

## Charities Governance Code Compliance Record Form - SAMPLE

**Note:** The Charities Regulator has a general interest in promoting compliance by charity trustees with their duties in the control and management of charities arising from section 14(1)(b) of the Charities Act 2009. This document is an information tool only to help charity trustees with the implementation of the Charities Governance Code and the completion of the Compliance Record Form. This document is not a substitute for professional advice. It does not contain an exhaustive list of possible actions or evidence and charity trustees need to understand all laws, regulatory requirements and governance standards applicable to their charity. This document is for guidance only and organisations should complete their own Compliance Record Form.

### Legal Disclaimer:

This document is issued by the Charities Regulator under section 14(1)(i) of the Charities Act 2009, to encourage and facilitate the better administration and management of charitable organisations. It is published as part of a suite of guidance, intended to provide support to charity trustees to meet their legal duties, by putting in place systems, processes and policies which ensure charities are managed in an effective, efficient, accountable and transparent way.

This document is not, nor is it intended to be, a definitive statement of the law and it does not constitute legal advice. This document is not a substitute for professional advice from an appropriately qualified source. The Charities Regulator recommends that charity trustees consult their governing document or obtain their own independent legal advice where necessary. The Charities Regulator accepts no responsibility or liability for any errors, inaccuracies or omissions in this document.

## Charities Governance Code Compliance Record Form - SAMPLE

Where a particular standard is not applicable to your charity - explain why.

**Action:** Charity trustees discuss and document reasons for not-applying certain standards and this is regularly reviewed at trustee meetings.

**Evidence:** Relevant Meeting Minutes.

SAMPLE

# Charities Governance Code Compliance Record Form - SAMPLE

## Principle 1: Advancing charitable purpose **CORE STANDARDS**

### 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:	Evidence of our actions:
All charity trustees read the <b>Charities Regulator's guidance on 'What is a Charity'</b> as well as our charity's Governing Document.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
Each charity trustee has been provided with the most recent copy of the charity's governing document, understands it and refers to it as necessary.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
Charity's main object (as per the governing document) is included at the top of every board agenda and our governing document is available for reference at board meetings.	Secretary's copy of the Board papers for each meeting held in [2020].
Our charitable purpose and objectives are clearly stated in [the Annual Report, Website, etc...]	Website/ Facebook page [enter as appropriate]. Annual Report

### 1.2 Consider whether or not any private benefit arises ([see glossary](#)). 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 standards:	Evidence of our actions:
<p>Charity trustees had a meeting to discuss what private benefit, if any, arises and agreed it is necessary, reasonable and ancillary to the public benefit.</p> <p>For example:</p> <p>Charity trustees agreed that employees' pay and conditions are reasonable and are in line with the relevant benchmark salary scales.</p> <p>Charity trustees understand expenses that can be claimed and they are in line with the public service rates.</p>	<p>Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i></p> <p>State benchmark salary scales used.</p> <p>Travel and subsistence expenses for charity trustees are in line with Civil Service Rates as per Revenue Guidelines regarding voluntary work:</p> <p><a href="https://www.revenue.ie/en/employing-people/employee-expenses/travel-and-subsistence/civil-service-rates.aspx">https://www.revenue.ie/en/employing-people/employee-expenses/travel-and-subsistence/civil-service-rates.aspx</a></p>

## Charities Governance Code Compliance Record Form - SAMPLE

### 1.3 Agree an achievable plan for at least the next year that sets out what you will do to advance your purpose.

Actions our charity takes to meet standards:	Evidence of our actions:
<p>Our planned activities and budget for the next year has been agreed and documented (see the Charities Regulator's <a href="#">'Guidance Note on Planning'</a>, <a href="#">'Annual plan template'</a> and <a href="#">'Annual budget template'</a>).</p>	<p>Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i></p> <p>Annual plan and budget for the year ended [Insert Date]</p> <p><i>Note: For very small charities a separate documented plan may not be required. However, you should discuss and agree your plans and the resources required. This should be recorded in board meeting minutes.</i></p>

### 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 standards:	Evidence of our actions:
Charity trustees review resources (financial and non-financial) at board meetings.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
Charity trustees discuss and agree how to maintain/increase resources including any fundraising activities.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
Charity trustees review the annual plan and track progress at board meetings.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>

### 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 standards:	Evidence of our actions:
Our activities and governing document are regularly reviewed to ensure we continue to act in line with our charitable purpose and provide public benefit	<p>Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i></p> <p>The date of the last review/ update [Insert Date]</p>

# Charities Governance Code Compliance Record Form - SAMPLE

## Principle 1: Advancing charitable purpose **ADDITIONAL STANDARDS**

### 1.6 Develop your charity's strategic plan and associated operational plans.

Actions our charity takes to meet standards:	Evidence of our actions:
Our strategic plan incorporating clear targets and outcomes has been developed and approved by the charity trustees every three years.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Strategic plan for the years [20XX – 20XX]
Our strategic plan is supported by operational plans and budgets, as well as defined key performance indicators.	List all your operational plans <i>For example:</i> <i>Staffing and Resource Plan, Fundraising Plan, etc.</i>

### 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 standards:	Evidence of our actions:
Strategic plans are included in board agendas. Charity Trustees review progress against targets set out in the strategic plan, on a regular basis.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Annual report on monitoring and evaluation for the year [2020]
Regular updates and reports presented to charity trustees.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>  Operational progress reports Management accounts Strategy implementation status report Annual Budgets, etc.
Charity trustees regularly review the sustainability of our income sources in the short, medium and long term and identifies diversified income streams	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
We identify and map our activities against our organisational purpose and the needs of our beneficiaries to ensure they are consistent.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>

## Charities Governance Code Compliance Record Form - SAMPLE

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 standards:**

**Evidence of our actions:**

Charity trustees consider the extent to which our organisation works in partnership with other organisations.

Minutes of Meeting dated [Insert Date]  
*(List all relevant minutes)*  
 Written partnership agreement (if relevant)

SAMPLE

# Charities Governance Code Compliance Record Form - SAMPLE

## Principle 2: Behaving with Integrity **CORE STANDARDS**

**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 standards:	Evidence of our actions:
Charity trustees discuss and agree the basic values that matter to our charity.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes).</i>  Vision, mission and values statement.  <i>Examples of values include: a commitment to excellent service, innovation, diversity, creativity, honesty and integrity, etc.</i>
We periodically revisit our vision, mission and values to ensure that they are still relevant and work well.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes).</i>
Codes of conduct for charity trustees, employees and volunteers are agreed and documented. (see the Charities Regulator's guidance on ' <a href="#">Code of Conduct for Charity Trustees</a> ', ' <a href="#">Code of Conduct for Employees</a> ', ' <a href="#">Code of Conduct for Volunteers</a> ')	[Charity Name] Code of Conduct for Charity Trustees [Charity Name] Code of Conduct for Employees [Charity Name] Code of Conduct for Volunteers

## Charities Governance Code Compliance Record Form - SAMPLE

**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 standards:	Evidence of our actions:
Conflict of Interest policy is agreed and documented in line with <b>the Charities Regulator’s Guidance on ‘<a href="#">Managing Conflicts of Interest</a>’, <a href="#">Appendix A – Conflict of Interest Policy</a>, <a href="#">Appendix B – Template of Register of interests</a></b>	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> [Charity Name] Conflicts of Interest Policy
Register of Interests is maintained and regularly updated.	Up-to-date Register of interests.
Conflicts of interest is a standing item on the agenda, with any declared conflicts of interest included in the minutes.	Chair reminds charity trustees to declare any conflict of interest in each board meeting (see first agenda item).
Conflicts are identified and managed as they arise in accordance with our Conflicts of Interest Policy.	Minutes of Meeting dated [Insert Date] <i>(Note: Minutes of meetings where identified conflicts were discussed, and how they would be managed was agreed, in accordance with the policy)</i>

**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 standards:	Evidence of our actions:
A Code of Conduct for Charity Trustees agreed and documented in line with <b>the Charities Regulator’s guidance on ‘<a href="#">Code of Conduct for Charity Trustees</a>’.</b>	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
Each charity trustee formally signs up and adheres to the Code of Conduct.	Signed Codes of Conduct for all Charity Trustees



# Charities Governance Code Compliance Record Form - SAMPLE

## Principle 3: Leading People **CORE STANDARDS**

### 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 standards:	Evidence of our actions:
Board roles and responsibilities for the charity are discussed, agreed and documented.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Approved board roles and responsibilities
Charity trustees understand their legal duties and responsibilities. (see <b>the Charities Regulator's guidance on <a href="#">'Legal duties of charity trustees'</a></b> )	Charity trustee induction programme Training programme for charity trustees Attendance at relevant conferences/ networking events.
Key officers such as the Chairperson and Secretary have specific functions assigned to them, which are clearly documented and understood. (see <b>the Charities Regulator's guidance on <a href="#">'The Role of the Chairperson'</a> and <a href="#">'The Role of the Secretary'</a></b> )	Approved board roles and responsibilities
Key staff/ volunteer roles and responsibilities are discussed, agreed and documented.	Approved key roles for staff/ volunteers

### 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 standards:	Evidence of our actions:
Induction procedures for volunteers are agreed and documented.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Volunteer induction procedures
Charity trustees discussed and agreed who will act as the point of contact/supervisor for volunteers.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
We hold a meeting of volunteers once or twice a year, where their contribution to our charity is recognised and where any issues can be raised.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>

## Charities Governance Code Compliance Record Form - SAMPLE

### 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 standards:	Evidence of our actions:
Induction procedures for employees are agreed by the board of charity trustees.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Employee induction process
Charity trustees discussed, agreed and documented employment policies and procedures.  Charity trustees seek legal advice from external HR consultants where necessary.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Current Employment Policies <i>(Note: list all your policies and procedures e.g. recruitment policy, induction procedures, attendance policy, grievance and disciplinary procedures, supervision and appraisal procedures, etc.)</i> Details of external HR consultants (if applicable) <i>List any other employment-related documents</i>
Staff meetings are held once or twice a year where their contribution to our charity is recognised and where any issues can be raised.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
The Charity is registered as an employer with Revenue Commissioners.	Tax registration
Staff appraisals and evaluations are carried out on a regular basis.	Staff appraisal/ evaluation forms.

### 3.4 Agree operational policies where necessary, to guide the actions of everyone involved in your charity.

Actions our charity takes to meet standards:	Evidence of our actions:
Discuss and agree the operational policies covering key aspects of the charity's operations. <b>(See the Charities Regulator's <a href="#">'General note on other legal and regulatory requirements'</a>)</b>	Minutes of Meeting dated [Insert Date]. <i>(List all relevant minutes)</i> Current operational policies <i>(Note: list all operational policies applicable to your charity e.g. travel and subsistence policy, recruitment policy, child and vulnerable adult protection; health and safety; complaints and grievance procedures (internal and external); data protection; stakeholder communications; risk management; conflicts of interest; etc.)</i>
Review and update existing policies as necessary.	Minutes of Meeting dated [Insert Date]. <i>(List all relevant minutes)</i>

## Charities Governance Code Compliance Record Form - SAMPLE

### Principle 3: Leading People **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 standards:	Evidence of our actions:
We ensure that key staff/volunteers understand their responsibilities and lines of authority, communication and reporting with the board of charity trustees. Their roles and responsibilities discussed, agreed and documented.	Approved Organisation Chart A full suite of role profiles for trustees, staff and volunteers.
Charity trustees understand their legal duties and responsibilities.	Charity trustee induction programme Training programme for charity trustees Attendance at relevant conferences/ networking events.
We update the terms of reference for the board and each of its sub-committees to make it explicit where monitoring lies within the organisation.	Terms of references for the board and any sub-committees

#### 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 standards:	Evidence of our actions:
Written volunteer recruitment policy is in place and all volunteers are properly trained, supported and supervised in line with our policies and procedures.	[Charity Name] Volunteer recruitment policy [Charity Name] Volunteer Induction Programme

## Charities Governance Code Compliance Record Form - SAMPLE

**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 standards:	Evidence of our actions:
<p>We ensure that new employees/ volunteers/ contactors are trained and familiar with our policies and procedures, and that existing staff receive appropriate training.</p> <p>Policies and procedures are discussed regularly at team meetings to ensure that employees/ volunteers remain aware of the importance of the policies and procedures.</p> <p>All our policies and procedures are in a single manual, and copies readily available to all employees/ volunteers.</p> <p>All supervisors/ managers/ trustees must 'lead by example' in implementing policies and procedures. It is crucial that our expectations are demonstrated through modelling and leadership at all levels of management.</p> <p>Policies and procedures are reviewed periodically.</p>	<p>Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i></p> <p>Records of training and induction.</p> <p>Schedule and agenda for team/ staff/ volunteer meetings.</p> <p>Internal policies/ Procedures manual</p>

# Charities Governance Code Compliance Record Form - SAMPLE

## Principle 4: Exercising Control **CORE STANDARDS**

**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 standards:	Evidence of our actions:
Our governing document is regularly revisited to ensure current activities fall within the defined objectives and the charity's purpose remains relevant and valid.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
Charity trustees are satisfied that our current legal form and governing document are best suited taking into account our charitable purpose, planned activities and how we propose to fund this activities.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
Charity trustees regularly review our legal structure and any changes to the charities legal form and governing document are communicated to the Charities Regulator in advance. <b>(see the Charities Regulator's <a href="#">'Guidance on winding up a charity'</a>)</b>	Minutes of Meeting dated [Insert Date] <i>(set out any other relevant correspondence and documentation such as correspondence with the Charities Regulator, details of assets to be transferred, updated constitution, etc.)</i>

**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 standards:	Evidence of our actions:
The charity trustees understand the legal and regulatory framework for our charity and are satisfied that our charity meets its legal, regulatory and contractual obligations and any constitutional requirements <b>(see Charities Regulator's <a href="#">'General note on 'other' Legal and Regulatory requirements'</a>)</b> .	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> (List laws and regulations applicable to your charity e.g. Charities Act; Companies Act; Revenue Commissioners; GDPR; Garda Vetting; Employment Law; compliance requirements set out by Tusla, HSE, Pobal; etc.) Registration with appropriate bodies (e.g. The Charities Regulator, Revenue Commissioners) See relevant filings, for example annual reports, financial statements, tax filings and the Register of Charities

## Charities Governance Code Compliance Record Form - SAMPLE

**4.3** If your charity raises funds from the public, read the Charities Regulator's guidelines<sup>1</sup> on this topic and make sure that your charity adheres to them as they apply to your charity.

Actions our charity takes to meet standards:	Evidence of our actions:
The Charities Regulator's ' <a href="#">Guidelines for Charitable Organisations on Fundraising from the Public</a> ' have been discussed and considered by the board of Charity Trustees. The board of charity trustees is committed to complying with the principles set out in the Guidelines.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Fundraising Policy/ Procedures
The board of charity trustees regularly monitors compliance with the fundraising guidelines.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
Our fundraising staff/ volunteers are provided with appropriate training and support.	Details of training and support provided to staff and/ or volunteers

**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 standards:	Evidence of our actions:
We agreed and implemented internal financial controls for income, expenditure, banking, assets and investments in line with the <b>the Charities Regulator's '<a href="#">Internal Financial Controls Guidelines</a>'</b> .	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Documented financial policies and procedures
Financial controls are regularly reviewed and monitored.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
Financial review conducted on a regular basis at board meetings.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
Any internal control flaws and unusual transactions reviewed and discussed at board meetings.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>

<sup>1</sup> See Guidelines for Charitable Organisations on Fundraising from the Public - available from: <https://www.charitiesregulator.ie/media/1265/guidance-for-fundraising-english.pdf>

## Charities Governance Code Compliance Record Form - SAMPLE

### 4.5 Identify any risks your charity might face and how to manage these.

Actions our charity takes to meet standards:	Evidence of our actions:
Specific risks are identified and analysed in terms of likely occurrence and severity of impact in line with <b>the Charities Regulator's 'Guidelines on Risk Management for charities'</b>	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>

### 4.6 Make sure your charity has appropriate and adequate insurance cover.

Actions our charity takes to meet standards:	Evidence of our actions:
The charity has appropriate and adequate insurance cover. <i>For example:</i> <i>The organisation has adequate insurance- public liability, employers' liability etc.</i>	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Insurance Policy.
We use the timetable of key dates at each board meeting to confirm when insurance is due and that it is in place.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Date schedule
Each policy is reviewed annually before renewal to ensure organisation is complying with the terms of the insurance contract.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Next renewal date [Insert Date]

# Charities Governance Code Compliance Record Form - SAMPLE

## Principle 4: Exercising Control **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 standards:	Evidence of our actions:
We create and regularly review our policies and procedures which may include: <ul style="list-style-type: none"> <li>• Data protection</li> <li>• Finance</li> <li>• Fundraising</li> <li>• Health and Safety</li> <li>• HR and Employment</li> <li>• Insurance</li> <li>• Record Keeping</li> <li>• Safeguarding</li> </ul>	List of relevant policies and procedures.
We ensure that all agreements and contracts are regularly reviewed and kept securely, and contractors are properly supervised and managed, to protect our organisation's interests.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>

### 4.8 Make sure there is a formal risk register that your board regularly reviews.

Actions our charity takes to meet standards:	Evidence of our actions:
Risk register maintained and regularly reviewed in the light of changing circumstances and influences. <b>(see the Charities Regulator's '<a href="#">Risk Register Template</a>)'</b>	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Risk Register
Risk Management policy is in place and a risk register is updated on a regular basis and monitored by the board.	Risk Management Policy.

### 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 standards:	Evidence of our actions:
We are fully compliant with the Charities SORP.	Financial Statements



# Charities Governance Code Compliance Record Form - SAMPLE

## Principle 5: Working Effectively **CORE STANDARDS**

- 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 standards:	Evidence of our actions:
Existing range of skills and experience of charity trustees is considered regularly with any significant gaps identified and filled ( <b>see the Charities Regulator's <a href="#">'Guidance on Succession Planning'</a></b> ).	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Succession plan
Charity trustee roles and responsibilities discussed, agreed and documented.	Approved key roles for volunteers
Job descriptions for new posts are developed and advertised widely and openly.	Existing job descriptions/ advertised posts

- 5.2 Hold regular board meetings. Give enough notice before meetings and provide prepared agendas.**

Actions our charity takes to meet standards:	Evidence of our actions:
Board Meetings are held every [five] weeks.	Minutes of Meeting dated [Insert Date]. <i>(List all relevant minutes)</i> Board meetings/ AGM timetable
Meeting notices, agendas and other relevant papers are provided to the board members by the secretary at least five days in advance of meetings ( <b>see the Charities Regulator's guidance on <a href="#">'The role of the Secretary of a charity'</a> and <a href="#">'The role of the Chairperson of a charity'</a></b> ).	Secretary's copy of the Board papers for each meeting held in [Insert Year]
Meetings are called and run in accordance with the governing document and, if relevant, company law.	Secretary's copy of the Board papers for each meeting held in [Insert Year]

## Charities Governance Code Compliance Record Form - SAMPLE

### 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 standards:	Evidence of our actions:
<p>The following items are always on our board agendas:</p> <ul style="list-style-type: none"> <li>• reporting on activities</li> <li>• review of finances</li> <li>• conflicts of interests and loyalties</li> </ul> <p><b>(See the Charities Regulator’s guidance on <a href="#">‘Guidance note on minute taking’</a>)</b></p>	<p>Minutes of meetings and records of decisions</p>
<p>Minutes are taken of board meetings and all other formal decisions of the board are properly recorded.</p>	<p>Minutes of meetings and records of decisions</p>
<p>Consistent minutes of meetings are kept that record attendance, decisions and actions (see <a href="#">‘Appendix A – Explanatory sample board minutes’</a> and <a href="#">‘Appendix B – Board Minutes Template’</a>).</p>	<p>Minutes of meetings and records of decisions</p>

## Charities Governance Code Compliance Record Form - SAMPLE

**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 standards:	Evidence of our actions:
Regular and clear reports are received on the charity's activities and finances.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> <i>(List various reports provided to charity trustees e.g. management accounts, etc.)</i>
Board papers provide the level of detail that is necessary for the board to understand the impact of the charity's current position, and to make sound decisions.	Secretary's copy of the Board papers for each meeting held in [20XX]

**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 standards:	Evidence of our actions:
Our governing document has specific reference to terms of office (recommended no more than 9 years)	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Governing Document
Length of service of board members and any requirements for meeting attendance is in line with the governing document. Terms of office for board members are staggered.	List of board members with appointment dates and due retirement dates is maintained
Charity trustees are appointed, resign, or retire according to our governing document and we keep appropriate records regarding trustees with details of when their term is up and if they are eligible for re-appointment.	List of board members with appointment dates and due retirement dates

## Charities Governance Code Compliance Record Form - SAMPLE

### 5.6 Recruit suitable new charity trustees as necessary and make sure they receive an induction.

Actions our charity takes to meet standards:	Evidence of our actions:
Existing range of skills and experience is considered regularly with any significant gaps identified and filled as necessary ( <a href="#">see the Charities Regulator's 'Guidance on succession planning'</a> )	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Copy of adverts seeking persons with specific experience to serve as charity trustees
Recruitment and induction process agreed and documented ( <a href="#">see the Charities Regulator's 'Guidance on Induction and Recruitment of prospective charity trustees'</a> ).	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Recruitment Policy/ Procedures Induction pack (see <a href="#">'Board induction checklist'</a> )
Potential charity trustees are aware of the time commitment of the role from the outset.	Induction Programme
Board induction and training takes place for all board members.	Induction programme
Recruitment and selection process discussed and documented.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Recruitment policy/ procedures
Due diligence carried out on all prospective charity trustees.	Recruitment policy/ procedures

### 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 standards:	Evidence of our actions:
Our governing document is regularly revisited to ensure that the board of charity trustees is aware of the specific powers laid down in our constitution.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>
Key role descriptions for charity trustees are understood and documented	Approved key roles and responsibilities
All charity trustees read and discussed the Charities Governance Code at a meeting of the charity's Board	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i>

## Charities Governance Code Compliance Record Form - SAMPLE

### 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 standards:	Evidence of our actions:
<p>Any problems are brought to the attention of the board and any actions and resolutions are agreed and documented.</p> <p>Unscheduled meetings are held where necessary.</p>	<p>Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i></p>
<p>We ensure that enough time is allocated for discussion.</p> <p>We ensure that all meetings are quorate i.e. the required minimum number of charity trustees for the meeting to go ahead are present, and our governing document sets out rules for making decisions in an emergency or when meetings are not quorate.</p> <p>Our chair has support, training and access to advice.</p>	<p>Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i></p>
<p>Key issues are escalated to the board for decision and it is clear where decision-making lies for each area of the charity's activities/business.</p>	<p>Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> A scheme of delegation</p>
<p>A regular review of key issues and areas of interest to the board is undertaken.</p>	<p>Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i></p>

### 5.9 From time to time, review how your Board operates and make any necessary improvements.

Actions our charity takes to meet standards:	Evidence of our actions:
<p>Annual board appraisal is carried out to address key areas of working.</p>	<p>Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Board appraisal forms</p>
<p>Particular areas for annual review are discussed and agreed. Future improvements considered and agreed.</p>	<p>Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i></p>

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Board performance is reviewed on a regular basis and includes an audit of skills, knowledge and experience of the board as a whole, the chair, individual board members, sub-committees, training and recruitment plans.

Board performance review forms.

SAMPLE

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## Principle 5: Working Effectively **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 standards:	Evidence of our actions:
Decision-making processes are clearly documented, approved and communicated	Secretary's copy of the Board papers for each meeting held in [20XX]
Regular and clear reports are received on the charity's current financial position and its future sustainability.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> <i>(List various reports provided to charity trustees e.g. management accounts, etc.)</i>
Charity trustees receive regular information regarding our organisation's activities, assets and resources, and progress against targets.	Secretary's copy of the Board papers for each meeting held in [2020]

### 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 standards:	Evidence of our actions:
<p>Our governing document details a transparent system for both the recruitment and removal of trustees, with fixed terms of office and an effective and manageable board size.</p> <p>Our trustees are appointed, resign or retire according to our governing document and we keep appropriate records of trustees with details of when their term is up and if they are eligible to stand again.</p>	<p>Succession plan</p> <p>List of all trustees' names and addresses, when they came into office and when they resign.</p> <p>Up to date register of members and directors</p> <p>Charities Regulator is informed of any changes to our directors/ trustees</p>
Our recruitment process is formal, rigorous and transparent, and based on merit and objective criteria to ensure a diverse pool of candidates.	Recruitment Policy
The adverts are open long enough to attract the right people, using multiple channels and tailored marketing, thinking about whether any of your requirements could prevent certain individuals from applying.	<p>Recruitment Policy</p> <p>Copy of recruitment adverts for specific roles</p>
The board have also added diversity to their risk register to ensure it remains a priority.	Risk Register

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### 5.12 Put in place a comprehensive induction programme for new charity trustees.

Actions our charity takes to meet standards:	Evidence of our actions:
New trustees receive a full induction, which includes a copy of our governing document and the Charities Governance Code. They understand their roles and responsibilities, and if possible are linked with an existing trustee to act as a mentor.	Induction Programme for charity trustees
Board induction and training takes place for all board members	Induction Programme for charity trustees

### 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 standards:	Evidence of our actions:
Board appraisals and evaluations are carried out on a regular basis (at least once every 12 months). This can be through peer assessment. Open to assessment and feedback from members (if applicable) and other stakeholders e.g. funders, beneficiaries, staff	Board appraisal/ evaluation forms Member/Stakeholder feedback
The board's terms of reference reflect good practice, are documented and available to members and stakeholders. The board is an appropriate size to be effective and support delivery of outcomes (recommended not more than 12 members). A skills matrix is maintained so gaps can be identified and addressed.	Board terms of reference Board skills matrix



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**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 standards:	Evidence of our actions:
Our performance and the composition and skills of the board is reviewed on a regular basis.	Annual board review which includes an audit of the skills, knowledge and experience of our board as a whole, the chair, individual board members, committees, training and recruitment plans.
Our capacity and capability is developed and improved with ongoing support and training	Continually working to develop our board through access to training opportunities and regular board away days which offer us an opportunity to work together as a team, identify board objectives and consider our strategic plan.
Staff appraisals and evaluations were carried out on a regular basis (at least every 6 months)	Staff appraisal/ evaluation forms
Skills audit is also used to assess the skills and expertise of the board, to identify any gaps and ensure the board 'make best use of the brilliant people around the table.'	Annual board review
An internal board review is in place.	Internal board review

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## Principle 6: Being Accountable **CORE STANDARDS**

**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 standards:	Evidence of our actions:
Our charity name and Registered Charity Number as entered on the Register of Charities are clearly displayed on all our written materials including website, social media platforms and email communications. This is monitored by the board of charity trustees on a regular basis.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> See our website/ Facebook page. Sample emails Sample letters

**6.2 Identify your stakeholders and decide how you will communicate with them.**

Actions our charity takes to meet standards:	Evidence of our actions:
Our communications' procedures are agreed and implemented <b>(see the Charities Regulator's <a href="#">'Guidance on Charity Communications'</a>)</b> .	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Communication policy/ documented procedures
We are clear about who our beneficiaries and key stakeholders are.	Accurate and up to date register of members, records of service users, details of funders, etc.
We produce an annual report with details of our organisational purpose, accounts and activities every year, which is widely available and easy to access on our website.	Annual Report Website

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### 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 standards:	Evidence of our actions:
We hold an annual meeting with our members (if applicable) in line with our governing document to report on our activities.	AGM minutes
We host or attend relevant seminars/ networking events.	Schedule of events/ attendance sheets

### 6.4 Make sure you have a procedure for dealing with:

- queries;
- comments; and
- complaints.

Actions our charity takes to meet standards:	Evidence of our actions:
Communications policy agreed, implemented and communicated widely ( <b>see the Charities Regulator's <a href="#">'Guidance on Charity Communications'</a></b> ).	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> [Charity Name] Communication policy/ documented procedures.
Complaints and feedback policy/ procedures are agreed, documented and communicated.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> [Charity Name] Complaints policy/ documented procedures. A record of all related feedback

### 6.5 Follow the reporting requirements of all of your funders and donors, both public and private.

Actions our charity takes to meet standards:	Evidence of our actions:
We discuss specific compliance and reporting requirements set by funders and donors.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Service Level Agreements

## Charities Governance Code Compliance Record Form - SAMPLE

We discuss and agree procedures for reporting and compliance.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> [Charity Name] Communication policy/ documented procedures.
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### Principle 6: Being Accountable **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 standards:	Evidence of our actions:
We produce comprehensive annual report and full financial statements which are publically available from our website.	Website link Annual Report Financial Statements

#### 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 standards:	Evidence of our actions:
We state our compliance with Charities SORP and the Charities Governance Code in our annual reports and on our website.	Website link Annual Report Financial Statements

#### 6.8 Regularly review any complaints your charity receives and take action to improve organisational practice.

Actions our charity takes to meet standards:	Evidence of our actions:
Board of charity trustees receives a regular report on the number and type of complaints received.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Reports to the Board of Charity Trustees
We follow the procedure set out in our Complaints Policy. The policy is reviewed and updated on a regular basis.	Minutes of Meeting dated [Insert Date] <i>(List all relevant minutes)</i> Complaints Policy

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