

CHARITIES GOVERNANCE CODE COMPLIANCE RECORD FORM

Charity Name	<b>St Francis Dispensary for Sick and Injured Animals</b>
Registration Charity Number (RCN)	CHY3974
Annual Reporting Period	January to December
Date approved by the Board of Charity Trustees	23rd September 2020

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:
St Francis has a clear mission statement	Trust Deed document outlines our mission
St Francis has an agreed strategy for delivery of our deed	Strategy document – 1 page Strategic Vision Chart

**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:
St Francis employs 3 full time people. On this basis we deem that private benefit does arise.	Benefit is limited to payment of wages to 1 vet, 1 nurse and 1 care assistant/practice manager. St Francis has in place a dedicated staff handbook which in tandem with contracts outlines any staff remuneration/benefits or limitations.

**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:
St Francis Strategic plan with the Trust Deed outline the St Francis direction.	Trust deed clearly outlines the sole function of St Francis is to provide a service for those people of limited means through delivery of veterinary care to animals.

**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:
St Francis deploys resources as required. Core resources are permanent staff. Additional resources are sourced based on function/requirement as required based on our strategic plan. St Francis looks to its voluntary committee in the first instance for resources. St Francis will then tender externally for specialist skill sets if required.	Written policy agreed by the committee on tendering for services is in place.

**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:
Copy of our trust deed and strategic plan is provided to all members of the committee half yearly. Review of services/pricing is completed annually prior to year end	Mission statement on half yearly and annual review is approved by the committee. Agenda and minutes of monthly meetings and AGM – refer to cloud based files.

**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:
Strategic Vision outlined in 2018	Documented vision statement

**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:
Review of the Strategic direction during the AGM	Agenda and minutes
Effectiveness of the work of St Francis is evaluated annually and impact included in Annual Report.	Committee Meetings monthly both agenda and minutes AGM agenda and minutes

**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:
St Francis works with other charities	Dogstrust – Microchip programme. St Francis receives vouchers for microchipping dogs.
St Francis supports the work of other charities	St Francis completes veterinary care for dogs where Dogstrust specifies work required or special needs for animals.

**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:
Website	Website mission statement
Staff Handbook	Mission statement is included in the handbook
Practice Reception	Mission statement is published in the reception area

**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/loyalties policy is in place (CRA templated)	Register is maintained by the Chair
	Monthly meeting agenda and minutes capture any changes to the register

**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:
Policy on standards for trustees is in place	Policy statement

**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:
Job descriptions are in place for all paid staff	Contracts of employment and job descriptions
Trust deed – role of trustees and committee is outlined	Trust deed document

**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:
Coordinate recruitment through Volunteer Ireland	Statement of engagement
Practice Manager to lead/coordinate all volunteers	Statement of engagement/responsibilities – practice manager

**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:
Recruitment carried out through standard advertising in VCI	Job descriptions and contracts setup for existing roles
Job descriptions and employee handbook in place. KPIs outlined	Job descriptions and handbook provided to each employee. Manager completes day to day management. Chairperson leads the manager. Org chart.
Payroll is outsourced	Solve carry out delivery of remuneration – setup and monthly control documents in place – see cloud filing

**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:
Business processes reviewed and documented – standard processes.	Business processes documented – core processes – flowcharted – see cloud storage

**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:
Sample TOR provided to outline the structure for sub committees agreed by committee	Sample TOR document
Guidelines for trustees and code of conduct for committee members and trustees	Code of conduct

**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:
Newly drafted volunteer requirements and code of conduct for volunteers adapted from Volunteer Ireland	Policy on Volunteering available on cloud filing

**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:
Operational policy is agreed at committee level with sub committees informing the decision making process	Committee meetings agenda and minutes Outputs of policy e.g. new financial reporting (high level summary and cashflow)

**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:
St Francis is trust and has a Trust Deed	Trust deed is reviewed annually at the AGM to ensure it is still fit for purpose.

**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:
St Francis monitors CRA for updates St Francis monitors VCI for updates Practice manager maintained controlled substance register	CRA updates are included in the agenda for discussion under a specific section – Compliance. VCI guidelines are reviewed and actions against each section is recorded. Control substance register

**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:
St Francis complies with the requirements as set out by the CRA	Policy Statement on Fundraising in place.

<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>

**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:
St Francis has robust controls in place including a 2 signature approach to cheques. Additionally there is a safe onsite for cash and lodgements are carried out by 2 staff once a week. A drive to move from cash to card is ongoing to eliminate any cash deposits.	Secretary and treasurer or trustee signature required on cheques. Agreed process with the bank.
	Risk Register reviewed at board meetings – see agendas and minutes. Action log also reviewed
	Comply with Fundraising Guidelines – refer to policy statement on transparency

**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:
St Francis maintain a risk register	Risk Register – stored on cloud

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

Actions our charity takes to meet standards:	Evidence of our actions:
D&O and PL/EL cover along with contents and building insurance is carried out	Dave Doherty brokers completed a review annually. Policy schedule and associated documents available to view on cloud filing system.

**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:
Business process review	Written business processes are outlined/documentated

**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	Risk register is included on the monthly meeting agenda and minutes

**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:
Trustee and Committee member training	Boardmatch training (or alternative) relevant to roles and governance completed twice a year minimum. All committee members and trustees must undertake at least 1 course per year – Records from training captured in cloud filing.
New filing system and storage accessible by all committee members but editable only by key people (controls)	OneDrive storage with restricted read and/or write access and 2FA security
VCI Governance	Review by rep from VCI inspecting services and facilities provided.
Financial Controls by way of Audit by Delaney Locke	Audit by DLT

**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:
Committee member profiles	Profiles of existing committee members
	Recruitment of committee members with specific skillsets – Boardmatch

- 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:
Agendas and Minutes maintained – issued 7 days in advance minimum and minutes released within 72 hours.	Copy of Agenda and Minutes available on cloud storage

- 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:
Meeting agendas enhanced to ensure inclusion of all the above points	Agenda and Minutes

**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:
All meeting papers are sent out minimum 7 days in advance	Meeting agenda and minutes

**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:
A review of this area is underway with a view to recognising tenure of existing trustees but also looking to recruitment of new committee members and trustees	Meeting agenda and minutes Boardmatch recruitment advertisement proofs

**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:
Induction is completed by way of receiving a copy of the handbook, access to all recorded files where applicable and a tour of practice including a meeting with the team	Statement on induction

**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:
Copies of the charities code is circulated to all committee members twice a year	Meeting agenda and minutes
Copy of the trust deed for trustees and committee members is circulated for the AGM	Copy of the trust deed.

**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:
Complaints from customers are captured on a complaints register	Complaints Register
Internal complaints or dissatisfaction is monitored and managed through the org structure	Org structure and Handbook

**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:
Structure is reviewed at the AGM	Meeting agenda and minutes



**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:
All papers are sent out 7 days in advance of meeting date at a minimum	Meeting agenda and minutes – documents are emailed out

**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:
Committee regularly seeks to ensure that members have necessary skillsets and endeavour to recruit when required	Boardmatch adverts and member profiles.

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

Actions our charity takes to meet standards:	Evidence of our actions:
Induction statement exists which outlines process.	Induction statement

**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:
Annual review at the AGM	Agenda and Minutes

**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:
Annual Review	Training via Boardmatch for trustees and members
Compliance Review	Training via Boardmatch for trustees and members

**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:
Number is included on all communications/social media	RCN number is published on all social media and comms

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

Actions our charity takes to meet standards:	Evidence of our actions:
Members register is in place. Communication is by email and regular post or phone if required	Register of Members – refer to cloud storage

**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:
All stakeholders are included in monthly meetings with non-committee based members included at AGM stage and provided the option to attend	Agenda and minutes

**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:
Complaints are recorded on a register	Complaints Register
Comments and queries are captured through social media and any requiring attention are managed by the practice manager	Electronic copies are kept where applicable.

**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:
Any specific requirements are captured	Agenda and minutes

**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:
Full accounts are produced and provided by DLT. These are available on request by anyone via phone call to St Francis.	Full accounts provided by DLT and signed off at AGM. Agenda and minutes.

**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:
VCI Codes	Available offline where applicable – access can be obtained via Chairperson
CRA Codes	Available online and offline where applicable – access can be obtained via Chairperson

**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:
Complaints Register	Complaints register is maintained, and any complaints are reported on during monthly committee meeting for review. Real time resolution is conducted via Practice Manager and Chair subject to reporting lines.

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