**Governance Code for Sport Compliance Record Form (Type B)**

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| Organisation Name |  |
| Annual Reporting Period |  |
| Compliance Record Form Prepared By |  |

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| **Board Compliance Statement**  The Board of [ORGANISATION NAME] has reviewed and assessed this Compliance Record Form and is satisfied that arrangements and structures are in place that are, in the Board’s opinion, designed to secure the organisation’s compliance with the Governance Code for Sport.  The Board of [ORGANISATION NAME], confirms that this Compliance Record Form (and associated arrangements and structures) was reviewed at a Board meeting on [INSERT DATE].  This Compliance Record Form is signed on the Board’s behalf.  Chairperson Signatory: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_  2nd Board Signatory: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |

Under the Governance Code for Sport all funded sporting organisations are required to complete this Governance Code Compliance Record Form every year.

Please fill in this form to record:

* Indicate your organisation’s position in relation to each recommended practice (Yes/No/NA)
* The actions that your organisation takes to meet each standard of the Governance Code for Sport; and
* The evidence that backs this up.

Your organisation should approve the Compliance Record Form at a board meeting during Q1 2022.

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

**What do we expect?**

Proportionality is a central tenet of the Code and your organisations compliance with the Code should be proportionate to the size and scale of the organisation. The type of evidence we expect depends on the complexity of your organisation and the practice but in all cases will need to be documented and in most cases considered at Board level.

The minimum expected of all organisations would be to discuss and agree at board meetings how they will meet the standards and document their decisions in the minutes.

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

We would expect ~~e~~ larger and more complex sports organisations to provide more extensive documentation than other sports organisations.

Please use the glossary within the [Governance Code for Sport](https://www.sportireland.ie/sites/default/files/media/document/2020-12/the-governance-code-for-sport-a-guide.pdf)  when filling in the form and include dates where appropriate.

**Please click** [**here**](https://www.sportireland.ie/GovernanceCode) **for more information, guidance and templates.**

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| **Principle:** | **1. Leading our organisation.** | | | | | | |
| **Sub-Principle** | **1.1 Agreeing our vision, purpose, mission, values and objectives and making sure that they remain relevant.** | | | | | | |
|  |  | **Does Your Organisation Comply with this practice?** | | |  |
|  | **Recommended Board Actions** | **Yes** | **No** | **N/A** | **Evidence of Compliance/Explanatory Note** |
| 1.1 (a) | Has your Board agreed a written statement for your organisation, which includes your mission, values and objectives? |  |  |  |  | |
| 1.1(b) | Has your Board made sure 1.1(a) reflects the governing document of the organisation (for example, constitution, memorandum and articles of association or deed of trust)? |  |  |  |  | |
| 1.1 (c) | Has your Board reviewed the organisation’s mission, values and objectivesat least every three years to ensure that the organisation is still relevant? |  |  |  |  | |
| 1.1 (d) | Has the Board reviewed and agreed written policy statements on relevant operational matters, where necessary, at least every three years? |  |  |  |  | |

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| **Principle:** | **1. Leading our organisation.** | | | | | |
| **Sub-Principle** | **1.2 Developing, resourcing, monitoring and evaluating a plan so that our organisation achieves its stated purpose and objectives.** | | | | | |
|  |  | **Does Your Organisation Comply with this practice?** | | | |  |
|  | **Recommended Board Actions** | **Yes** | **No** | | **N/A** | **Evidence of Compliance/Explanation** |
| 1.2 (a) | Has the Board (working with staff) agreed a yearly work plan for the organisation that includes:   * objectives; * targets; * budget; * funding plan; and * timelines? |  |  |  | |  |
| 1.2 (b) | Has the role of the Board been agreed in relation fundraising activities, fundraising applications and contact with funders? |  |  |  | |  |
| 1.2 (c) | Has the Board put in place a monitoring and evaluation system for the strategic plan? |  |  |  | |  |
| 1.2 (d) | Does the Board invite and review reports from Executive on progress compared with objectives? |  |  |  | |  |

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| **Principle:** | **1. Leading our organisation.** | | | | |
| **Sub-Principle** | **1.3 Managing, supporting and holding to account staff, volunteers and all who act on behalf of the organisation.** | | | | |
|  |  | **Does Your Organisation Comply with this practice?** | | |  |
|  | **Recommended Board Actions** | **Yes** | **No** | **N/A** | **Evidence of Compliance/Explanation** |
| 1.3 (a) | Has the Board made sure that contracts and employment policies are in place and that they cover:   * recruitment; * induction; * supervision; * appraisals; * grievance; and * disciplinary procedures? |  |  |  |  |
| 1.3 (b) | Has the Board made sure:   * formal arrangements are set up for the ongoing supervision and development of staff; and * staff appraisals are carried out once a year |  |  |  |  |
| 1.3 (c) | Has the Board put a volunteer policy in place covering   * Recruitment * Induction * Support * Supervision and * What happens if problems arise |  |  |  |  |
| 1.3 (d) | Has the Board made sure that staff have up to date job descriptions? |  |  |  |  |

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| **Principle:** | **2. Exercising control over our organisation.** | | | | |
| **Sub-Principle** | **2.1 Identifying and complying with all relevant legal and regulatory requirements.** | | | | |
|  | **Recommended Board Actions** | **Does Your Organisation Comply with this practice?** | | | **Evidence of Compliance/Explanation** |
| **Yes** | **No** | **N/A** |
| 2.1 (a) | Has the Board decided if the current legal form of the organisation is appropriate? Have the Board complied with the relevant requirements? |  |  |  |  |
| 2.1 (b) | If the organisation is a company limited by guarantee, have the board appointed a board member to act as Company Secretary?  Has the Board ensured that the person appointed, regardless of their position in the organisation, is competent to fulfil the role and have the necessary skills, time and access to resources to carry out the role? |  |  |  |  |
| 2.1 (b) | Where the CEO/manager is appointed as company secretary, has the Board ensured that an explanation of this is included in the organisation’s compliance statement? |  |  |  |  |
| 2.1 (c) | If the organisation is a charity as defined by the Charities Act 2009, has the Board made sure the group is registered with the Charities Regulatory Authority and that the organisation complies with all associated regulations? |  |  |  |  |
| 2.1 (c) | If the organisation is a charity does the organisation display the official ‘registered charity number’ (if the organisation has one) on all public documentation including website, emails, headed paper and so on. |  |  |  |  |
| 2.1 (d) | Has the Board decided if the organisation would like to have ‘charitable tax exemption’ for the group (that is a CHY number) and or a Charities Regulator Authority (CRA) number?  If so, have the Board applied to the Revenue Commissioners Charity Section for a CHY number and/or CRA number and make sure your organisation complies with any associated regulations? |  |  |  |  |
| 2.1 (e) | Has the Board satisfied itself that it is in compliance with all legal, regulatory and contractual obligations and addressed issues when they arise? |  |  |  |  |
| 2.1 (f) | Has the Board made sure there is a Safety Statement, which identifies the person responsible for health and safety in the organisation? |  |  |  |  |
| 2.1 (f) | Has the Board received reports on Health & Safety matters that arise? |  |  |  |  |
| 2.1 (g) | Has the Board made sure policies regarding:   * employment; * equality; and * data protection   are in place? |  |  |  |  |
| 2.1 (h) | Has the Board made sure that   * contact details of stakeholders are kept with their permission in a safe place. * Contact details are not given to someone outside the group without the stakeholder’s consent. * unnecessary personal information is not kept. * the organisation complies with data protection legislation? |  |  |  |  |
| 2.1 (i) | Has the Board made sure other policies are in place to comply with other relevant law (for example, child protection)? |  |  |  |  |
| 2.1 (j) | Has the Board made sure that the organisation complies with the terms and conditions of public or private grants received, including governance requirements? |  |  |  |  |

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| **Principle:** | **2. Exercising control over our organisation.** | | | | |
| **Sub-Principle** | **2.2 Making sure there are appropriate internal financial and management controls.** | | | | |
|  | **Recommended Board Actions** | **Does Your Organisation Comply with this practice?** | | | **Evidence of Compliance/Explanation** |
| **Yes** | **No** | **N/A** |
| 2.2 (a) | Has the Board monitored income, and expenditure against budget and cash-flow each quarter? |  |  |  |  |
| 2.2 (b) | Has the Board produced yearly accounts?  Has the Board signed-off on yearly accounts?  (These should be audited or independently examined as appropriate) |  |  |  |  |
| 2.2(c) | Has the Board agreed and put in place appropriate financial management procedures, systems and controls? |  |  |  |  |
| 2.2 (d) | Has the Board agreed spending limits for the manager? |  |  |  |  |

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| **Principle:** | **2. Exercising control over our organisation.** | | | | |
| **Sub-Principle** | **2.3 Identifying major risks for our organisation and deciding ways of managing the risks.** | | | | |
|  | **Recommended Board Actions** | **Does Your Organisation Comply with this practice?** | | | **Evidence of Compliance/Explanation** | |
| **Yes** | **No** | **N/A** |
| 2.3 (a) | Has the Board in conjunction with the manager developed a risk management policy and a plan for the year? |  |  |  |  |
| 2.3 (b) | Has the Board taken out appropriate levels of insurance? |  |  |  |  |
| 2.3 (c) | If your organisation owns property or any assets, has the Board made sure that legal ownership is in the name of the organisation and that the community interest is protected if the organisation closes?  Has the Board taken legal advice if necessary? |  |  |  |  |

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| **Principle:** | **3. Being transparent and accountable.** | | | | | |
| **Sub-Principle** | **3.1 Identifying those who have a legitimate interest in the work of our organisation (stakeholders) and making sure there is regular and effective communication with them about our organisation.** | | | | | |
|  | **Recommended Board Actions** | **Does Your Organisation Comply with this practice?** | | | **Evidence of Compliance/Explanation** |
| **Yes** | **No** | **N/A** |
| 3.1 (a) | Has your Board identified your key stakeholders and decided how the organisation will communicate with them? |  |  |  |  |
| 3.1 (b) | Has the Board appointed an agreed spokesperson for the organisation? |  |  |  |  |
| 3.1 (c) | Has the Board produced a yearly activity report and made it widely available? |  |  |  |  |
| 3.1 (d) | Does the Board ensure that the organisation meets the reporting requirements of any funder or regulator? |  |  |  |  |
| 3.1 (e) | Does the Board make sure that the annual meeting is held in line with your governing document? |  |  |  |  |
| 3.1 (e) | Has the Board considered other ways to keep members and stakeholders informed such as a newsletter or website? |  |  |  |  |
| **Principle:** |  | | | | | |
| **Sub-Principle** |  | | | | | |
|  | **Recommended Board Actions** | **Does Your Organisation Comply with this practice?** | | |  |
| **Yes** | **No** | **N/A** |
| 3.2 (a) | At annual meetings are the views of stakeholders about the organisation’s work listened to? |  |  |  |  |
| 3.2 (b) | Has the Board put a clear system in place for dealing with correspondence, feedback and complaints to the organisation? |  |  |  |  |

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| **Principle:** | **3. Being transparent and accountable.** | | | | |
| **Sub-Principle** | **3.3 Encouraging and enabling engagement with those who benefit from our organisation in the planning and decision-making of the organisation.** | | | | |
|  | **Recommended Board Actions** | **Does Your Organisation Comply with this practice?** | | | **Evidence of Compliance/Explanation** |
| **Yes** | **No** | **N/A** |
| 3.3 (a) | Has the Board made sure that feedback from stakeholders is actively sought? |  |  |  |  |
| 3.3 (b) | Has the Board made sure that stakeholders are consulted if significant changes to the organisation are being planned? |  |  |  |  |

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| **Principle:** | **4. Working effectively.** | | | | |
| **Sub-Principle** | **4.1 Making sure that our governing body, individual board members, committees, staff and volunteers understand their: role, legal duties, and delegated responsibility for decision-making.** | | | | |
|  | **Recommended Board Actions** | **Does Your Organisation Comply with this practice?** | | | **Evidence of Compliance/Explanation** |
| **Yes** | **No** | **N/A** |
| 4.1 (a) | Has the Board made sure that Board and sub-committee members understand and are familiar with the Governance Code and the organisation’s governing documents? |  |  |  |  |
| 4.1 (b) | Has the Board made sure that board members understand that while they were nominated by a particular group, they must not act as a representative of that group in acting as a board member. Instead, they should promote the aims of the organisation in line with its governing document? |  |  |  |  |
| 4.1 (b) | Has the Board made sure that Board members at all times respect board confidentiality? |  |  |  |  |
| 4.1 (c) | Has the Board agreed and documented the roles of the officers and ordinary board members and the terms of reference for any sub-committees? |  |  |  |  |
| 4.1 (d) | Has the Board agreed and documented the process for decision making between meetings? |  |  |  |  |
| 4.1 (d) | Has the Board agreed the decisions that can be delegated and the decisions that must be taken by the Board? |  |  |  |  |
| 4.1 (e) | Has the Board clarified the differences between the responsibilities of the board and the manager? |  |  |  |  |
| 4.1 (f) | Has the Board made sure that board members do not interfere in duties delegated to staff? |  |  |  |  |

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| **Principle:** | **Principle 4. Working effectively.** | | | | |
| **Sub-Principle** | **4.2 Making sure that as a board we exercise our collective responsibility through board meetings that are efficient and effective.** | | | | |
|  | **Recommended Board Actions** | **Yes** | **No** | **N/A** | **Evidence of Compliance/Explanation** |
| 4.2 (a) | Has the Board made sure that it (i.e. the board) meets regularly and in line with your governing document? |  |  |  |  |
| 4.2 (b) | Does the chairperson with the manager or secretary set the agenda of board meetings? |  |  |  |  |
| 4.2 (c) | Has the Board made sure that the agenda, minutes of last meeting are sent before meeting? |  |  |  |  |
| 4.2 (d) | Has the Chairperson ensured:   * board meetings run to time; * order is kept at meetings * encouraging maximum participation of board members; * that decisions are made and implemented? |  |  |  | *.* |
| 4.2 (e) | Do board minutes follow a consistent and standard practice? |  |  |  |  |

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| **Principle:** | **4. Working effectively.** | | | | |
| **Sub-Principle** | **4.3 Continually reviewing board recruitment, development and retirement processes to ensure relevant competencies are in place to realise the organisation’s objectives.** | | | | |
|  | **Recommended Board Actions** | **Yes** | **No** | **N/A** | **Evidence of Compliance/Explanation** |
| 4.3 (a) | Has the Board taken time once a year to review the way that the board works and identified improvements? |  |  |  |  |
| 4.3 (b) | Has the Board reviewed the skills, attributes and experience that are needed on the Board each year? |  |  |  |  |
| 4.3 (b) | Has the Board decided how you (i.e. the Board) will develop existing board members or recruit new members to meet these needs? |  |  |  |  |
| 4.3 (b) | Has the Board selected new board members according to the rules laid out in your governing document and the need to promote equal opportunities and diversity at board level? |  |  |  |  |
| 4.3 (b) | Has the Board considered the extent to which your board is made up of member representatives, beneficiaries or external representatives to avoid loyalty dilemmas and decide what the best mix is? |  |  |  |  |
| 4.3 (c) | Has the Board agreed and put a comprehensive induction programme in place for new board members, making sure new members develop a clear understanding of their roles and responsibilities including compliance with the principles of this Governance Code? |  |  |  |  |
| 4.3 (c) | Ha the Board made sure that new board members are given a copy of the governing document, yearly work plan, policy positions, recent Board minutes and this Governance Code? |  |  |  |  |
| 4.3 (d) | Has the Board provided appropriate training for board members? |  |  |  |  |

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| **Principle:** | **5. Behaving with integrity.** | | | | |
| **Sub-Principle** | **5.1 Being honest, fair and independent.** | | | | |
|  | **Recommended Board Actions** | **Yes** | **No** | **N/A** | **Evidence of Compliance/Explanation** |
| 5.1 (a) | Has the chair led the board in developing an ethical culture in line with the values of the organisation? |  |  |  |  |
| 5.1 (b) | Has the Board developed and agreed a code of conduct for board members that outlines the expected standards of behaviour and what happens if they are not met? |  |  |  |  |
| 5.1 (c) | Does the code of conduct gives clear guidelines on the receipt of gifts or hospitality by board members? |  |  |  |  |
| 5.1 (d) | Do all board members sign a commitment to the code when they are appointed? |  |  |  |  |
| 5.1 (e) | Is the Board satisfied that arrangements are in place to review your code every three years? |  |  |  |  |
| 5.1 (f) | Is the Board fair, by consistently applying the same ethical standards to every person and situation? |  |  |  |  |

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| **Principle:** | **5. Behaving with integrity.** | | | | |
| **Sub-Principle** | **5.2 Understanding, declaring and managing conflicts of interest and conflicts of loyalties.** | | | | |
|  | **Recommended Board Actions** | **Yes** | **No** | **N/A** |  |
| 5.2 (a) | Has the Board held a discussion about the issues of ‘conflict of interest’ and ‘conflict of loyalty.’, and developed a policy on each of these? |  |  |  |  |
| 5.2 (b) | Does each board member (and anyone else present) tell the board if they believe they have a conflict of interest on a matter to be decided on at a meeting, and leave when the board is discussing or deciding on that matter (unless the board decides otherwise)? |  |  |  |  |
| 5.2 (b) | Are conflicts of interest recorded in the minutes? |  |  |  |  |
| 5.2 (c) | Has a register of directors’ interests been established and updated each year? |  |  |  |  |
| 5.2 (c) | Do board members notify the board of any relevant changes in their interests when they happen, and are these recorded in the minutes? |  |  |  |  |
| **Principle:** | **5. Behaving with integrity.** | | | | |
| **Sub-Principle** | **5.3 Protecting and promoting our organisation’s reputation.** | | | | |
|  | **Recommended Board Actions** | **Yes** | **No** | **N/A** |  |
| 5.3 (a) | Has the Board made sure that all board members understand their responsibility to act as champions for the group by promoting its work and reputation? |  |  |  |  |
| 5.3 (b) | Does the code of conduct clarify that board members have a duty to maintain the confidentiality of board meetings? |  |  |  |  |