



SOCIAL ENTERPRISE GOLD MARK
ACCREDITED FOR BUSINESS EXCELLENCE

The Social Enterprise Gold Mark

Pre-Assessment Review Form

Introduction

The following Pre-Assessment Review is designed to help you explain how your organisation meets Social Enterprise Gold Mark best practice criteria and is a central component of the overall assessment process. Some questions and items of evidence are listed as mandatory, so you must provide a response to these (even if it is just to confirm there are no relevant details to share).

However, failing to answer questions or provide positive evidence does not mean automatic failure to meet the criteria. The final assessment of how well your organisation meets the criteria is based on your response as a whole. Please refer to the Assessment Guide for further instructions before proceeding.

Organisation Details

Name of organisation	
Main address	
Main contact (person completing Self-Assessment)	
Contact Telephone number(s)	
Contact e-mail address	

List the approximate number of people you employ, or who regularly provide a service/function within your organisation, in each of the following categories.	Full	Part-time
Paid employees on full or part-time contracts:		
Casual contracts/zero hour contracts:		
Internships:		
Unpaid volunteers:		
Sub-contractors/freelancers:		

Please bullet-point your core social purposes and other significant strategic social objectives or interests. NB: social objectives <i>includes</i> environmental objectives.

Bullet point your principle sources of income and trading activities. If you are regularly in receipt of grants, donations or other non-trading income please make a note of these elements as well.

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Criterion G – Robust Governance

1. A copy of our latest governing documents has been provided (i.e. constitution, articles of association, company rules etc.). This includes recent amendments.	YES	NO
2. A copy of our latest list of shareholders and/or register of members has been provided.	YES	NO
3. A copy of our current business plan and other related strategy documents have been provided.	YES	NO
4. A copy of our previous business plan and other related strategy documents have been provided.	YES	NO

If you have not forwarded a list of shareholders or register of members, provide a general description of the individuals or groups this comprises below. If you are unable to provide any of the other evidence listed above, please also explain why and describe other alternative evidence you may have available.

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5. Describe your governing body recruitment policies and methods (i.e. Board, Trustees, Governors).

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6. Describe arrangements for the induction of new members of your main governing body, along with any ongoing training they receive to help them in their role.

7. Describe the composition of your governing body and include a note of the following points:

- Number and break-down of types of member (i.e. Executive Directors; Associate Directors etc.).
- How often do they meet?
- Either below or within supporting evidence, include a list of members and functions they fulfil (together with any supporting biographical backgrounds, if this available).
- How any key stakeholder group(s) you are concerned with are being represented.

8. List and describe the function of any other formal governance structures and arrangements you have in place, to help manage and report on different business concerns. This may include the following:

- Associate committees to the Board - Quality Groups.
- Employee Councils – Other Stakeholder Boards/Councils.

9. Reflecting on the arrangements and groups you have described above (question 8), describe or provide supporting evidence that illustrate how they work. Include such details as:
- Who is involved with them and how are people nominated or recruited?
 - How often do they meet?
 - How do they engage with other employees or external stakeholders?
 - Please forward and reference below any policies or terms of reference that describe the responsibilities of any structures you list or how arrangements work.
 - Please forward and reference any examples of action plans, reports or similar material that helps illustrate the output of any groups you mention.

10. Please list other evidence you can provide that helps illustrate planning and decision-making accountability, along with how such interests are communicated to people? This could include:
- Meeting agenda items and notes.
 - Action Plans, memos and reports produced by different governance/meeting groups.

11. Please reference any evidence you have provided describing strategies and plans, along with how these have been informed. These should reflect upon your trading purposes, along with any other social outputs and interests and could include:
- The rationale that informs objective setting the (e.g. market reports and your responses to them; SWOT analyses and similar).
 - The activities and actions planned in support of achieving different objectives.
 - Key performance indicators or other measures through which progress towards objectives and their achievement will be assessed.
 - How you strive to maintain competitive edge through innovation and diversification of products, services and other business activities.
 - Key areas of investment.

Use the section below to both summarise the above details (particularly where there may not be any clear supporting evidence to refer to) and provide links to evidence that expands upon them.

Criterion H – Effective Stakeholder Engagement

12. List and describe the groups of people who are the main *beneficiaries* of your services and social output - service users, clients, customers, community groups, special interest agencies or groups etc.

Remember to highlight **key stakeholders** who represent your priority beneficiaries. If it is not immediately evident, please explain why you consider them to be key stakeholders.

13. List or describe those groups of people and other agencies who are instrumental to the *delivery* of your services and social output. This includes your employees and volunteers; contracting bodies; sub-contractors; regulatory bodies; other significant associates and partners.

Other than your employees, you should highlight **key stakeholders** and explain why.

14. If you have not done so under “Robust Governance” above, describe how your **key stakeholders** listed above are directly represented through any of your *formal* governance structures.

You should refer to any formal policies that define requirements for their representation and how this works (i.e. minimum numbers or representation; nomination/recruitment processes).

15. Describe any regular arrangements and activities that help reinforce general communications with employees. How do you communicate plans and objectives, report on progress and developments, whilst engaging employees these matters and in ways that influence decision-making?

16. If you use volunteers in any part of your organisation, how do you encourage their involvement and engagement in organisational planning, objective setting, and influencing operational developments?

17. Describe how you generally communicate and regularly engage with your external **key stakeholders** (i.e. those you have listed above) in ways that help inform what you do, how you support them, influencing plans and decision-making? This may include such details as:

- Membership of other company boards.
- Membership of working or steering groups.
- Contributing to consultation activities undertaken by your Stakeholders.
- Regular and informal ongoing contacts - what purposes and form they take.

18. Describe any stakeholder/community consultation or research that has helped inform your understanding of stakeholder groups and needs (**including employees**), along with how they perceive the effectiveness of general operational methods, policies and plans. Consider such details as:

- Stakeholder mapping exercises.
- Staff surveys - Community surveys - Consultation events.
- The frequency of regular actions you take and when they last occurred.
- The overall size of the groups you have targeted and the numbers invited to take part.
- The numbers actually taking part/responding.

Only list and describe the activities/actions you have taken: you do not need to describe the results of this at this point but are invited to expand upon such matters later.

19. What examples can you provide that show how you have responded to employee/volunteer input and how this has influenced internal operational activities, methods and approaches? This could include how they have contributed to developments in such matters as:

- Internally policies (e.g. recycling, health and well-being, employee benefit systems, training).
- Leadership and management.
- Operational resources and systems.
- Refurbishments and relocations.

20. What examples can you provide that show how you have responded to employee/volunteer input and how this has influenced main plans and objectives, the organisational activities and service delivery designed to fulfil them. This could include:

- Externally directed operational policies and other changes to the way you do things.
- New services or initiatives implemented.
- Investments in service resources or other activities.
- Specific objectives and key performance indicators (KPIs) you can point to in your plans.

21. What examples can you provide that show how you have responded to external stakeholder input and how this has influenced both internal and externally directed operational policies, plans and objectives, the organisational activities and service delivery designed to fulfil them (see examples above under questions 19 and 20):

Criterion I – Ethical and Good Business Practice

22. Do you have a pay and remuneration policy and have you provided a copy of this?	YES	NO		
23. What is your current pay-ratio? <i>(The comparison between the highest and lowest paid members of your workforce: e.g. 1:15)?</i>				
24. When was this ratio last reviewed and recorded (date) and how regularly is it reviewed?				
25. Do you publicise pay-scales and pay-ratios internally (including those of the most senior managers and leaders)?	YES - BOTH	PAY-SCALES ONLY	PAY-RATIO ONLY	Neither
26. Do you publicise pay-scales and pay-ratios externally (including those of the most senior managers and leaders)? If so, please describe how in the comments box below.	YES – BOTH	PAY-SCALES ONLY	PAY-RATIO ONLY	Neither
27. What is the lowest wage you pay (per hour)?				
28. Do you employ casual, zero hours contracts or internships?	YES	NO		
29. Do you employ agency staff or use sub-contractors in any parts of your organisation in the delivery of any ongoing regular activities (this may be in main operations or support roles such as cleaning/catering staff, temporary administrative support)?	YES	NO		
30. Do you require employment agencies and sub-contractors to use the same pay-scales you have described for main employees and actively ensure these are applied? (If so, please describe how you do this in the comments section below).	YES	NO		
Please include any additional comments you would like to make regarding the above questions (remember to describe how pay-scales and pay-ratios are publicised if you have declared this above and elaborate on pay agreements with agencies and sub-contractors).				

31. If you employ casual, zero hours contracts or internships, please describe how these are used. You should describe and confirm:

- Roles in which such arrangements are used and the rationale as to why they are being used.
- If such arrangements are preferable for people concerned - how and why this is so.?
- The approximate number or percentage of employees employed in such arrangements.
- Any efforts you have taken to reduce such arrangements and other plans to do so.
- Any formal policies that have been produced regarding the use of such arrangements.

32. If you regularly employ agency staff or sub-contractors, please describe how these arrangements are used. You should describe and confirm:

- Parts of the organisation or roles in which such arrangements are used and why.
- The approximate number or percentage of employees employed in such arrangements.

33. Do you have policies covering the following concerns and have you provided a copy of these?		
Health & well-being/Work-life balance.	YES	NO
Employee benefits packages.	YES	NO
Workforce development.	YES	NO
Equality and diversity.	YES	NO
Health & safety management.	YES	NO
Employing People with Disabilities/Health Conditions.	YES	NO
Environmental management and conservation.	YES	NO
Recycling.	YES	NO
Procurement (including supplier contracts terms and conditions).	YES	NO
Quality management.	YES	NO
Complaints handling and response.	YES	NO
List other policies you have in place underpinning business management interests (provide copies):		

34. In the sections that follow, please describe the actions you have taken to promote and implement any of the above-mentioned policies. **You do not have to describe actions for every policy you have in place but should try and provide responses elaborating upon at least three policies (and to reinforce the strength of your review at least five).**

In doing so, you may want to refer to:

- Specific initiatives.
- The financial investment in supporting policies and related resources.
- Development and improvement plans.
- Reports that demonstrate how you go about monitoring your performance relevant to each policy.
- Measures/KPIs relating to the implementation of policies.
- Other specific achievements and improvement gains.
- Awards or standards that have been achieved (or you are working towards).
- Any individual examples or case-studies that are illustrative of how different policies have been applied **and which people would confirm are indicative of general best practice.**

Health & well-being/Work-life balance.

Employee benefits packages.

Workforce development.

Health & safety management.

Equality and diversity.

Environmental management and conservation.

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Recycling.

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Procurement (including supplier contracts terms and conditions).

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Quality management.

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Complaints handling and response.

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Other policy implementation.

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Criterion J – Financial Transparency

35. Copies of our last two sets of filed accounts have been provided (preferably independently audited accounts).	YES	NO
36. If not contained within the above accounts, copies of supporting financial statements with a detailed breakdown of income, expenditure and profit distribution, have been provided.	YES	NO
37. A copy of our financial forecasts/projections for at least the forthcoming year has been provided (likely income and expenditure).	YES	NO

Please include any additional comments you would like to make regarding the above.

38. Do you have a general bonus payment system that is inclusive of most employees (not employee benefits packages – only financial bonuses)? If so, describe how this works and remember to note:

- The minimum and maximum bonuses paid in the last full accounting year.
- The total bonuses paid out to employees in the last full accounting year.

39. Outside of any general employee bonus payment system, have you paid any other bonuses or paid for other in-kind benefits to any individuals during the last three years? This will include any employee benefits packages you may have already described above, and if you have not already noted this previously, please remember to note:

- The rationale behind such bonuses/in-kind benefits.
- The individuals or groups of people who received such bonuses/benefits.
- The cost of these in-kind benefits in the last full accounting year.

40. Have you made any other payments to shareholders/members, or owners? This could include dividends, interest payments, refunds – any sort of financial receipt. If so provide a breakdown of the payments and payees.

41. If you have made losses during the last three years, or profit-margins have been low, please explain the reasons behind this. What actions have been taken, or plans are in place, to return to a healthier financial position?

42. Describe and **wherever possible quantify** any financial investments and contributions you have made in support of purely social and positive environmental objectives.

At this point you should only include those investments that may be described as purely altruistic and do not directly relate to trading activities, developing your trading services or other operational interests. This could include:

- Donations to charities, community groups or other special social interests.
- Investments in external community resources.
- Provision of internal resources, site space and other “in-kind” contributions.
- Sponsorship.
- Employee volunteering in the community etc.

43. Describe and quantify any significant investments in developing your service provision that are specifically intended to add social value or generate additional social impact through what you do.

You should only refer to investment that clearly delivers benefits that go “above and beyond” expected service requirements, levels and quality of service, agreed contractual outputs etc., that service users, clients/customers, commissioning bodies and contracting agencies etc. would recognise as such. This could include:

- Investment in service enhancements that you are not contractually expected to provide.
- Investment in resources that enhance services. (e.g. buildings; property; equipment; additional resources, including people, or extra training people may receive beyond what is expected).
- Delivering additional outputs to those you are contracted/paid to deliver.

44. Describe and quantify any significant investments in business development and expansion, improving trading potential and sustainability.

Criterion K – Reporting Social Impact

45. How do you measure and report on the social impact arising from your activities?	
(1) We rarely reflect upon our social impact.	
(2) We occasionally reflect upon our social impact.	
(3) We regularly but mostly informally reflect upon our social impact.	
(4) We use internal and/or external, systematic methods of assessing our social impact.	

If you have selected option 4 above, please answer the questions that follow:

(5) We use external agencies and methods when assessing and reporting our social impact and have provided evidence of this.	
(6) We use a range of key performance indicators that help us measure our social impact and have provided evidence of this.	
(7) We quantify the financial social value we create and have provided evidence of this (this may be evident through direct investment or “in-kind” value calculations and savings).	
(8) We produce our own detailed reports on our social outputs and social outcomes generated from these and have provided evidence of this.	
(9) We publicise our social impact through sharing reports, PR materials, case-studies etc., and have provided evidence of this.	
<ul style="list-style-type: none"> If you have selected any options from 5 – 9, please list all the reports you have provided in the box below and describe how you share and publicise these (remember to summarise the methods and any agencies who have been employed in assessing and helping report your social impact). <p>NB: at this stage we are not asking you to provide details on findings or results from your social impact measurement – just methods of reviewing, reporting and publicising this.</p>	

In the sections that follow, you are initially asked to provide a **summary** of how you have strived to achieve social impact by answering set questions. These statements will be published online through the Social Enterprise Mark Holder Directory: concise responses are therefore preferable, to make the statements more accessible to a wide audience. They help promote what you do but also serve purposes of transparency regarding your achievements, so you should be able to substantiate any claims you make if ever challenged.

PLEASE NOTE: the Social Enterprise Mark/Gold Mark is not an environmentally specific accreditation and these types of output and outcome are considered equivalent to “social” ones. If environmental, conservation and recycling objectives are part of your primary social purposes, you should focus on these in the general questions exploring your social impact. If these are not your primary social purposes but you have approaches in place that create such benefits, there is a specific section where you can describe these.

46. What social differences and changes have you aimed to create (or supported)? Consider the following:
- What social interests, issues or needs have you been trying to address?
 - What social improvements have you endeavoured to promote?
 - What social benefits have you sought to deliver?
 - What lasting differences/big changes have you strived to influence?

47. What actions have you taken to make the differences and changes you have described above? Consider the following:
- What services have you provided?
 - What initiatives have you implemented or supported?
 - What other **specific** actions have you or your people taken?
- Wherever possible, please try and quantify or qualify your statements with specific measures that illustrate the extent of your actions and different outputs.

48. What has changed and what benefits have been realised as a result of the above actions? Consider the following:
- How/in what ways have individuals benefitted?
 - How/in what ways have the communities you work with benefitted?
 - How/in what ways have other stakeholders you work with benefitted (e.g. other organisations, the public sector)?
- Wherever possible, please try and quantify or qualify your statements with specific measures that illustrate the extent of the benefits or improvements you have created or influenced.

49. How do you and other people know your aims are being achieved? Or how will you know? Consider the following:

- Looking back, how do you know you what changes, improvements and benefits have arisen from your activities (e.g. the use of surveys; evaluation activities; other feedback from stakeholders)?
- Looking forward, how will you know when change has happened and benefits have been realised?
- In what ways do you or will you report upon the differences you have made (internally and externally)?

50. If you have not included such data in your responses above, please try and quantify the scope of your social output and social outcomes arising from this. Consider the following:

- The number of people who have directly accessed a service or activity you have supported (you should break this down according to different services and activities).
- The nature of the benefits and outcomes people have experienced as a result of your interventions (again, please try and quantify or qualify the extent of these different benefits).
- The number of locations and different communities you work in.
- Groups of people that indirectly benefit from your inputs (e.g. families).

Remember to be clear about the nature of the changes, improvements or benefits experienced (e.g. gone into employment; improved sense of well-being or health benefits; numbers of people housed;).

If you have not included such information in your responses above, what examples can you provide of a typical service user experience, that help illustrate the benefits they have experienced as a result of your actions?

Please provide a selection of short examples/case studies of how you have helped people (groups or individuals) and reference any more detailed versions of these in your supporting evidence.

51. If you have not included such information in your responses above (including those under the “Financial Transparency” section) what additional social benefits have you been able to deliver within your core services, that distinguish you from similar “for shareholder profit” providers? Consider the following:

- What additional service outputs do you provide that are unpaid for i.e. they are not covered by contracts or other fees received, and there is no expectation for you to provide them (e.g. additional service user outputs; free or subsidised support actions; actions that enhance the quality of the service user experience)?
- What was your actual financial investment/the cost in delivering these extras?
- What other factors can you describe that differentiate your service delivery ethos from that of a “for shareholder profit” provider?

52. If you have not included such information in your responses above (including those under the “Financial Transparency” section), what other social benefits have you contributed that go beyond your core delivery activities (ones that are completely unrelated to your main services)? Consider the following:

- Actions such as staff volunteering in the community (during their normal paid hours)?
- Other resources have been made freely available for use by the community?
- Any charitable donations or other community investments.
- Savings created for public or community resources.
- **NB:** Remember to note your financial investment/the cost in these additional activities.

53. If you have not included such information in your responses above, what social and environmental benefits have you created from internal operational policies and actions? Consider the following:

- Employee benefits (ones that clearly go beyond typical good employment practice).
- Recycling and environmental benefits, energy/carbon reduction usage.
- **NB:** Remember to note your financial investment/the cost in delivering these benefits.

54. If you would like to expand in more detail upon the summary of the social impact you have provided in response to the above questions, please use the section below to do so.