by the Senior Leadership Team: [relevant month and year]

Next review due by: [relevant month and year]

FOOTER: Line 1 - On the left – the title of the document. On the right the version number plus month and year the current version was approved.

Line 2 - On the right – Select Page X of Y from the menu: View - Header & Footer – Insert Auto Text

ARK HOUSING ASSOCIATION LTD.
SLT/ Board of Management

Summary of Amendments to policies/ procedures for consideration and approval – [date]

[Number and Name of Policy or Procedure] (Changes in the attached policy and procedure are in red)

Reviewing SLT/ET Member	
Background on Policy area	
Reason for Policy/ Procedure review (eg 3 yearly review, change in guidance), and summary of key changes)	
Weight of Changes (eg new policy/ major/ minor changes/statutory changes)	
Section	Changes

Red	Overdue for Review
Amber	Due for review in the next 6 months
Green	Due for review 6 months +

Policy No.	Description	Overdue for Review	Next Review Date	Progress
POLICIES FOR REVIEW BY FINANCE SUB-COMMITTEE (4 meetings per year)				
Finance Policies				
F01	Financial Regulations			
F02	Procurement of Goods and Services			
F03	Treasury Management			
F04	Income			
F05	Write-off for Bad Debts			
F06	Banking			
F08	Fixed Assets			
Housing Services Policies				
HM01	Allocations			
HM02	Rent charging			
HM03	Service charges			
HM04	Rent collection			
HM05	Estate management			
HM06	Void properties			
HM07	Neighbourhood Nuisance and Anti Social Behaviour			
HM08	Sustaining tenancies			
HM09	Leases and protocols			
HM10	Tenant consultation and participation			
HM11	Furniture			
HM12	Home loss and disturbance			
Property Services Policies				
M01	Maintenance			
M02	Tenant alterations and improvements			
M03	Partnering			
M04	Contractor insolvency			