| Charities Governance Code Sample Compliance Record Form |
| --- |



**This guidance document has been developed by Carmichael to help charities that are implementing the Charities Governance Code to complete the Compliance Record Form. The document is for guidance only and organisations should complete their own Charities Governance Code Compliance Record.**

Under the [Charites Governance Code](https://www.charitiesregulator.ie/media/1609/charities-governance-code.pdf) all registered charities are required to complete a Charities Governance Code Compliance Record Form every year.

In order to complete a Compliance Record Form organisations will need to record:

* the actions that your charity takes to meet each standard of the [Charities Governance Code](https://www.charitiesregulator.ie/media/1609/charities-governance-code.pdf); and
* the evidence that backs this up.

You should approve the Compliance Record Form at a board meeting before you report on your compliance to us.

Every year after your first report, you need to follow ‘What are the ten steps to comply?’. The Charities Regulator may ask to see your most recent Compliance Record Form or any earlier Compliance Record Form at any time.

The type of evidence we expect depends on the complexity of your charity.

The minimum expected of all charities would be to discuss and agree at board meetings how they will meet the standards and document their decisions in the minutes. For volunteer-only charities this will be enough to meet many of the core standards.

The Charities Regulator would expect a charity with paid staff to provide more documentation like workplans and written policies as evidence of the actions they have taken.

The Charities Regulator would expect more complex charities to provide more extensive documentation than other charities.

Please note the glossary within the [Charities Governance Code](https://www.charitiesregulator.ie/media/1609/charities-governance-code.pdf) should be used when filling in the form.

| Sample Compliance Record Form |
| --- |
| Principle 1: Advancing charitable purpose **1 Core standards for advancing charitable purposes** |
| 1.1 Be clear about the purpose of your charity and be able to explain this in simple terms to anyone who asks.  Actions our charity takes to meet standards.   |  |  |  | | --- | --- | --- | | |  | | --- | | We regularly review our constitution. The last update was approved on … | | Our purpose and objectives are stated each year in [consider where else you are stating this e.g. annual report, website] | |   Evidence of our actions   |  |  |  |  |  | | --- | --- | --- | --- | --- | | |  | | --- | | Constitution | | Minutes of meetings at which Constitution reviewed and approved [Link] | | Annual Report [Link] | | Website [Link] |   AGM/EGM of meeting where the Constitution was approved/updated [link] | |
| Compliance Record Form |
| 1.2 Consider whether or not any private benefit arises ([see glossary](https://www.charitiesregulator.ie/media/1609/charities-governance-code.pdf)). If a private benefit arises, consider if it is reasonable, necessary and ancillary to the public benefit that your charity provides.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | Meeting to discuss what private benefit, if any, arises and assess accordingly. | |   Evidence of our actions   |  |  |  | | --- | --- | --- | | |  | | --- | | Minutes of meetings at which private benefit discussed and reviewed [Link] | | Relevant policy e.g. Financial Management or Remuneration Policy |   Relevant benchmark salary scales e.g. HSE salary scales for health professionals, civil service grades pay scales etc. | |
| Compliance Record Form |
| 1.3 Agree an achievable plan for at least the next year that sets out and budgets for what you will do to advance your purpose.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | Meeting(s) to develop work plan for the year ahead | |   Evidence of our actions   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Minutes of meeting(s) held to develop work plan [Link] | | Work plan [Link] | | Budget [Link] | | |  | |
| Compliance Record Form |
| 1.4 Make sure your charity has the resources it needs to do the activities you plan. If you don’t have the resources, you need to show a plan for getting those resources.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | Meeting(s) held to develop/approve work plan include of discussion regarding required resources [Link] | |   Evidence of our actions   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Minutes of meeting(s) held to develop work plan which include evidence of discussion regarding resources [Link] | | Work plan [Link] | | Budget [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 1.5 From time to time, review what you are doing to make sure you are still:   * **acting in line with your charity’s purpose; and**   providing public benefit.  Actions our charity takes to meet the standards.   |  |  |  | | --- | --- | --- | | |  | | --- | | We regularly review our work to ensure we continue to act in line with our charity’s purpose and provide public benefit We regularly review our constitution. | | Our purpose and objectives are stated each year in [consider where else you are stating this e.g. annual report, website] and we provide a commentary on what we doing/have achieved to achieve our purpose | |   Evidence of our actions   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | |  | | --- | | Constitution | | Minutes of meetings at which Constitution reviewed [Link] | | Minutes of meetings at which work reviewed [Link] | | Annual Report [Link] | | Website [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| Additional standards |
| 1.6 Develop your charity’s strategic plan and associated operational plans.  Actions our charity takes to meet standards.   |  |  | | --- | --- | | |  | | --- | | We conduct a strategic planning process involving the board and management and develop a 3-year strategy and strategic implementation plan. This plan is supported by annual operational plans for each functional area. | |   Evidence of our actions   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Strategic Plan [Link] | | Strategy Implementation Plan [Link] | | Operational plans e.g. Finance Dept. Plan / HR Plan | | |

|  |
| --- |
| Sample Compliance Record Form |
| 1.7 Make sure there is an appropriate system in place to:  monitor progress against your plans; and  evaluate the effectiveness of the work of your charity.  Actions our charity takes to meet the standards.   |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | | |  | | --- | | Operational progress reports: CEO reports to the Board for each board meeting. | | Monthly Management Accounts are prepared by the Finance Manager. | | The management team prepare Quarterly Key Performance Indicators which the CEO communicates to the Board. | | The Finance Manager in conjunction with the CEO and the management team prepare an annual budget for the organisation. | | A Mid-year budget review is prepared by the Finance Manager. | | The CEO co-ordinates the preparation of strategy implementation status report. | | Line Managers and the CEO prepare an annual operational plan based on the 3-year strategic plan for their areas of responsibility. | | An Annual Report is prepared by the CEO with input from the management team which is formally reviewed and approved by the Board. | |   Evidence of our actions   |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | | |  | | --- | | CEO Report to Board [Link] | | Minutes of Board meetings [Link] | | Board meeting minutes [Link] | | Operational plans | | Management Accounts | | Annual Report [Link] | | Budget [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 1.8 From time to time, consider the advantages and disadvantages of working in partnership with other charities, including merging or dissolving (winding up).  Actions our charity takes to meet the standards.   |  |  |  | | --- | --- | --- | | |  | | --- | | Meeting(s) to consider the extent to which your organisation works in partnership with other organisations. | | Meeting(s) to consider merging with similar organisations. | |   Evidence of our actions   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Minutes of meeting(s) to consider the extent to which your organisation works in partnership with other organisations. [Link] | | Minutes of meeting(s) to consider merging with similar organisations. [Link] | | Memorandum(s) of Understanding with other organisations. [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| Principle 2: behaving with integrity |
| 2 Core standards for behaving with integrity  2.1 Agree the basic values that matter to your charity and publicise these, so that everyone involved understands the way things should be done and how everyone is expected to behave.  Actions our charity takes to meet the standards.   |  |  |  | | --- | --- | --- | | |  | | --- | | We have developed a code of conduct for our board trustees which each trustee receives and signs on appointment. | | Each year following the AGM, all the charity trustees are issued the code as a reminder and are asked to return a signed copy to the company secretary. | |   Evidence of our actions   |  |  | | --- | --- | | |  | | --- | | Code of Conduct for Trustees [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 2.2 Decide how you will deal with conflicts of interests and conflicts of loyalties. You should also decide how you will adhere to the Charities Regulator’s guidelines on this topic.  Actions our charity takes to meet the standards.   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | |  | | --- | | We have developed a Conflict of Interest Compliance form and a Disclosure of Interests form which is given to each new trustee to be read and signed | | The code of conduct for our board trustees requires trustees to declare any conflict of interest or loyalty and adhere to our conflict of interest policy. | | Each year following the AGM, all the charity trustees are reissued the Compliance and Disclosure of Interests forms and are asked to return a signed copy to the company secretary. | | Our conflict of interest and conflict of loyalties policies adhere to the Charities Regulator’s guidelines. A copy of these guidelines have been circulated to the trustees. | | At the start of each board meeting, the attendees are asked to declare any conflict of interests in relation to agenda items for the meeting. | |   Evidence of our actions   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Conflict of Interest Compliance Form [Link] | | Disclosure of Interests Form [Link] | | Code of Conduct for Trustees [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 2.3 Have a code of conduct for your board that is signed by all charity trustees. It must make clear the standard of behaviour expected from charity trustees. This includes things like maintaining confidentiality and what to do in relation to:  gifts and hospitality; and  out-of-pocket expenses.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | Our code of conduct meets these requirements. | |   Evidence of our actions   |  |  | | --- | --- | | |  | | --- | | Code of Conduct for Trustees [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| Principle 3: Leading people 3 Core standards for leading people |
| 3.1 Be clear about the roles of everyone working in and for your charity, both on a voluntary and paid-basis.  Actions our charity takes to meet the standards.   |  |  |  | | --- | --- | --- | | |  | | --- | | All new charity trustees received an induction session where their roles and duties as trustees are discussed. These roles and duties are also documented in the Governance Handbook a copy of which is given to all trustees | | All staff members and volunteers are given a job description which sets out their role and responsibilities. | |   Evidence of our actions   |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | |  | | --- | | Role of Directors/Trustee [Governance Handbook] | | Operating guidelines for Directors/Trustees [Governance Handbook] | | Role of the Company Secretary [Governance Handbook] | | CEO Role Description | | Finance Manager Role Description | | HR Manager Role Description |   [Volunteer] Helpline Operative Role Description | |

|  |
| --- |
| Sample Compliance Record Form |
| 3.2 Make sure there are arrangements in place for the effective involvement of any volunteers, including what to do if any problems arise.  Actions our charity takes to meet the standards.   |  |  |  |  |  | | --- | --- | --- | --- | --- | | |  | | --- | | Develop Volunteer Management Policy | | Develop Volunteer Role Descriptions | | Develop Volunteer Handbook | | Conduct induction, training and ongoing support for volunteers. | |   Evidence of our actions   |  |  |  |  |  | | --- | --- | --- | --- | --- | | |  | | --- | | Minutes of meeting(s) held to discuss/arrange any of the above [Link] | | Volunteer Management Policy [Link] | | Volunteers Handbook [Link] | | Volunteer Role Descriptions [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 3.3 Make sure there are arrangements in place that comply with employment legislation for all paid staff including:  recruitment;  training and development;  support, supervision and appraisal;  remuneration (money paid for work); and dismissal.  Actions our charity takes to meet the standards.   |  |  |  |  |  | | --- | --- | --- | --- | --- | | |  | | --- | | All of these arrangements and requirements are captured in our Employee Handbook which every staff receives on appointment and an acknowledgement form is signed by the employee and filed on the HR file. | | At least every three years we review our policies in our handbook and to make appropriate recommendations regarding and changes, updates or additions that are required to align developments and changes in Employment law and practice. | | A reviewed and updated Employee Handbook is approved by the Board. | | The updated Employee Handbook is circulated to all staff and an acknowledgement form is signed by the employee and filed on the HR file. | |   Evidence of our actions   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Employee Handbook [Link] | | Employee Handbook acknowledgement Form [Link] | | New employee induction checklist [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 3.4 Agree operational policies where necessary, to guide the actions of everyone involved in your charity.  . Actions our charity takes to meet the standards.   |  |  |  | | --- | --- | --- | | |  | | --- | | We have a comprehensive range of operational policies in place in addition to job description and the Employee Handbook other operational policies include; Data Protection, Safeguarding, Protected Disclosure (Whistleblowing), Cyber Security, Travel & Subsistence, Mobile phones, Business Continuity, Crisis Communications, etc. | | These policies are reviewed and updated on a regular basis or when required | |   Evidence of our actions   |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | | |  | | --- | | Data protection policy [Link] | | Safeguarding Policy [Link] | | Whistleblowing Policy [Link] | | ICT / Social Media Policy [Link] | | Employee Handbook [Link] | | Minutes of meeting(s) where policies were discussed and/or approved [Link]. | | |

|  |
| --- |
| Sample Compliance Record Form |
| Additional standards 3.5 Make sure to document the roles, legal duties and delegated responsibility for decision-making of:  individual charity trustees and the board as a whole;  any sub-committees or working groups;  staff and volunteers.  Actions our charity takes to meet the standards.   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | |  | | --- | | The roles, legal duties of trustees and decision making process are captured in the Governance Handbook. All new trustees are given a formal letter of appointment which sets outs the role and duties as trustees | | The Schedule of Matters reserved for the Board are documented and reviewed by the Board on a regular basis | | Each board sub-committee has a board approved terms of reference which are reviewed by the Board on a regular basis. | | Roles and responsibilities of staff and volunteers are captured in the relevant job descriptions | | Our policies regarding approving expenditure, delegated financial authorities and financial controls are documented in our Finance Policy which reviewed and approved by the Board on a regular basis |   All staff members and volunteers are given a job description which sets out their role and responsibilities |   Evidence of our actions   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | |  | | --- | | Governance Handbook [Link] Sample letter of appointment for new trustees [link] | | Schedule of Matters reserved for the Board [Governance Handbook] | | Terms of Reference for each Board sub-committee [Governance Handbook] | | Finance Policy [Link] | | Staff Role Descriptions [Link] |   Volunteer Role Descriptions [Link] | |

|  |
| --- |
| Sample Compliance Record Form |
| 3.6 Make sure that there are written procedures in place which set out how volunteers are:  recruited; supported and supervised while within your charity; and  the conditions under which they exist.  Actions our charity takes to meet the standards.   |  |  |  |  |  | | --- | --- | --- | --- | --- | | |  | | --- | | Develop Volunteer Management Policy | | Develop Volunteer Role Descriptions | | Develop Volunteer Handbook | | Conduct induction, training and ongoing support for volunteers. | |   Evidence of our actions   |  |  |  |  |  | | --- | --- | --- | --- | --- | | |  | | --- | | Minutes of meeting(s) held to discuss/arrange any of the above [Link] | | Volunteer Management Policy [Link] | | Volunteers Handbook [Link] | | Volunteer Role Descriptions [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 3.7 Decide how you will develop operational policy in your charity. You also need to decide how your charity trustees will make sure that the policy is put in place and kept up-to-date.  Actions our charity takes to meet the standards.   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | We have a comprehensive range of operational policies in place in addition to job description and the Employee Handbook other operational policies include; Data Protection, Safeguarding, Protected Disclosure (Whistleblowing), Cyber Security, Travel & Subsistence, Mobile phones, Business Continuity, Crisis Communications, etc. | | These policies are reviewed and updated on a regular basis or when required managed with the use of a Governance Schedule. | | Policies are approved by the Board | |   Evidence of our actions   |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | | |  | | --- | | Governance Schedule [Link] | | Data protection policy [Link] | | Safeguarding Policy [Link] | | Whistleblowing Policy [Link] | | ICT / Social Media Policy [Link] | | Employee Handbook [Link] | | Minutes of meeting(s) where policies were discussed and/or approved. [Link] | | |
|  |
| Sample Compliance Record Form |
| Principle 4: Exercising control 4 Core standards in exercising control |
| 4.1 Decide if your charity’s current legal form and governing document are fit for purpose. Make changes if necessary, telling the Charities Regulator in advance that you are doing so.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | We regularly review our constitution. The last update was approved on … | |   Evidence of our actions   |  |  |  | | --- | --- | --- | | |  | | --- | | Constitution [Link] | | Minutes of AGM/EGM meeting at which Constitution was reviewed and approved [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 4.2 Find out the laws and regulatory requirements that are relevant to your charity and comply with them.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | The CEO conducts an assessment of our legal and regulatory requirements and submits a legal and regulatory compliance statement to the Board. | |   Evidence of our actions   |  |  | | --- | --- | | |  | | --- | | Statement of Compliance with legal and regulatory requirements [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 4.3 If your charity raises funds from the public, read the Charities Regulator’s guidelines[[1]](#footnote-1) on this topic and make sure that your charity adheres to them as they apply to your charity.  Actions our charity takes to meet the standards.   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | |  | | --- | | This requirements does not apply to our organisation. We do not raise funds from the public | | or | | Develop & implement a Fundraising Policy and Procedures Strategy that is fully compliant with the CRA’s Fundraising Guidelines | | Delegate implementation to CEO / Fundraising Manager | | Put clear reporting requirements in place so Board is kept fully informed about implementation | |   Evidence of our actions   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | |  | | --- | | Not applicable | | or | | Minutes of meetings held to develop Fundraising Strategy [Link] | | Fundraising Policy and Procedures [Link] | | CEO / Fundraising Manager role description [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 4.4 Make sure you have appropriate financial controls in place to manage and account for your charity’s money and other assets.  Actions our charity takes to meet the standards.   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | |  | | --- | | Our policies regarding approving expenditure, delegated financial authorities and financial controls are documented in our Finance Policy which overseen and monitored by the Audit & Finance Committee and are also reviewed and approved by the Board on a regular basis | | A Reserves Policy is developed each year, overseen and monitored by the Audit & Finance Committee and reviewed and approved by the Board | | An Asset Register is maintained | | We have an investment policy | | The Finance Manager in conjunction with the CEO and the management team prepare an **annual budget** for the organisation. | |   Evidence of our actions   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Finance Policy [Link] | | Reserves Policy [Link] | | Investment Policy [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 4.5 Identify any risks your charity might face and how to manage these.  Actions our charity takes to meet the standards.   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Develop a risk register and put risk management system / policy in place | | Assign an individual / board sub-committee to maintain the register | | Develop a reporting and review procedure to ensure that the Board regularly reviews the risk register and assesses the actions to mitigate the risks | |   Evidence of our actions   |  |  |  |  |  | | --- | --- | --- | --- | --- | | |  | | --- | | Risk Register [Link] | | Board sub-committee terms of reference [Link] | | Risk Management Policy [Link] | | Minutes of any meetings to discuss, develop or approve any of the above. [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 4.6 Make sure your charity has appropriate and adequate insurance cover.  Actions our charity takes to meet the standards.   |  |  |  | | --- | --- | --- | | |  | | --- | | Take advice on insurance needs and ensure that there is appropriate and adequate cover in place | | Examples to consider: Public Liability, Employers Liability, Professional Indemnity, Directors & Officers Liability, Cyber Risk, Personal Accident | |   Evidence of our actions   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Written advice received on insurance needs. [Link] | | Minutes of meetings where insurance needs, advice or quotes discussed. [Link] | | Insurance Certificates. [Link] | | |
|  |

|  |
| --- |
| Sample Compliance Record Form |
| Additional standards |
| 4.7 You should have written procedures to make sure that you comply with all relevant legal and regulatory requirements.  Actions our charity takes to meet the standards.   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Review legal and regulatory compliance requirements and have a comprehensive suite of policies and procedures in place that are reviewed on a regular basis and updated where appropriate; | | Examples of policies and procedures: Board Governance Handbook, Employee Handbook, Health & Safety Statement, Child Protection & Vulnerable Adults Policy, Protected Disclosure, Data Protection, Finance Policy & Procedures, Cash-handling policy, Food Hygiene, CCTV policy, Complaints policy | | The CEO conducts an assessment of our legal and regulatory requirements and submits a legal and regulatory compliance statement to the Board | |   Evidence of our actions   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Governance Handbook [Link] | | Compliance Statement [Link] | | Safeguarding Policy [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 4.8 Make sure there is a formal risk register that your board regularly reviews.  Actions our charity takes to meet the standards.   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Develop a risk register and put risk management system / policy in place | | Assign an individual / board sub-committee to maintain the register | | Develop a reporting and review procedure to ensure that the Board regularly reviews the risk register and assesses the actions to mitigate the risks | |   Evidence of our actions   |  |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | --- | | |  |  | | --- | --- | | Risk Register [Link] | See 4.5 above | | Board sub-committee terms of reference [Link] |  | | Risk Management Policy [Link] |  | | Minutes of any meetings to discuss, develop or approve any of the above. [Link] |  | | |

|  |
| --- |
| Sample Compliance Record Form |
| 4.9 Consider adopting additional good practice standards that are relevant to the particular work that your charity does.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | Comply with the SORP for charities standard in preparing our annual financial statements | |   Evidence of our actions   |  |  | | --- | --- | | |  | | --- | | Annual Report [Link] | | |
| Sample Compliance Record Form |
| Principle 5: Working effectively 5 Core standards for working effectively  5.1 Identify charity trustees with the necessary skills to undertake:  any designated roles set out in your governing document; and  other roles as appropriate within the board.  Actions our charity takes to meet the standards.   |  |  |  | | --- | --- | --- | | |  | | --- | | Review the skills required and the skills present on our board of trustees. | | Complete skills & competencies audit assessment. | |   Evidence of our actions   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Board Skills Assessment [Link] | | Governance Handbook [Link] | | Constitution. [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 5.2 Hold regular board meetings. Give enough notice before meetings and provide prepared agendas.  Actions our charity takes to meet the standards.   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | We hold 6-8 board meetings each year. | | A board pack with the necessary supporting board papers is prepared and issued 7 days before the meeting | | The meetings are minuted, decisions taken captured and agreed actions recorded. | |   Evidence of our actions   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Meeting schedule for 2020 [Link] | | Board pack contents [Link] | | Example of board minute [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 5.3 At a minimum, your board agendas should always include these items:  reporting on activities;  review of finances; and  conflicts of interests and loyalties.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | Each board meeting would have the following topics as standing items on the meeting agenda:   * CEO’s report on activities in the proceeding period * Report of the Treasurer * Report(s) from sub-committees * A declaration regarding conflicts of interests and loyalty | |   Evidence of our actions   |  |  |  |  |  | | --- | --- | --- | --- | --- | | |  | | --- | | Board pack inventory [Link] | | Board agenda [Link] | | Board minutes [Link] | | CEO report [Link]. | | |

|  |
| --- |
| Sample Compliance Record Form |
| 5.4 Make sure that your charity trustees have the facts to make informed decisions at board meetings and that these decisions are recorded accurately in the minutes  Actions our charity takes to meet the standards.   |  |  |  | | --- | --- | --- | | |  | | --- | | A board pack with the necessary supporting board papers is prepared and issued 7 days before the meeting | | The meetings are minuted, decisions taken captured and agreed actions recorded | |   Evidence of our actions   |  |  |  |  |  | | --- | --- | --- | --- | --- | | |  | | --- | | Board pack inventory [Link] | | Board agenda [Link] | | Board minutes [Link] | | CEO report [Link]. | | |

|  |
| --- |
| Sample Compliance Record Form |
| 5.5 Consider introducing term limits for your charity trustees, with a suggested maximum of nine years in total.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | Our Constitution sets out our Trustee term limits which are … | |   Evidence of our actions   |  |  | | --- | --- | | |  | | --- | | Constitution. [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 5.6 Recruit suitable new charity trustees as necessary and make sure they receive an induction.  Actions our charity takes to meet the standards.   |  |  |  |  |  | | --- | --- | --- | --- | --- | | |  | | --- | | Review the skills required and the skills present on our board of trustees. | | Complete skills & competencies audit assessment. | | Ensure new trustees receive a formal letter of appointment setting out their role, responsibilities and commitments. | | Ensure new trustees receive induction. | |   Evidence of our actions   |  |  |  |  |  | | --- | --- | --- | --- | --- | | |  | | --- | | Skills & Competencies Assessment Audit [Link] | | Trustee letter of appointment [Link] | | Induction programme agenda for new trustees [Link] | | Induction programme for new trustees. [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 5.7 Make sure all of your trustees understand:  their role as charity trustees;  the charity’s governing document; and  this Code.  Actions our charity takes to meet the standards.   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Ensure new trustees receive a formal letter of appointment setting out their role, responsibilities and commitments. | | Ensure new trustees receive induction. | | The designated roles of Chair, Vice Chair, Treasurer, Secretary, Committee Chairs and individual trustees are set out in our governing document and in the governance handbook |   Trustees receive refresher training on their role and responsibilities. |   Evidence of our actions   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | |  | | --- | | Trustee letter of appointment [Link] | | Induction programme agenda for new trustees [Link] | | Induction programme for new trustees. [Link] | | Meeting schedule for 2020 [including date for refresher training for trustees] [Link] | | Constitution [Link] |   Governance Handbook [Link] | |

|  |
| --- |
| Sample Compliance Record Form |
| 5.8 Commit to resolving problems and emerging issues as quickly as possible and in the best interests of your charity.  Actions our charity takes to meet the standards.   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | |  | | --- | | Strategic planning process including an environmental assessment. | | Regular board meetings ensuring emerging problems or issues are included in the CEO’s report or put on the meeting agenda. | | Board sub-committees review and assess emerging issues or problems. | | Development and review of the Risk Register provides formal identification, assessment and management of risks and potential challenges. | | Financial management | |   Evidence of our actions   |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | | |  | | --- | | Re strategic planning see 1.3, 1.4, 1.5, 1.6 & 1.7 above | | Re board meetings see5.2, 5.3 & 5.4 above | | Re board committees see 3.5 & 4.5 above | | Re financial management see 1.7 & 4.4 above | | Re risk management see 4.5 & 4.8 above | | |

|  |
| --- |
| Sample Compliance Record Form |
| 5.9 From time to time, review how your Board operates and make any necessary improvements.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | Conduct annual reviews and evaluation of the board | |   Evidence of our actions   |  |  | | --- | --- | | |  | | --- | | Board Evaluation [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| Additional standards |
| 5.10 Make sure you send out board packs with enough notice and include all relevant reports and explanatory papers to enable informed decision-making.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | Board packs are sent out by email to trustees 7 days before board meetings | |   Evidence of our actions   |  |  |  |  |  | | --- | --- | --- | --- | --- | | |  | | --- | | Board pack inventory [Link] | | Board agenda [Link] | | Board minutes [Link] | | CEO report [Link]. | | |

|  |
| --- |
| Sample Compliance Record Form |
| 5.11 Make sure that you have a charity trustee succession plan in place and consider how you can maximise diversity among your charity trustees.  Actions our charity takes to meet the standards.   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Succession planning is part of the responsibilities remit of the Governance Committee | | Review the skills required and the skills present on our board of trustees. | | Complete skills & competencies audit assessment. | |   Evidence of our actions   |  |  |  | | --- | --- | --- | | |  | | --- | | Skills & Competencies Assessment Audit [Link] | | Terms of Reference for Governance Sub-Committee [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 5.12 Put in place a comprehensive induction programme for new charity trustees.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | See 5.6 above | |   Evidence of our actions   |  |  | | --- | --- | | |  | | --- | | See 5.6 above | | |

|  |
| --- |
| Sample Compliance Record Form |
| 5.13 Conduct a regular review that includes an assessment of:  the effectiveness of your board as a whole, office holders and individual charity trustees  adherence to the board code of conduct; and  the structure, size, membership and terms of reference of any sub-committees  . Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | See 5.9 above | |   Evidence of our actions   |  |  | | --- | --- | | |  | | --- | | See 5.9 above | | |

|  |
| --- |
| Sample Compliance Record Form |
| 5.14 Do regular skills audits and provide appropriate training and development to charity trustees and staff. If necessary, recruit to fill any competency gaps on the board of your charity.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | See 5.9 above | |   Evidence of our actions   |  |  | | --- | --- | | |  | | --- | | See 5.9 above | | |

|  |
| --- |
| Sample Compliance Record Form |
| Principle 6: Being accountable 6 Core standards for being accountable |
| 6.1 Make sure that the name and Registered Charity Number (RCN) of your charity is displayed on all of your written materials, including your:  website;  social media platforms; and  email communications.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | We display RCN on our website, annual report, twitter, emails. | |   Evidence of our actions   |  |  |  |  | | --- | --- | --- | --- | | |  | | --- | | Our website [Link] | | Our Annual Report [Link] | | On our twitter account [Link] | | |  | |

|  |
| --- |
| Sample Compliance Record Form |
| 6.2 Identify your stakeholders and decide how you will communicate with them.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | We identified our stakeholders and how we will communicate with them | |   Evidence of our actions   |  |  | | --- | --- | | |  | | --- | | Minutes of meeting(s) where stakeholders were identified [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 6.3 Decide if and how you will involve your stakeholders in your:  planning;  decision-making; and  review processes.  Actions our charity takes to meet the standards.   |  |  |  | | --- | --- | --- | | |  | | --- | | During our strategic planning process we engage with our key stakeholders | | Some of our stakeholders are entitled and are invited to attend our AGMs | |   Evidence of our actions   |  |  |  | | --- | --- | --- | | |  | | --- | | Minutes, or other documentation of meeting(s) from Strategic Planning process [Link] | | Minutes of AGM [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 6.4 Make sure you have a procedure for dealing with:  queries;  comments; and  complaints.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | We have a formal complaints policy and procedure, details of which are on our website and our notice boards. Any complaints received are processed as per our policy. | |   Evidence of our actions   |  |  | | --- | --- | | |  | | --- | | Complaints Policy [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 6.5 Follow the reporting requirements of all of your funders and donors, both public and private.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | We meet this requirement and are subject to terms and conditions set out in formal Services Level Agreements (SLAs) and/or compliance reporting requirements [with list funders] and audit/verification visits from [e.g. POBAL / DEASP] | |   Evidence of our actions   |  |  | | --- | --- | | |  | | --- | | Signed grant agreement/funding agreements and or Service Level Agreements with your funders/donors |   Progress/compliance reports to funders/donors | |

|  |
| --- |
| Sample Compliance Record Form |
| Additional standards 6.6 Produce unabridged (full) financial accounts and make sure that these and your charity’s annual report are widely available and easy for everyone to access.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | We produce comprehensive annual report and full financial statements which are publically available from our website. | |   Evidence of our actions   |  |  | | --- | --- | | |  | | --- | | Website link to last annual report [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 6.7 Make sure all the codes and standards of practice to which your charity subscribes are publicly stated.  Actions our charity takes to meet the standards.   |  |  | | --- | --- | | |  | | --- | | We state our compliance to SORP and the Governance Code in our annual reports and to the Governance Code on our website | |   Evidence of our actions   |  |  |  | | --- | --- | --- | | |  | | --- | | Annual report [Link] | | Website statement [Link] | | |

|  |
| --- |
| Sample Compliance Record Form |
| 6.8 Regularly review any complaints your charity receives and take action to improve organisational practice.  Actions our charity takes to meet standards.   |  |  | | --- | --- | | |  | | --- | | We follow the procedure set out in our Complaints Policy | |   Evidence of our actions   |  |  |  | | --- | --- | --- | | |  | | --- | | Copy of reports to the board on complaints received in the last quarter/year covering the nature of the complaint, action(s) taken and status of the complaint (e.g. resolved/withdrawn, outstanding/unresolved etc.) | | Copy of report on complaints received submitted to our funder e.g. HSE | | |

1. See Guidelines for Charitable Organisations on Fundraising from the Public - available from: https://www.charitiesregulator.ie/media/1265/guidance-for-fundraising-english.pdf [↑](#footnote-ref-1)