CORESS Charity – Policies

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Reviewed:

March 2027 by	March 28 by	March 29 by	March 30 by

Introduction

CORESS (the "Charity") is committed to upholding the highest standards of governance, accountability, and transparency in its operations. The following policies and procedures have been developed to guide the conduct of the Charity's Board of Trustees and other stakeholders, and to align with UK Charity Commission guidelines. The document includes the following policies:

1. **Conflicts of interest policy**
2. **Internal charity financial controls policy**
3. **Safeguarding policy**
4. **Financial reserves and control policy**
5. **Complaints policy**
6. **Serious incident reporting policy**
7. **Risk management policy**
8. **Trustee expenses statement**
9. **Investment policy**
10. **Campaigns and political activity policy**
11. **Bullying and harassment policy**
12. **Social media policy**
13. **Engaging external speakers at charity events policy**
14. **Fundraising policy**

The Charity is committed to adhering to these policies, revieing annually to ensure compliance.

NB: The Charity has as separate DP/GDPR Policy.

1. Conflict of interest policy

Purpose: To protect the integrity of CORESS charity decision making process and identify, prevent and resolve conflicts that may interfere with Officers carrying out their duties.

Policy statement: All Trustees, Officers and employed staff must act in the best interests of the Charity. Any potential or actual conflicts of interest must be disclosed immediately, and those affected must refrain from participating in decisions where a conflict may arise.

Procedure:

1. On appointment: Officers read and sign the Charity Commission Trustee Declaration and disclose any interests.
2. Meetings: Agenda and document pack are circulated in advance so Trustees can declare any interest in advance and withdraw from the specific discussion.
3. The Chair will ask for any interest to be declared at each meeting; the Chair may ask a Trustee to recuse themselves indefinitely.

2. Internal charity financial controls policy and procedure

Purpose: To ensure financial controls are essential checks to ensure the Trustees meet their legal duties to protect charity assets, manage finances and assets in a way that manages risk, ensures adequate record keeping and ensure charity law is complied with.

Policy statement: Adherence to this policy ensures charity finances are managed reasonably and prudently and within the law.

Procedure:

1. The Charity will comply with its obligations in relation to accounting as set out in Part 8 of the Charities Act 2011. The Charity will maintain all accounting records as required by such legislation.
2. Bank accounts will be held in the name of the charity. All income and expenditure noted.
3. The appointed Treasurer will provide a financial update at each Board meeting, and other meetings as required.
4. Financial accounts will be circulated annually to the Board for scrutiny, and more widely to the AGM.

3. Safeguarding policy

Purpose: To ensure that the Charity takes all reasonable steps to protect children, young people, and vulnerable adults from harm.

Policy Statement: The Charity is committed to safeguarding the welfare of children, young people, and vulnerable adults. Trustees, Officers and employed staff have a duty to act on safeguarding concerns.

Procedure: If the Trustees determine that the Charity is working with children or adults at risk, the following procedures will apply:

1. A Designated Safeguarding Officer (DSO) will be appointed to oversee safeguarding matters.
2. All Trustees, Officers and employed staff will receive regular safeguarding training.
3. Any safeguarding concerns must be reported immediately to the DSO, who will take appropriate action.
4. Serious Incident Reporting: Any safeguarding incidents will be reported to the Charity Commission in line with the Serious Incident Reporting Policy.

4.Financial reserves control policy

Purpose: To ensure the Charity maintains an appropriate level of reserves to meet its obligations and unforeseen challenges.

Policy Statement: The Charity will hold reserves to ensure financial stability and protect against risks. The level of reserves will be reviewed annually by the Trustees. An independent Accountant will be appointed to draft the Annual Report and Financial Statement; on agreement these will be made public at the AGM.

Procedure:

1. The Charity will set a minimum reserve level based on its financial obligations and risk assessment.
2. Reserves will only be used in exceptional circumstances, and any use will be approved by the Board of Trustees.
3. The reserves policy will be reviewed annually, and any changes will be reported in the Annual Report.

4. An Annual Report and Financial Statement will be prepared by an external Accountant, the contents reviewed and approved by Trustees and shared publicly at an AGM where questions can be asked. This document will be uploaded to the Charity Commission.

5.Complaints policy

Purpose: To provide a clear and transparent process for addressing complaints from beneficiaries, members of the public, staff, volunteers, and other stakeholders.

Policy Statement: The Charity takes complaints seriously and strives to resolve them promptly, fairly, and effectively. Complaints are a valuable tool for learning and improving the services we provide.

Procedure:

1. Complaints should be submitted in writing via email to the Charity administration email or post to the Charity's main office, both listed on the website. Complainants will receive acknowledgment of their complaint within 5 working days.

2. The relevant individual responsible will investigate the complaint. The complainant will receive a full response within twenty working days of acknowledgment. If more time is required, the complainant will be informed.

3. If the complainant is unsatisfied with the outcome, they may request an internal review by the Chair of Trustees. This review will be completed within 20 working days.

4. If the issue remains unresolved, the complainant may appeal to the full Board of Trustees for a final decision.

6. Serious incident reporting policy

Purpose: To ensure that the Charity complies with its legal obligation to report serious incidents to the Charity Commission.

Policy Statement: The Charity is committed to reporting any serious incidents that pose a risk to the Charity's beneficiaries, assets, reputation, or operations.

Procedure:

1 A serious incident includes, but is not limited to, fraud, theft, safeguarding concerns, significant financial loss, and data breaches.

2 The Chair or any other designated Trustee is responsible for reporting serious incidents to the Charity Commission. The report will include full details of the incident, the actions taken, and how future occurrences will be prevented.

3 Any Trustee or Officer who becomes aware of a potential serious incident must report it immediately to the Chair.

7. Risk management policy

Purpose: To identify and manage risks that may affect the Charity's ability to achieve its objectives.

Policy Statement: The Charity is committed to a proactive and systematic approach to risk management, ensuring that all risks are identified, assessed, and managed appropriately.

Procedure:

1 The Charity will maintain a risk register that identifies key risks across operational, financial, reputational, and governance areas. The register can be found at the end of this document.

2 Risks will be assessed based on their likelihood and potential impact and assigned a risk rating.

3 Appropriate controls and strategies will be put in place to manage and mitigate each risk identified.

4 The risk register will be reviewed at least annually by the Board, and significant risks will be reviewed more frequently as needed.

8. Trustee expenses policy

Statement: The charity does not cover Trustee or Officer expenses.

9. Investment Policy

Purpose: To ensure prudent management of the Charity's investments while achieving the best possible return in line with the Charity's objectives.

Policy Statement: If the Charity decides to invest it will maintain a diversified investment portfolio that generates income and capital growth while managing risk appropriately. The Board may delegate investment management to a qualified professional or discretionary investment manager.

Procedure:

1 The Charity's investments should support its financial sustainability by generating income and capital appreciation over the long term.

2 The Charity may delegate investment management responsibilities to a qualified investment manager or discretionary manager. Such delegation will be subject to:
    i. A clear written agreement detailing the terms of the arrangement.
    ii. Regular reviews to ensure the manager is performing in line with the Charity's objectives.
    iii. The investment manager adhering to any ethical investment guidelines set by the Charity.

3 The Board will receive quarterly reports on the performance of the Charity's investments. The Trustees will review the investment policy annually to ensure it remains fit for purpose.

10. Campaigns and political activity policy

Statement: The charity does not undertake campaigns and is not politically active.

11. Bullying and harassment policy

Purpose: To ensure all involved in, and with, CORESS are treated with dignity and respect.

Policy Statement: The Charity will ensure all working with CORESS are free from behaviour that could be interpreted as bullying or harassment or that causes offence, taking action if concerns are raised.

Procedure:

1. The Charity recognises that bullying is unacceptable and that harassment is unlawful under the Equality Act 2010. Neither are tolerated.
2. Informal complaints can be raised with the PD or DPD for review and action, including response to the complainant.
3. Formal complaints, or escalation of information complaints, are to the Charity Chair for review and action, including response to the complainant.
4. Complaints and action/resolution are discussed at Board and captured in the minutes.

12. Social media policy

Purpose: A guide for use of CORESS social media channels, and for individuals using social media in a personal capacity as a representative of the CORESS.

Policy Statement: Social media contributes to the success of communicating CORESS's work and raising funds for support. CORESS may designate individuals to participate in social media and

engage with CORESS audiences and stakeholders, contribute to relevant conversations, and raise the profile of CORESS's work, using the charity's accounts. CORESS associates e.g. Advisory Board members, may also support the charity's work using their personal accounts. It is important that all represent and reflect CORESS in the best possible way, noting publication and commentary on social media is subject to the same laws as other kinds of publication or commentary in the public domain. This policy applies to all social media platforms used including online blogs, wikis, podcasts, forums, and messaging based apps, such as WhatsApp.

Procedure:

1. CORESS PD/DPD will assess each platform and will only be active in those with a positive environment. A version of table 1 will be completed by the PD/DPD, shared with the Executive and kept centrally on Google Drive. This list will be reviewed yearly.

2. CORESS accounts will only be set up with PD authorisation, access details held centrally on Google Drive.

3. Posts on CORESS accounts will be pre agreed with PD/DPD in advance to maintain consistency of the charity brand/message, e.g. Case of the Month, event promotion. Posts will be factual, honest and related only to CORESS work and sphere.

4. CORESS may encourage associates to post or repost key messages provided by email or in meetings.

5. Complaints are via the complaints policy. Escalation in a crisis is to PD/DPD and on to CORESS Chair.

Table 1:

Channel	Owner of channel	Currently in use? How used? What for?	Who uses it?	Benefits of channel	Risk of channel
Facebook	Not in use				
X	N/A	Not in use due to Content			
Instagram	Not is use				
TikTok	Not in use				
YouTube	PD/CR	5 Talks/Symposium recordings	Emmantech, public	Links to CORESS website	Resource intensive, potentially look out of date
WhatsApp	Not in use				
LinkedIn	PD/CR	Landing page	public	Basic info, web page link	Professional reputation, cybersecurity
[Other]					

13. Engaging external speakers at charity events policy

Purpose: To ensure the Charity sources and engages with external speakers professionally and in a consistent manner, representing the Charity positively.

Policy Statement: The Charity may engage external speakers for charity events e.g. annual symposium. Speakers will be approached professionally, communicated with regularly and supported by the Charity, through any event they are invited to attend.

Procedure:

1. Any speaker identified for an approach by the CORESS team, or nominated by CORESS Advisory Board or contacts, will be assessed for their relevance and appropriateness for the event.

2. The PD/DPD, or Administrator if instructed, will make contact with the proposed speaker to extend an invitation, providing details of the event, and timings.

3. Once a speaker is agreed the Administrator will maintain contact with the speaker until the event, ensuring they have relevant details, access information, are aware of the programme and provide written approval to any relevant programme content, recording and post event content use.

4. A formal written thank you, approved by the PD, will be sent to external speakers post event.

14. Fundraising Policy

Purpose: To ensure the Charity's fundraising activities are ethical, transparent, and comply with all relevant laws and regulations.

Policy Statement: The Charity is committed to conducting all fundraising activities in a way that upholds its values, protects its reputation, and respects the dignity and rights of donors and the general public.

Procedure:

1 All fundraising activities will comply with the Charity Commission's guidelines, the Fundraising Regulator’s Code of Practice, and any other relevant regulations.

2 Information about the Charity’s fundraising objectives and how donations are used will be made available to all potential and actual donors.

3 Donors' personal data will be treated in accordance with the Charity’s Data Protection Policy.

4 The Charity will not engage in fundraising practices that could be perceived as unethical or exploitative.

5 Fundraising approaches must be consistent with the values of the Charity and must not bring the Charity into disrepute.

6 Any complaints or concerns about fundraising activities will be addressed following the Charity's Complaints Policy.

Risk Register:

This risk register identifies and assesses potential risks related to the charity's work. It outlines mitigation strategies to minimize the impact of these risks. By actively managing risks, the charity can protect its assets, maintain its reputation, and ensure its long-term viability in fulfilling its charitable purpose.

Scoring:

Likelihood of Occurrence: 1 (Rare) to 5 (Almost Certain)
Severity of Impact: 1 (Minor) to 5 (Catastrophic)
Overall Risk: Likelihood x Severity

Identified Hazards and Risks

Hazard	Risk	Control Measures	Likelikhood of Occurrence	Severity of Impact	Overall Risk
Data Protection Breaches (Limited data kept)	Loss of confidential information, reputational damage	Secure data storage – laptop protection, strong passwords, data protection policy, incident response plan	1	5	5
Incorrect / incomplete / out of date information published	Reputational damage Potential harm to patients Impact on funding	Cross specialty Advisory Board input Programme Director moderation/review. Multiple reviews pre-publishing	1	5	5
Lack of funding	Closure of the charity	Yearly fundraising mail-outs Requests for contacts from Board members	4	5	20
AB members drop out due to other commitments	Loss of experience Reduced breadth to cases can review Reduction in audience	Regular communication to Advisory Board Rotation of meeting dates/times to reflect AB availability Follow up with Associations for replacements	2	3	6