



An Rialálaí  
Carthanas

Charities  
Regulator

# Business Plan **2017**

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## Foreword

This is the first programme of work prepared by the Charities Regulator under its strategy for 2016 to 2018, and is developed to contribute to our long-term vision of ‘a vibrant, trusted charity sector that is valued for the public benefit it provides’.

In 2017 we will focus on establishing and maintaining a public register and monitoring charities compliance with their legal obligations. Where appropriate and required we will initiate investigations.

We aim to be a modern, robust, transparent and nimble organisation which implements the law so that the public can have trust and confidence in Charities. Our intention is to reduce unnecessary regulatory burden so that the maximum amount of each charities effort goes into their purpose and beneficiaries.

We will more effectively achieve our mission if we understand the work of charities, the people who volunteer, and the challenges they face. This requires genuine and ongoing engagement and consultation. Because of the diversity of purposes and size of charities in Ireland it will also be imperative to work closely with and leverage the capacity of third parties and organisations who represent, understand and communicate into the sector.

A key challenge over the next year is the promotion of confidence and competence of charity trustees. Well informed trustees will lead to better governance, higher levels of compliance and greater transparency. Good People doing Good Work in the public interest should be protected and encouraged. A compliant Charity will understand the need to and actively promote the effective use of the charities property and resources ensuring accountability to donors, beneficiaries and the public.

This business plan is a first step in creating a regulator which both supports and requires charities to be the best they can be and ensure that all work is directed towards a charitable purpose and the beneficiaries.

This is an exciting programme of work and one which I am proud to lead on.



**John Farrelly**  
Chief Executive Officer

# 1

# About the Charities Regulator

**The Charities Regulator was established as an independent Authority on a statutory basis in October 2014 in accordance with the Charities Act, 2009. The Charities Regulator is responsible for the registration and regulation of all charities that carry out activities in the Republic of Ireland.**

We will provide effective and robust regulation and protection which is transparent, accountable and proportionate, targeting resources and effort at the areas of highest risk. Our intention is that all charities will comply with the law with the least amount of regulatory burden.

## Our Functions:

- Increase public trust and confidence in the management and administration of charitable trusts and charitable organisations.
- Promote compliance by charity trustees with their duties in the control and management of charitable trusts and charitable organisations.
- Promote the effective use of the property of charitable trusts or charitable organisations.
- Ensure the accountability of charitable organisations to donors and beneficiaries of charitable gifts, and the public.
- Promote understanding of the requirement that charitable purposes confer a public benefit.
- Establish and maintain a register of charitable organisations.
- Ensure and monitor compliance by charitable organisations with the Charities Act 2009.
- Carry out investigations in accordance with the Charities Act 2009.
- Encourage and facilitate the better administration and management of charitable organisations by the provision of information or advice, including in particular by way of issuing (or, as it considers appropriate, approving) guidelines, codes of conduct, and model constitutional documents.
- Carry on such activities or publish such information (including statistical information) concerning charitable organisations and charitable trusts as it considers appropriate.
- Provide information (including statistical information) or advice, or make proposals, to the Minister on matters relating to the functions of the Regulator.

The Charities Regulator also has powers under the 1961 Charities Act as amended. These are powers previously held by the Commissioners of Charitable Donations and Bequests for Ireland.

## 2 Introduction

**The Charities Regulator, launched its first Strategy Statement 2016–2018 in July 2016, outlining a number of core objectives as well as giving an overview of its organisational structures. These include describing the Goals that the Charities Regulator intends to achieve, the actions to be undertaken to deliver on these Goals and the indicators and deliverables for each of the Goals over the period.**

This Business Plan has been aligned with the Strategy Statement 2016–2018 and sets out the business objectives to be delivered in 2017. This Plan represents an important step towards achieving the mission set out in the Strategy. It describes the priority areas of focus with regards to the Registration of Charities along with Compliance and Enforcement activities consistent with the Charities Regulator’s legal remit. It also details the areas where guidance and strategic initiatives will be developed. Maintaining and developing transparent and positive relationships with all our stakeholders is a critical success factor for our work and a series of actions in this area has been outlined.

The Charities Regulator is cognisant of the need to develop and improve its own capacity. This area has been identified for particular focus in the Plan for 2017. A series of objectives have been set out with regards to our people, leadership, resource management, governance, and quality management, along with Information Systems. Each of these are critical for the delivery of all objectives in the Plan.

In developing this Plan, the Charities Regulator is mindful of its responsibilities as an Independent Statutory Authority, its core values of independence, fairness, openness, proportionality, learning and engagement and the need to eliminate discrimination, promote equality of opportunity and protect human rights in the performance of its functions. These values are aligned with the Department of Justice and Equality’s Culture Charter.

The Charities Regulator in all of the actions it undertakes will ensure that it makes the best possible use of the resources entrusted to it. In the development of the organisational structures the Charities Regulator will ensure that its resources are correctly aligned with its responsibilities.

# 3

## Our Mission

To regulate the charity sector in the public interest so as to ensure compliance with the law and support best practice in the governance, management and administration of charities.

**In fulfilling this role, we work to support charity trustees in complying with their legal obligations, and take action to address non-compliance where necessary. We promote best practice and, in doing so, we strive to exemplify the values and practices we promote and to ensure that we operate to high standards of governance, accountability and transparency in our own organisation.**

# 4

## Our Vision

A vibrant, trusted charity sector that is valued for the public benefit it provides.

# 5

## Our Values

### OPENNESS

We take an open and transparent approach to our work. We make information available about how we operate and about the sector we regulate.

### PROPORTIONALITY

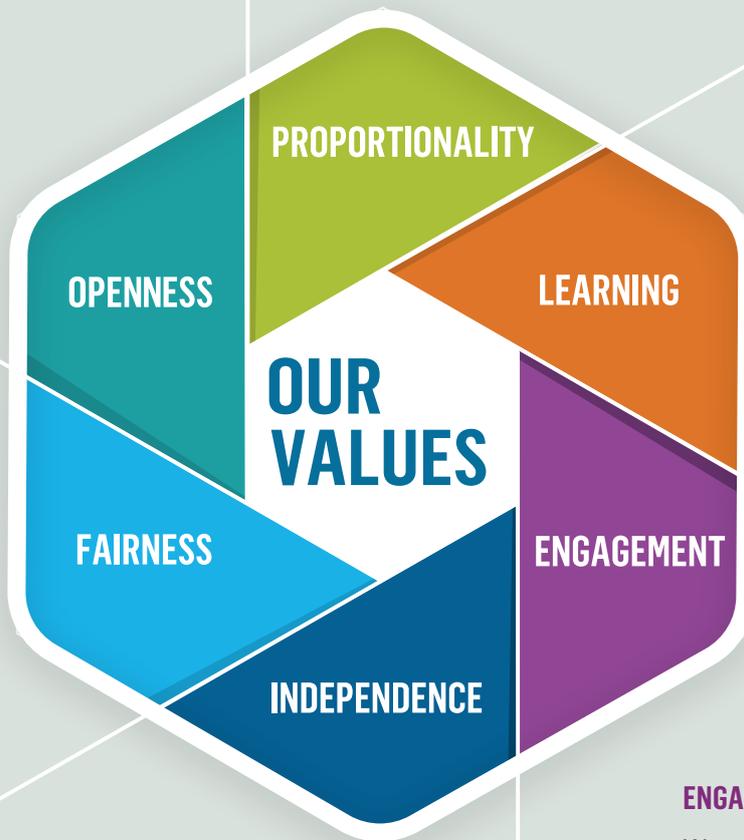
We recognise the diversity of size and capacity among the organisations which we regulate. We regulate in a proportionate way and target the resources available to us at areas of greatest risk.

### LEARNING

Our actions and decisions are informed by evidence and embedded in a learning culture. We continually seek ways to improve how we do our work and strive to be authoritative in our field.

### FAIRNESS

We operate fairly and impartially. We apply our procedures consistently and give reasons for our actions and decisions.



### ENGAGEMENT

We communicate with and listen to our stakeholders. We seek to anticipate and address regulatory issues of concern to them.

### INDEPENDENCE

We take decisions independently and in the public interest. We stand over our actions and decisions and take responsibility for them.

These values are aligned with the Department of Justice and Equality's Culture Charter.

# 6

## Our Organisation

The overall strategy, priorities and governance arrangements of the Charities Regulator are directed by its Board, the members of which are appointed by the Minister for Justice and Equality. Through the chairperson of the Board, the Chief Executive Officer of the Charities Regulator is accountable to the Board.

The Chief Executive Officer is supported by an Executive Management Team (EMT) who provide collective leadership and decision-making.

The Board has established a number of committees to assist it in its work. The committee structure will be reviewed in 2017.

The current committee structure is as follows:

- **Finance Audit and Risk Committee (FAR)** – whose primary role is to ensure that the Charities Regulator meets its relevant statutory functions and to monitor the overall effectiveness of financial management, risk management and internal audit arrangements.
- **Regulatory and Governance Committee** – whose primary role is to monitor the effectiveness of the governance arrangements of the Charities Regulator. Its duties include (annually) reviewing the governance policy of the Charities Regulator and overseeing its implementation as well as monitoring relevant governance developments.

- **Performance and Resource Planning Committee (PRPC)** – whose role is to manage the recruitment of a CEO, to oversee the performance management process for senior management and to consider the terms and conditions of members of staff of the Charities Regulator including the terms under which staff are assigned/seconded/allocated/ transferred into the Charities Regulator.
- **Charities Services** – whose role is to carry out the functions previously vested in the Commissioners of Charitable Donations and Bequests. These include authorising disposal of charity property, appointment of new trustees and vesting of charity property in trustees, framing of Schemes of Incorporation and Cy-Prés Schemes and approval of grants and scholarships.

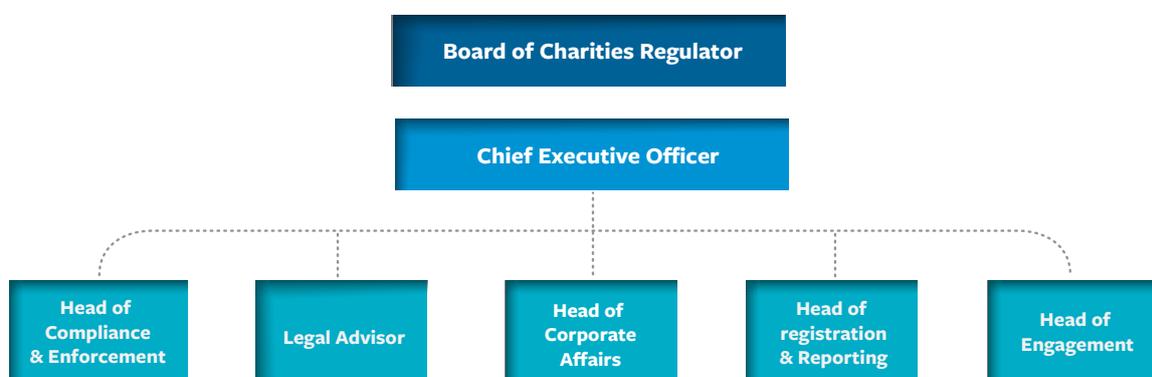
The current organisational structure of the Charities Regulator (Figure 1) supports the functions as outlined in the Charities Act, 2009.

There are currently five Business Units within the Charities Regulator. Each of the Units is led by a Head of Business Unit who reports directly to the Chief Executive Officer.

The Charities Regulator’s Business Units are as follows:

- **Registration and Reporting**
- **Compliance and Enforcement**
- **Legal Support Services**
- **Engagement**
- **Corporate Affairs**

Figure 1 - Current Structure



It is estimated that the Charities Regulator will require 50 staff in order to achieve its business and strategic objectives.

## 7

# Our Strategic Objectives

**The Charities Regulator has identified four key strategic objectives in its Strategy Statement 2016 – 2018 which will form the basis of the current work programme for 2017, these are:**

- 1 To establish and maintain a public register and reporting framework for charities operating in the Republic of Ireland.
- 2 To monitor proactively the compliance of charities with their legal obligations and to investigate any perceived breaches of these.
- 3 To engage and communicate effectively with all stakeholders in support of the regulatory role of the organisation.
- 4 To develop the Regulator as an effective and efficient independent regulatory authority.

## 8

# Oversight, Performance and Risk Management

The Charities Regulator has signed an ‘Oversight Agreement’ for 2017 with the Department of Justice and Equality (DoJ&E) which is in line with this Plan. This agreement outlines the performance and delivery of outputs and outcomes proposed by the Charities Regulator and also details the appropriate supports from the DoJ&E to enable the Charities Regulator achieve its strategic and operational goals.

In 2017, the Charities Regulator will focus on its internal systems and infrastructure so as to maximise and measure performance, and manage risks. This is especially important in the current environment given the need to provide tangible evidence of the impact that we have on the effective regulation and protection of charities.

- During 2017, we will seek to develop our internal performance reporting mechanisms through a specific business objective.
- We will continually review and manage our risks throughout the year and provide assurance to the Board. We will enhance our risk management framework to further improve the identification, assessment, monitoring, management and reporting of risks.

This Plan will be supported by a framework which enables an integrated planning and performance management approach to the management of the Charities Regulator (see appendix 1).

## 9 Financial Framework

The Minister for Justice and Equality has allocated an overall budget of €4.379 million to the Charities Regulator for 2017. This budget represents a **64%** or €1.714m increase over 2016.

The allocation of funding in 2017 will allow the Charities Regulator to recruit additional staff and procure additional resources to regulate and protect Charities.

In ,000	2016	2017	DIFF	% Increase
Pay	1,676	2,890	1,214	72%
Non-Pay	989	1,489	500	51%
<b>Total</b>	<b>€2,665</b>	<b>€4,379</b>	<b>€1,714</b>	<b>64%</b>

The non-pay element factors in increased activity of the Charities Regulator in particular in the following areas:

- Compliance and monitoring activities.
- Investigations.
- Protection of Charitable Services.
- Costs related to summary prosecutions of offences in the District Court.
- Professional services such as forensic accountants, regulatory process mapping etc.

The 2017 Budget allocation will also enable the Charities Regulator to address a number of risks and address other areas requiring improvement in 2017:

- Recruit additional staff with specific competencies in regulation.
- Strengthen management and governance arrangements at all levels.
- Develop and implement a comprehensive engagement strategy.
- Implement our IT roadmap which will deliver a fit for purpose IT system.
- Strengthen regulatory capacity and capability.

## 10 Organisational Design

During 2016, the Charities Regulator commissioned a review of its operational structure and resources. The primary goal of the review was to develop an appropriate operating model to enable the Charities Regulator to meet its statutory remit and achieve its strategic objectives.

In order to effectively implement the new operating model, a change management project plan will be developed which will include:

- Support the establishment of a controlled migration to the new operating model.
- Work with the DoJ&E in the recruitment of additional staffing resources.
- Establish a business support infrastructure which includes the development of a Quality Management System (QMS) with a particular focus on ensuring that our processes are lean and effective.
- The reorganisation of the existing staffing structure in line with the evaluation, organisational design and infrastructural requirements.

# 11 A Summary of our work programme for 2017

This business plan has been developed in keeping with the Charities Regulator's corporate strategy for 2016 – 2018. The development of objectives for 2017 takes into account an analysis of identified risks reflected in our corporate risk register.

- This Business Plan has been developed from the strategic objectives and goals in the Strategy Statement 2016-2018.
- It sets out the high level aims and objectives over the year taking into account the resources at hand.
- As staffing levels increase, the Business Plan will be reviewed to reflect the increased capacity.
- The business plan will be reflected in individual's goals within the Performance, Management and Development System (PMDS).

This Business Plan has been developed on the basis of the resources that the Charities Regulator expects will be made available for 2017. The Charities Regulator is mindful of delivering 'Value for Money' and that, 'what and how we complete our work and utilise our resources, achieves maximum impact on the Charities sector.

# Strategic Objective One: Registration and Reporting



To establish and maintain a public register and reporting framework for charities operating in Ireland

## High Level Goals

- 1.1** To maintain and develop an effective registration system for charities
- 1.2** To register charities according to a registration policy and process that is legally sound and can withstand scrutiny
- 1.3** Establish and maintain an effective reporting system for charities
- 1.4** To increase the transparency of the charity sector

## Key Objectives

- 1.1** Effective Registration System in place for Charities
- 1.2** To obtain full registration information for each Charity
- 1.2** Process Section 39 Applications for Charitable Status from unregistered charities established prior to 16 Oct 2014
- 1.2** Process Section 39 Applications for Charitable Status from newly established charities
- 1.3** Identify and engage with Section 40 charities who have not commenced / completed updating their information
- 1.3** Provide support and guidance to organisations applying or considering applying for registration
- 1.3** Develop in-house services for responding to functions of the Attorney General transferred to the Charities Regulator (Section 38 of the Charities Act 2009).
- 1.3** Provide a number of Charity Services Under the 1961 Charities Act and the 1973 Charities Act as amended and section 82 of the Charities Act 2009.
- 1.4** Maintain up to date Register of Charities

Key Action / Milestone	Performance Indicators	Completion Target Date	Responsibility
<p><b>1.1</b> Develop and launch a new Registration Reporting and Compliance IT System for on line registration process.</p> <p>[Related - see also Key Action 1.4]</p>	New IT online registration system available for registration.	Quarter 3 - 2017	<p><b>Lead</b> Registration and Reporting Unit</p> <p><b>Support</b> Engagement Unit</p>
<p><b>1.2</b> Develop appropriate policies and processes for: - Registration - De-registration.</p>	Fully documented policies and processes in line with the Quality Management System (QMS).	Quarter 3 - 2017	Registration and Reporting Unit
<p><b>1.2</b> Process applications for charitable status and register charities according to the Registration Policies and Procedures.</p>	<p>Initial applications reviewed: 500</p> <p>Complete applications processed: 480</p> <p>School applications processed: 2,520</p> <p>Status of processing decisions: 320</p> <p>Number of schools approved: 2,300</p> <p>The time from completed application to decision(average): 120 Days or 90 working Days</p> <p>The number of refusals. <b>(b*)</b></p> <p>The number of appeals sought.<b>(b*)</b></p>	Quarterly - 2017	Registration and Reporting Unit
<p><b>1.2</b> Review a sample of Section 40 Charities to improve registration/de-registration processes.</p> <p>(s. 40 Certain charitable organisations deemed to be registered for purposes of Act.)</p>	<p>Reconciliation of public register complete.</p> <p>Minimum of (200) charities removed from Register <b>(b*)</b>.</p>	Quarter 4 - 2017	Registration and Reporting Unit
<p><b>1.2</b> Provide legal advice on queries and cases related to the registration of Charities.</p>	All the Charities Regulator's registration activities are undertaken within the powers of the Charities Act 2009.	Quarter 4 - 2017	Legal Support Unit

\* 2017 will act as a Base line year for this activity

Key Action / Milestone	Performance Indicators	Completion Target Date	Responsibility
<p><b>1.3</b> Plan and implement project - establish and maintain an effective reporting system for charities.</p>	<p>Improved number of Charities in compliance with Reporting Obligations.</p> <p>Reduce the Number of Annual Reports Outstanding &gt;90 Days by a minimum of 10% (<b>b*</b>)</p>	Quarter 4 - 2017	Registration and Reporting Unit
<p><b>1.3</b> Develop and publish guidance for trustees, guidance on annual reporting, regulations and model constitutions as well as developing video guides and revised FAQs on website, maintain helpdesk.</p>	<p>Suite of Guidance documents published.</p> <p>Clearly documented requirements in place for charities, reduction in volume of queries received.</p> <p>Annual Report published.</p> <p>FAQ's published and website developed.</p> <p>Maintain helpdesk supports.</p>	<p>Quarter 3 - 2017</p> <p>Quarter 3 - 2017</p> <p>Quarter 2 - 2017</p> <p>Quarter 4 - 2017</p> <p>Quarter 3 - 2017</p>	<p><b>Lead</b> Registration and Reporting Unit</p> <p><b>Support</b> Engagement Unit</p> <p>Compliance and Enforcement Unit</p> <p>Legal Support Unit Corporate Affairs Unit</p>
<p><b>1.3</b> Develop in-house service for responding to Section 38 of the Charities Act 2009.</p>	<p>Capacity and expertise developed in-house to respond effectively to Section 38 of the Charities Act 2009.</p> <p>Memos prepared for the Authority to consider in respect of Section 38 requests.</p>	<p>Quarter 4 - 2017</p> <p>Quarter 4 - 2017</p>	Legal Support Unit
<p><b>1.3</b> Ensure guidance is effectively communicated to Charities.</p> <p>[Related - see also Key Action 3.7]</p>	<p>Satisfaction survey carried out with stakeholders.</p> <p>Develop a digital Trustee education platform.</p>	<p>Quarter 4 - 2017</p> <p>Quarter 4 - 2017</p>	<p><b>Lead</b> Engagement Unit</p> <p><b>Support</b> Compliance and Enforcement Unit Legal Support Unit Corporate Affairs Unit</p>

\* 2017 will act as a Base line year for this activity

Key Action / Milestone	Performance Indicators	Completion Target Date	Responsibility
<p><b>1.3</b> Charity Services provided include:</p> <ul style="list-style-type: none"> <li>- Appointment of new charity trustees.</li> <li>- Authorisation of disposition of lands, consent to sale.</li> <li>- Framing Schemes applying charity property Cy-Prés.</li> </ul>	<p>Charity Service meetings held monthly to deal with the operational activities and monthly reports provided to the Board.</p>	<p>Quarter 1 through Quarter 4 2017</p>	<p>Legal Support Unit</p>
<p><b>1.4</b> Make amendments to register details on request and process applications for change of name, governing documents or charity structure etc.</p>	<p>Register of Charities complete and up-to-date.</p> <p>Number of updates/ consents to changes (on request) made to register in 2017.</p> <p>Appropriate statistics published in relation to the ongoing activities of Charities.</p>	<p>Quarter 4 - 2017</p> <p>Quarter 4 - 2017 Bi-annually – commencing</p> <p>Quarter 4 - 2017</p>	<p><b>Lead</b> Registration and Reporting Unit</p> <p><b>Support</b> Engagement Unit</p>
<p><b>1.4</b> Commission a study on the profile of the Charities Sector (profile map).</p> <p>[Related - see also Key Action 3.6]</p>	<p>Publish findings of study.</p>	<p>Quarter 4 - 2017</p>	<p><b>Lead</b> Chief Executive Officer</p> <p><b>Support</b> Engagement Unit</p> <p>Registration and Reporting Unit</p>

## Strategic Objective Two: Compliance and Investigation



To monitor proactively the compliance of charities with their legal obligations and to investigate any perceived breaches of these.

### High Level Goals

- 2.1 Charities understand and comply with regulatory obligations.
- 2.2 To monitor the compliance of charities with their regulatory obligations.
- 2.3 To investigate perceived non-compliance in accordance with procedures.
- 2.4 To take effective steps to address compliance issues.
- 2.5 To have access to statutory powers of investigation.

### Key Objectives

- 2.1 Provide guidance and support to charities in matters of best practice and Compliance.
- 2.2 Ensure Charities are in compliance with their Regulatory obligations.
- 2.3 Carry out procedures in order to investigate allegations of non-compliance by by a Charity Trustee with their obligations.
- 2.4 To address non-compliance issues in the Charities Sector.
- 2.5 Implementation of Part 4 of the Charities 2009 Act on statutory powers of investigation.

Key Action / Milestone	Performance Indicators	Completion Target Date	Responsibility
<b>2.1</b> Identify and prioritise a suite of guidance / support material for Charities.	Guidance / support materials identified, prioritised to enable and assist charities to comply with their requirements under the Charities Act 2009.	Quarter 1 -2017	<b>Lead</b> Engagement Unit  <b>Support</b> Compliance and Enforcement Unit
<b>2.1</b> Develop the guidance documents.	Guidance documents published to enable and assist Charities to comply with the Charities Act 2009.	Quarter 2 through to Quarter 4 2017	<b>Lead</b> Engagement Unit  <b>Support</b> Compliance and Enforcement Unit
<b>2.1</b> Stakeholder engagement meetings held with public.  [Related - see also Key Actions 2.1, 3.3 and 3.7]	Plan and deliver for stakeholder engagements [2-7 events].	Quarter 1 through to Quarter 4 2017	<b>Lead</b> Engagement Unit  <b>Support</b> Compliance and Enforcement Unit
<b>2.1</b> Risk assess sector for threat of money laundering and terrorist financing - provide outreach guidance, targeted to support charities.	Risk Assessment and Methodology approach developed: Initiate outreach Provide guidance	Quarter 4 -2017	<b>Lead</b> Compliance and Enforcement Unit  <b>Support</b> Engagement Unit
<b>2.1</b> Carry out targeted sectoral reviews.	Publish findings of study.	Quarter 2 through to Quarter 4 2017	<b>Lead</b> Compliance and Enforcement Unit  <b>Support</b> Engagement Unit
<b>2.2</b> Develop a compliance monitoring programme.	Programme developed and embedded.  A targeted review conducted of charities annual reporting returns.	Quarter 3 - 2017  Quarter 3 - 2017	Compliance and Enforcement Unit
<b>2.2</b> Implement the monitoring programme.	Proactively identify and monitor charities most at risk of non-compliance.	Quarter 4 - 2017	Compliance and Enforcement Unit
<b>2.2</b> Provide legal oversight to the compliance and monitoring programme.	All of the Charities Regulator's compliance activities are undertaken within the powers of the Charities Act 2009.	Quarter 4 - 2017	Legal Support Unit

Key Action / Milestone	Performance Indicators	Completion Target Date	Responsibility
<b>2.3</b> Develop appropriate policies and procedures.	Operationalise procedures. Number of concerns received, acknowledged, assessed and actions taken.  Monthly report on activity.	Quarter 1 - 2017  Quarter 1 through to Quarter 4 2017	Compliance and Enforcement Unit
<b>2.4</b> Make appropriate recommendations on compliance issues through specific cases or thematic reporting.	The acceptance and implementation of recommendations made.	Quarter 1 through to Quarter 4 2017	Compliance and Enforcement Unit
<b>2.4</b> Monitor the implementation of recommendations.	Publish reports as deemed appropriate (in the Public Interest).	Quarter 1 through to Quarter 4 2017	Compliance and Enforcement Unit
<b>2.5</b> Develop, adopt and implement strategies policies and procedures for use of statutory powers of investigation.	The Charities Regulator's strategy policies and procedures are consistent and within the powers of the Charities Act 2009.	Quarter 2 - 2017	<b>Lead</b> Compliance and Enforcement Unit  <b>Support</b> Legal Support Unit

## Strategic Objective Three: Stakeholder Engagement

# 3

To engage and communicate effectively with all stakeholders in support of our regulatory role

### High Level Goals

- 3.1** To increase the transparency of the charity sector.
- 3.2** To help charities to understand and comply with their regulatory obligations.
- 3.3** To be responsive to stakeholder needs.
- 3.4** To be open and transparent in our work.
- 3.5** Build relationships with key State stakeholders with the aim of ensuring coherence and efficiency in interactions with registered charities and minimising duplication.
- 3.6** Advise the Minister and other policy stakeholders on matters relating to our functions.
- 3.7** Communicate our role, mandate and key messages to stakeholders and the wider public.

### Key Objectives

- 3.1** To promote transparency in the charity sector through use of the Public Register and the Charities Regulator's website.
- 3.2** To communicate relevant guidance to charities to facilitate compliance with and awareness of their regulatory obligations.
- 3.3** Communicate with Stakeholders in relation to Charities Registration and Regulation.
- 3.4** To ensure openness and transparency of Charities Regulator.
- 3.5** Ensure coherence and efficiency in interactions with other state bodies and registered charities.
- 3.6** Make recommendations and advise the Minister regarding the Charities Regulator and the Charities Act 2009.
- 3.7** Develop, adopt and begin to implement a communications strategy.

Key Action / Milestone	Performance Indicators	Completion Target Date	Responsibility
<b>3.1</b> Replace existing website.	New website in place.	Quarter 3 - 2017	Engagement Unit
<b>3.1</b> To maintain and regularly update information on the Regulator's website.  [Related - see also Key Action 3.4 and 3.7]	Frequent audit of the Regulator's website by staff and external stakeholders. (minimum of x 4 per year)	Quarter 1 through to Quarter 4 2017	Engagement Unit
<b>3.1</b> To continually develop our website as our core information and communication tool.	Usage and Satisfaction Survey carried out.	Quarter 3 - 2017	Engagement Unit
<b>3.2</b> Develop a suite of guidance notes on the various obligations under the Charities Act 2009.  [Related - see also Key Action 3.7]	Guidance developed and published.  Usage and satisfaction survey.	Quarter 1 - 2017  Quarter 3 - 2017	<b>Lead</b> Engagement Unit  <b>Support</b> Legal Support Unit  Registration and Reporting Unit
<b>3.2</b> Develop a Code of Practice for the Governance of Charities.  [Related - see also Key Action 3.7]	Initiate a consultation panel as per Section 36 of the Charities Act.  Develop first draft of a Code of Practice for the Governance of Charities.  Seek feedback on the first draft and then publish finalised Code of Practice for the Governance of Charities.	Quarter 2 - 2017  Quarter 3 - 2017  Quarter 3 - 2017	<b>Lead</b> Chief Executive Officer  <b>Support</b> Engagement Unit  Legal Support Unit  Compliance and Enforcement Unit
<b>3.3</b> Carry out a programme of 'town hall' meetings to promote the work of the Charities Regulator.  [Related - see also Key Actions 2.1 and 3.7]	Number events carried out. 2-7  Feedback on events provided by participants.	Quarter 1 through to Quarter 4 2017	<b>Lead</b> Engagement Unit  <b>Support</b> Compliance and Enforcement Unit  Registration and Reporting Unit  Corporate Affairs Unit

Key Action / Milestone	Performance Indicators	Completion Target Date	Responsibility
<p><b>3.4</b> Publish information about our own work.</p> <p>[Related - see also Key Action 3.7]</p>	<p>Publish all press releases issued.</p> <p>Comply with statutory obligations in relation to Freedom of Information and Data Protection Act.</p> <p>Statistics on our work published.</p>	<p>Quarter 1 through to Quarter 4 2017</p> <p>Quarter 1 through to Quarter 4 2017</p> <p>Quarter 1 through to Quarter 4 2017</p>	<p><b>Lead</b> Engagement Unit</p> <p><b>Support</b> Compliance and Enforcement Unit</p> <p>Registration and Reporting Unit</p> <p>Corporate Affairs Unit</p>
<p><b>3.5</b> Speaking engagements at relevant events hosted by stakeholders.</p>	<p>Publish a log of speaking engagements.</p> <p>Publish key speeches and presentations on website.</p>	<p>Quarter 1 through to Quarter 4 2017</p> <p>Quarter 1 through to Quarter 4 2017</p>	<p><b>Lead</b> Chief Executive Officer</p> <p><b>Support</b> Engagement Unit</p>
<p><b>3.5</b> Stakeholder engagement meetings.</p> <p>[Related - see also Key Action 1.4]</p>	<p>Conduct Satisfaction Survey.</p>	<p>Quarter 4 - 2017</p>	<p><b>Lead</b> Engagement Unit</p> <p><b>Support</b> Compliance and Enforcement Unit</p> <p>Registration and Reporting Unit</p> <p>Legal Support Unit Corporate Affairs Unit</p>
<p><b>3.5</b> Develop arrangements such as Organisational Agreements with key relevant national authorities.</p> <p>[s.33 Administrative cooperation on regulatory matters.]</p>	<p>Organisational Agreements finalised and published.</p>	<p>Quarter 3 - 2017</p>	<p><b>Lead</b> Legal Support Unit</p> <p><b>Support</b> Engagement Unit</p>
<p><b>3.5</b> Develop arrangements such as Organisational Agreements with key relevant international authorities.</p> <p>[s.33 Administrative cooperation on regulatory matters.]</p> <p>[s.34 Administrative cooperation with foreign statutory bodies on law enforcement matters.]</p>	<p>Organisational Agreements finalised and published.</p>	<p>Quarter 4 - 2017</p>	<p><b>Lead</b> Legal Support Unit</p> <p><b>Support</b> Engagement Unit</p>

Key Action / Milestone	Performance Indicators	Completion Target Date	Responsibility
<b>3.6</b> Make recommendations to the Minister regarding charity accounting and reporting regulations.	Recommendations made to the Minister.	Quarter 1 through to Quarter 4 2017	<b>Lead</b> Chief Executive Officer
	Tracking of receptiveness and implementation of advice.	Quarter 1 through to Quarter 4 2017	<b>Support</b> Engagement Unit Legal Support Unit
<b>3.6</b> Make recommendations to the Minister regarding regulation of charity fundraising.	Recommendations made to the Minister.	Quarter 1 - 2017	<b>Lead</b> Chief Executive Officer
	Publish report on Charitable Fundraising and Section 93 - 97 of the Charities Act 2009.	Quarter 3 - 2017	<b>Support</b> Engagement Unit
	Tracking of receptiveness and implementation of advice.	Quarter 2 - 2017 onwards	Legal Support Unit
<b>3.6</b> Make Recommendations to the Minister regarding phased commencement of remaining provisions of the Charities Act 2009 and potential amendments to the Charities Act 2009.	Recommendations made to the Minister.	Quarter 4 - 2017	<b>Lead</b> Chief Executive Officer  <b>Support</b> Engagement Unit Legal Support Unit
<b>3.6</b> Support measurement and benchmarking of the economic and social impact of the charities sector.  [Related - see also Key Action 1.4]	Publish findings of study.	Quarter 4 - 2017	<b>Lead</b> Chief Executive Officer  <b>Support</b> Engagement Unit Registration and Reporting Unit
<b>3.7</b> Publish the Charities Regulator's communication plan.	Communications plan developed and adopted by the Charities Regulator.	Quarter 1 - 2017	Engagement Unit
	Plan implemented.	Quarter 1 through to Quarter 4 2017	
<b>3.7</b> Identify core elements of plan, engage with relevant stakeholders.  [Related - see also Key Action 1.2, 1.3, 2.3, 3.1, 3.3, 3.4 and 4.2]	Implement engagement programme with relevant stakeholders.	Quarter 1 through to Quarter 4 2017	Engagement Unit

## Strategic Objective Four:

# An Effective and Efficient Organisation

# 4

To develop the Charities Regulator as an effective and efficient independent regulatory agency.

### High Level Goals

- 4.1 Develop the organisation so that its structure supports our mission and available resources are prioritised in accordance with strategic goals and developing operational challenges.
- 4.2 An IT system that supports the maximum use of digital services for all client facing services.
- 4.3 Adopt and maintain high governance standards.
- 4.4 Phased introduction of additional statutory powers to support increased service delivery.
- 4.5 Provide value for money (VFM).

### Key Objectives

- 4.1 To develop organisational structure to implement Strategy Statement and High Level Goals.
- 4.2 Improve the IT system which is currently in place.
- 4.3 To adhere with relevant codes of practice for the governance of state bodies.
- 4.4 Make recommendations to the Minister on the phased commencement of remaining provisions of the Charities Act and any necessary supporting secondary legislation and additional resourcing.
- 4.5 Adhere with Business and Financial Reporting Requirements as set out in Code of Practice for Governance of State Bodies.

Key Action / Milestone	Performance Indicators	Completion Target Date	Responsibility
4.1 Charities Regulator structures in place to support implementation of Strategy Statement and High Level Goals.	Develop and embed structures that support the functions and activities of the Charities Regulator.	Quarter 1 through to Quarter 4 2017	<b>Lead</b> Chief Executive Officer Corporate Affairs Unit
4.1 Risk Register maintained and developed and reviewed in accordance with Charities Regulator Risk Policy.	Continue to strengthen risk management framework and governance practices.  Risk Register amendments to reflect changes to the risk environment.  Conduct an end of year review of the implementation of the updated risk management framework.	Quarter 1 through to Quarter 4 2017  Quarter 4 - 2017	<b>Lead</b> Corporate Affairs Unit  <b>Support</b> All Business Units
4.1 Business Plan matrices for 2017 prepared.	Business Plan developed in keeping with our Strategic Plan 2016-2018.  Monitor and report on the Business Plan objectives to be met in 2017.	January 2017  Quarter 1 through to Quarter 4 2017	<b>Lead</b> Corporate Affairs Unit  <b>Support</b> All Business Units
4.1 Commence implementation of Quality Management System (QMS) requirements.	Commence the development of a quality management system to a certified level that meets independent external accreditation standard.  Implement the 2017 actions.  <b>The QMS will be externally validated in 2018</b>	Quarter 1 through to Quarter 4 2017	<b>Lead</b> Corporate Affairs Unit  <b>Support</b> All Business Units
4.1 Implement recommendations of the organisational and resources review.	Develop and implement a change management programme to support the transition to the identified preferred operating model (POM), undertake all planned 2017 actions.  Engage, inform and involve the workforce through good internal communication within the Charities Regulator.  Develop and implement an extensive internal communications campaign.	Quarter 1 through to Quarter 4 2017  Quarter 1 through to Quarter 4 2017  Quarter 1 - 2017	<b>Lead</b> Chief Executive Officer Corporate Affairs Unit  <b>Support</b> All Business Units  <b>Lead</b> Engagement Unit  <b>Support</b> All Business Units

Key Action / Milestone	Performance Indicators	Completion Target Date	Responsibility
4.1 Work with the Department of Justice and Equality to increase the staffing complement to support the delivery of objectives of the Charities Regulator.	Undertake a workforce planning exercise with the DoJ&E to deliver functional objectives for 2017.	Quarter 1 - 2017	<b>Lead</b> Chief Executive Officer  Corporate Affairs Unit  <b>Support</b> All Business Units
4.1 Develop a HR Strategy which includes training and development programme that enables Business units to function effectively with the appropriate skills and competencies.	Draft a HR Strategy in line with the organisational review and oversight agreement with DoJ&E	Quarter 1 - 2017	<b>Lead</b> Corporate Affairs Unit  <b>Support</b> All Business Units
	Develop and deliver learning and development programme for managers and staff to support the delivery of functional objectives.	Quarter 1 - 2017	
	Induction programme developed for new staff	Quarter 2 - 2017	
4.1 Agree Oversight Agreement with Department of Justice and Equality for 2017.	Board approval of Oversight Agreement.	February 2017	<b>Lead</b> Corporate Affairs Unit  <b>Support</b> All Business Units
	Monthly reporting on activities to the Board.	Quarter 1 through to Quarter 4 2017	
	Governance oversight meetings with the Department of Justice and Equality.	Bi-annual	
4.1 Develop a Scheme of Delegation for the Authority in line with the Charities Act 2009	Board approval of Scheme of Delegation which enables the effective day to day operation of the Charities Regulator.	Quarter 1 - 2017	<b>Lead</b> Legal Support Unit  <b>Support</b> Chief Executive Officer  Corporate Affairs Unit

Key Action / Milestone	Performance Indicators	Completion Target Date	Responsibility
<p><b>4.2</b> Roll out of new ICT System to support and enhance user experience, Public Register publication of data, Charity Accounts, Case Management, Annual Reporting, Charity Services integration, Management Reports, Risk Intelligence.</p>	Implement and deliver ICT - Phase 1 programme.	Quarter 4 - 2017	<b>Lead</b> Registration and Reporting Unit
	Stakeholder Feedback on improvements. (Stakeholder testing of system).	Quarter 4 - 2017	<b>Support</b> All Business Units
<p><b>4.3</b> Systems further developed to improve processing, workflow and reporting</p> <p>[Related - see also 1.2 and 4.1]</p>	Review the Codes of Practice for the Governance of State Bodies and our codes of governance and business conduct and related Board procedures.	Quarter 4 - 2017	<b>Lead</b> Corporate Affairs Unit -Board Secretary
	Develop process for appointing external members to subcommittees.	Quarter 1 - 2017	<b>Lead</b> Corporate Affairs Unit - Board Secretary
	Develop training programme for Board Members.	Quarter 2 - 2017	<b>Lead</b> Corporate Affairs Unit - Board Secretary
<p><b>4.4</b> Recommendations made to the Minister on the phased commencement of remaining provisions of sections 89 and sections 93 to 98 (inclusive) of the Charities Act, 2009.</p>	Recommendations made and agreed.	Quarter 3 - 2017	<b>Lead</b> Chief Executive Officer
			<b>Support</b> All Business Units
<p><b>4.5</b> Meet public financial accountability requirements through effective monitoring and review of procurement and expenditure.</p>	Financial metrics in Annual Report.	Quarter 4 - 2017	<b>Lead</b> Corporate Affairs Unit
			<b>Support</b> All Business Units
<p><b>4.5</b> Review and monitor implementation of all audit recommendations.</p>	Implement the 2017 annual internal audit programme and track the implementation of recommendations for improvement.	Quarter 4 - 2017	<b>Lead</b> Chief Executive Officer
			<b>Support</b> All Business Units

# Appendix 1

## Charities Regulator: Business Plan Progress Tracker

<b>Objective:</b> Place the Strategic objective that the BPO is aligned to here				
BPO #	Business Plan Objective	Current Status <i>[Add traffic Colour]</i>	Reason/ Actions / Emerging Risks	Measure of Success <i>[performance/ target/ metrics]</i>

### Traffic Light Index

-  **Red** – Action has not been achieved by the completion date
-  **Amber** – Action is unlikely to be achieved by completion date
-  **Green** – Commenced and on target to be achieved by completion date
-  **Blue** – Action completed
-  **Black** – Action has not been completed due to external factors outside of the Charities Regulator’s control
-  **White** – Action has not commenced











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