

CHARITIES GOVERNANCE CODE COMPLIANCE RECORD FORM

Charity Name	
Registration Charity Number (RCN)	
Annual Reporting Period	
Date approved by the Board of Charity Trustees	

Under the [Charities Governance Code](#) all registered charities are required to complete this Charities Governance Code Compliance Record Form every year.

Please fill in this form to record:

- the actions that your charity takes to meet each standard of the Charities Governance Code; 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.

You are NOT required to file the Compliance Record Form with the Charities Regulator. However, you must keep your Compliance Record form as the Charities Regulator could ask you for it at any time.

What do we expect?

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.

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

We would expect more complex charities to provide more extensive documentation than other charities.

You can add or delete columns as required.

Please use the glossary within the [Charities Governance Code](#) when filling in the form and include dates where appropriate.

Please click [here](#) for more information, guidance and templates.

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:

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:

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:

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:

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:

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:

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:

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:

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:

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:

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:

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:

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:

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:

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:

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:

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:

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:

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:

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:

4.3 **If your charity raises funds from the public, read the Charities Regulator’s guidelines¹ 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:

¹ See Guidelines for Charitable Organisations on Fundraising from the Public - available from: <https://www.charitiesregulator.ie/media/1083/guidance-for-fundraising-english.pdf>

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:

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:

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

Actions our charity takes to meet standards:	Evidence of our actions:

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:

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:

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:

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:

- 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:

- 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:

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:

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:

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:

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:

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.

Actions our charity takes to meet standards:	Evidence of our actions:

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:

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:

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:

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

Actions our charity takes to meet standards:	Evidence of our actions:

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:

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:

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:

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

Actions our charity takes to meet standards:	Evidence of our actions:

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:

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:

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:

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:

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:

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:

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