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

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| Organisation Name | **Clare LSP** |
| Annual Reporting Period | Jan to Dec 2022 |
| Compliance Record Form Prepared By | John Sweeney |

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| **Board Compliance Statement**The Board of Clare LSP 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 Clare LSP 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 strategic plan for your organisation, which includes clear statements of your vision, mission, values and objectives? | x |  |  | Approved by board 22 June 2021 |
| 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)? | x |  |  | Yes it does |
| 1.1 (c) | Has your Board reviewed the organisation’s vision, purpose, mission, values and objectivesat least every three years to ensure that the organisation is still relevant? | x |  |  | The plan has been set out for 3 years. Also, see 1.1(a) |
| 1.1 (d) | Has the Board reviewed and agreed written policy statements on relevant operational matters, where necessary, at least every three years? | x |  |  | Policies that are in place with review dates: Safeguarding Children and Vulnerable Adults (Oct 2022) , Garda Vetting (Oct 2022), Safe Recruitment Staff (Dec 2022), Service Providers (Dec 2022), Partners (Dec 2022), Health and Safety (Dec 2022), First Aid (Dec 2022), Data Protection (Dec 2020 - New IPA to be adopted?), Record Mgt & Retention (Dec 2020 - Needs revew), Anti Racism (Dec 2022), Complaints (Dec 2022), Finance (Dec 2022), Strategy (Dec 2022), Staff Handbook - Needs Review. A number of other policies are within the IPA documents that need to be adopetd etc. |

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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 agreed a strategic plan for the organisation that includes:* objectives;
* operational plans;
* budget;
* key performance indicators; and
* timelines?
 | x |  |  | *Plan adopted on 22/06/2021 board have agreed that FARC and strategy committee will work to ensure that funding streams are identified.* |
| 1.2 (b) | Has the role of the Board been agreed in making sure that there are enough resources to implement the strategic plan and has the Board considered the organisation’s sustainability over the long term? | x |  |  | There is ongoing commitment from the board to work with local agencies to ensure that partnership and partnership contributions are in place |
| 1.2 (c) | Has the Board put in place a monitoring and evaluation system for the strategic plan? | x |  |  | The 'Project Tracker' tracker is in place. In our annual workplans, we have set out targets for the year on number of courses, projects etc. This is fit fo purpose for staff and management, but is it suitable for the board and their assurance for strategy? |
| 1.2 (d) | Does the Board invite and review reports from CEO on progress compared with agreed objectives and key performance indicators? | x |  |  | Operational reports are given the to board at each meeting |
| 1.2 (e) | Does the Board make sure the discussion of strategic issues is a regular item on the board agenda? | x |  |  | Strategy is a standard item on each board meeting agenda. |

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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?

Has the Board given responsibility for implementation of board-approved human resource policies and employment contracts to Chief Executive Officer (CEO)?  | x |  |  | In place and HR Company Voltedge recruited to review principle 1.3 (a) |
| 1.3 (b) | Has the Board made sure:* formal arrangements are set up for the ongoing supervision and development of staff; and
* formal arrangements are set up for the supervision and development of the CEO. This should include a yearly or twice-yearly appraisal?
 | x |  |  | CEO formally engages with staff for ongoing and systematic appraisals. System is being set up for supervision and development of CEO |
| 1.3 (c) | Has the Board given responsibility for developing the volunteer policy to the CEO? | x |  |  | Policy developed |
| 1.3 (d) | Has the Board delegated responsibility for job descriptions and staff supervision to CEO?  | x |  |  | HR Company Voltedge recruited to review principle 1.3 (d) |
| 1.3 (e)  | Has the Board* Agreed job description of CEO;
* Set yearly performance expectations of CEO; and
* Agreed ways for CEO to report to the board?
 | x |  |  | As above but between CEO and Exec (FARC) |

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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 agreed policies, procedures and reporting mechanisms to make sure there is compliance with all relevant legal and regulatory requirements? | x |  |  | Board signed off on FARC committee at board meeting on 24/03/2021 this will form part of their role |
| 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? | x |  |  | Company Secretary (Director)Appointed at each AGM and sits on the FARC committee |
| 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? |  |  | x |  |
| 2.1 (c) | Has the Board invited and reviewed reports on legal and regulatory compliance and ensured that any issues that have been identified periodically are dealt with? | x |  |  |  |
| 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? |  |  | x | Not applicable as we do not have charitable status |
| 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.  |  |  | x | Not applicable as we do not have charitable status |
| 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? |  |  | x | Not applicable as we do not have charitable status |
| 2.1 (e) | Has the Board invited and reviewed reports on legal and regulatory compliance and made sure that any issues that have been identified from time to time have been dealt with promptly?  | x |  |  | * This is a task for the FARC
 |
| 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? | x |  |  | *We have a safety statement inplace.* |
| 2.1 (f) | Has the Board invited and reviewed reports on any health and safety matters that arise? | x |  |  | *None have arisen* |
| 2.1 (g) | Has the Board made sure policies regarding:* employment;
* equality; and
* data protection

are in place?   | x |  |  | *As per sub principle 1.1 (d) and 1.3 (d)* |
| 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?
 | x |  |  | Details kept on Highrise as per GDPR policy 1.1 (d)  |
| 2.1 (i) | Has the Board made sure other policies are in place to comply with other relevant law (for example, child protection)?  | x |  |  | As per sub principle 1.1 (d) |
| 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? | x |  |  |  Evidence in Grant Aid Agreement & HOA File in office |

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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 overseen income, expenditure, cash-flow and investments?  | x |  |  | This will be embedded in the FARC operations and subsequent reports to Board. |
| 2.2 (b) | Has the Board considered whether production of accounts according to a best practice standard, for example the charity SORP (Statement of Recommended Practice), is appropriate for your organisation? Has the Board signed-off on yearly audited accounts? | x |  |  | Audited Accounts presented at AGM Filed in AGM folder |
| 2.2(c) | Has the Board agreed and put in place appropriate financial management procedures, systems and controls? | x |  |  | *FARC meet monthly to oversee financial management procedures, systems and controls with minuted observations* |
| 2.2 (d) | Has the Board agreed the level of financial authority given to CEO, finance sub-committee and senior staff? | x |  |  | *FARC to monitor Financial Control Policy as per 1.1 (d) & 2.2 (c)* |
| 2.2 (e) | Has the Board appointed an audit committee of three or more directors, with at least one of this committee having recent and relevant financial experience? | x |  |  | *FARC in place. Maybe consider co-opting an external person for independent financial expertise?* |
| 2.2 (e) | Has the Board approved written terms of reference that describe the role of the audit committee and its responsibilities? | x |  |  | *Yes, communicated and on file* |
| 2.2 (e) | Are the terms of reference for the audit committee on the organisation’s website? | xx |  |  | Yes |
| 2.2 (e) | Has the Audit Committee fulfilled its role as set out in paragraph 2.2(e) of the guidance document (available [here](https://www.sportireland.ie/sites/default/files/media/document/2020-12/the-governance-code-for-sport-a-guide.pdf))? |  | x |  | Link distributed for reflection |
| 2.2 (e) | Does the organisation’s annual report include a description of the audit committee’s work? |  | x |  | *It will from 2022 on* |

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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 has completed a full risk assessment during the year involving regularly updating a risk register that allowed for:* identifying and understanding the risks facing the organisation;
* assessing and mitigating against the risks to ensure they are within the organisation’s risk appetite as set by the board; and
* ensuring the process’s accountability and resources are in place to manage the organisation’s exposure to risk?
 | x |  |  |  Register in place and ongoing support from IPA |
| 2.3 (b) | Has the Board delegated the responsibility of making sure there are appropriate levels of insurance and other risk treatments in place, and invited and reviewed a report during the year? | x |  |  | *PL and Employers liability in place with IPB. Directors insurance being procured from Marsh (March 2021)* |
| 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? | x |  |  | *Asset register in place E drive → Critical Data → Board Matters → Governance → Governance Policies 2019-2021→ General Policies → Fixed Asset Register* |
| 2.3 (d) | Has the Board delegated the responsibility of developing, testing and updating business continuity plans to the CEO (to help to minimise disruption of services in a crisis)? | x |  |  | *Business continuity plan is being developed by the CEO and will be completed by end Q2.* |

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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? | x |  |  | *CEO & Organisations have agreed format for communication with Sport Ireland, HSE, Co Co as per Heads of Agreement to be found in Grant Aid Agreement & HOA file in office. Periodic newsletters & electronic communications are also in place.* |
| 3.1 (b) | Has the Board appointed an agreed spokesperson for the organisation? | x |  |  | *The CEO followed by the Chair (if the CEO is not available) as per governance feamework.* |
| 3.1 (c) | Has the Board ensured that the organisation’s annual report and accounts are widely available and easy to access on the organisation’s website and elsewhere? | x |  |  | *Accounts will be from 2022* |
| 3.1 (c) | Has the Board, in its annual report identified the:* chair;
* the deputy chair (where there is one);
* the CEO;
* any other members of the board and the chairs of subcommittees; and
* progress during the year against your strategic objectives?
 | x |  |  | *Annual report in place* |
| 3.1 (c) | Does the annual report set out the number of meetings of the board and individual attendance by directors as well as the number of sub-committee meetings and attendance by members? | x |  |  | *It will from 2022* |
| 3.1 (d) | Does the Board invite and review reports from CEO on compliance with reporting requirements of relevant regulators and funders (for example, Companies Registration Office, the Charity Regulator and the Regulator of Lobbying if appropriate)? | x |  |  | *Auditors to provide statement of compliance annually. Complinance with the Chartiy Regulator and Regulator of Lobbying not applicable to Clare LSP* |
| 3.1 (e) | Does the Board make sure that the AGM is held in line with your governing document?  | x |  |  | Yes |
| 3.1 (e) | Has the Board ensured that there is a communications strategy in place to keep members and stakeholders informed? | x |  |  | As per 3.1(a) |
| 3.1 (f) | Has the Board made sure all the codes and standards of practice to which the organisation subscribes are publicly stated and available? | x |  |  | Completed |
| **Principle:** |  |
| **Sub-Principle** |  |
|  | **Recommended Board Actions** | **Does Your Organisation Comply with this practice?** |  |
| **Yes** | **No** | **N/A** |
| 3.2 (a) | At AGMs, are stakeholders allowed to express their views about the organisation’s work?  | x |  |  | *'Stakeholder representatives present at AGM and encouraged to contribute through AOB* |
| 3.2 (b) | Has the Board made sure there is a clear way for stakeholders to communicate with the organisation throughout the year?  | x |  |  | CEO is in regular contact with stakeholders regarding operational and strategic matters.  |
| 3.2 (c) | Has the Board invited and reviewed yearly reports on complaints received, and action taken, to make sure that the complaints system is working? | x |  |  | Complaints policy in place 1.1 (d) CEO to report complaints to Chair/FARC - Example of evidence in Folder - Governance Code - Principle 3 - 3.2 (c) |
| 3.2 (d) | Does the Board monitor key stakeholders’ views on the organisation’s reputation and take remedial action when necessary? | x |  |  | Ongoing communication between CEO & board. FARC to report on any remedial action when necessary |

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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 your stakeholders are consulted during the strategic planning process? | x |  |  | Stakeholders were informally consulted through the strategic planning process. Greater input needed for next plan. |
| 3.3 (b) | Has the Board made sure that stakeholders are appropriately involved in decision-making processes? | x |  |  |  Directors are appointed from our membership which is comprised of our local pertinent stakeholders |

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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 the board induction process includes an overview of:* the organisation’s strategic objectives;
* the role of the board and individual board members;
* the organisation’s finances and funding model;
* the Governance Code and the organisation’s governing document;
* the letter of appointment for new board members; and
* other board specific policies?
 | x |  |  |  Board induction process in place and training available for new directors. Board Handbook E drive → Critical Data → Board Matters → Governance → Board Handbook Induction Checklist and Governance Framework Documentation supplied (Folder Governance Code – Principle 1 pg.22 |
| 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? | x |  |  |  *This is covered in the Board Induction Training and Board Handbook(Folder Governance Code Principle 4 - 4.1 (a ) and Governance Framework (Folder Governance Code Principle 1)for the organisation* |
| 4.1 (b) | Has the Board made sure that Board members at all times respect board confidentiality? | x |  |  | *This is covered in the Board Induction Training and Board Handbook(Folder Governance Code Principle 4 - 4.1 (a ) and Governance Framework (Folder Governance Code Principle 1)for the organisation* |
| 4.1 (c) | Has the Board appointed a sub-committee with a governance remit to do a yearly review of:* board roles;
* the board’s terms of reference;
* membership of board and sub-committees; and your organisation’s adherence to the Governance Code’s recommended practices?

  | x |  |  | Sub committee in place  andTOR's for each to be reviewed at the first meeting of each sub-committee annyally |
| 4.1 (d) | Has the Board made sure there is a copy of the schedule of matters reserved to the board in the board handbook?  | x |  |  | *Schedule of matters reserved is located in the Governance Framework appendices and notes folder (Governance Code Principle 1)* |
| 4.1 (e) | Has the Board made sure there is a written statement of the division of responsibilities between the Board and CEO including the CEO’s delegated authorities? |  | x |  |  *Needs to be addressed by FARC* |
| 4.1 (f) | Has the Board made sure that board members do not interfere in duties properly delegated to staff?  | x |  |  | Addressed during board induction process and Governance Framework Document – Governance Code Principle 1 |
| 4.1 (g) | Has the Board made sure newly appointed board members sign a code of conduct and terms of reference setting out their ‘fiduciary duties’? | x |  |  | *As per induction training board members are made aware of the fiduciary duties towards the company.* *Induction training to be cordinated by Chairperson and CEO* |

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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? | x |  |  | Schedule of meetings set out annuallyLocated on E Drive → Critical Data → Board Matters → Governance → Governance Policies 2019-2021 |
| 4.2 (b) | Does the chairperson and CEO agree the agenda of board meetings? |  |  |  | Board Agenda agreedTemplate as per 1.2 € |
| 4.2 (c) | Has the Board made sure that the agenda, minutes of last meeting and reports or papers outlining proposals are sent before meeting in an accurate, timely and clear manner? | x |  |  | *It is the goal of the executive to have the relevant papers of the meeting distributed electronically 5 working days prior to meetings.* |
| 4.2 (d) | Has the Chairperson ensured:* board meetings run to time;
* enough time is allowed for discussion;
* maximum participation of board members;
* adequate information is available; and
* that decisions are made and implemented?
 | xx |  |  | *. Evidence as per minutes of meetings**Folder in office → Minutes* |
| 4.2 (e) | Do board minutes follow a consistent and standard practice? |  |  |  | *Template agreed* *Located on E Drive → Critical Data → Board Matters → Minutes → 2021* |
| 4.2 (f) | Has the Board made sure that individual board members have reasonable access to independent professional advice (for example, financial or legal advice) where they think it necessary to fulfil their responsibilities? | x |  |  | *aughan & Co are our appointed auditors and are always available for advice* *John Vaughan**Vaughan & Company* *42 Abbey St**Ennis**Co. Clare**Tel: 065 6841444**Solicitor also available to advise* |

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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) | Have the Board agreed a yearly board review process which should include, but not be limited to, an assessment of the effectiveness of:* the board as a whole;
* the chair;
* individual board members;
* committees including structure, size, and charters; and
* director training; and
* recruitment plans.

as per with paragraph 4.3(a)of the guidance document (available [here](https://www.sportireland.ie/sites/default/files/media/document/2020-12/the-governance-code-for-sport-a-guide.pdf))? | x |  |  | The governnace framework contains the necessary resources for completion. The review needs to be built in as part of the boards yearly work plan. |
| 4.3 (b) | Has the Board agreed a board succession plan that will ensure that future recruitment:* meets the need for a mix of skills and experience identified in the annual competency gap-analysis;
* embraces the board’s diversity and ethical culture; and
* sets director term limits to ensure board renewal cycles?
 | x |  |  |  Agreed that this will form part of the annual board work plan |
| 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? | x |  |  |  *Yes. This is an ongoing reflection.* |
| 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?  | x |  |  | as per 4.1 (a) |
| 4.3 (c) | Has the Board agreed a skills development programme to fill gaps in the new board members’ competencies needed for their role? |  | x |  | Process for identifying Gaps need to be put to agreed. |
| 4.3 (d) | Has the Board provided appropriate training for board members to fill any competency gaps? |  | x |  | Process for identifying Gaps need to be put to agreed. |

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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? | x |  |  | Chair has shown great leadership and has ensured that it governance has been an agenda item at all meetings |
| 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? | x |  |  | As per Governance Framework and induction training |
| 5.1 (c) | Does the code of conduct gives clear guidelines on the receipt of gifts or hospitality by board members? | x |  |  | As per Governance Framework and induction training |
| 5.1 (d) | Do all board members sign a commitment to the code when they are appointed? | x |  |  | As per induction training board members are made aware of the fiduciary duties towards the company. Each board member will be asked to sign a form that they have read the Framework Document and also that they have attended the board induction training which took place on Dec 14th 2020As per 4.1 (g) |
| 5.1 (e) | Is the Board satisfied that arrangements are in place to review your code every three years to ensure it meets developing ethical standards expected by stakeholders and society? | x |  |  | *As per Governance Framework* |
| 5.1 (f) | Is the Board fair, by consistently applying the same ethical standards to every person and situation? | x |  |  | Yes |

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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? | x |  |  | As per Board induction training and Governance Framework documentation |
| 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)?  | x |  |  | Standard opening statement ot be included in agenda |
| 5.2 (b) | Are conflicts of interest recorded in the minutes? | x |  |  | *yes* |
| 5.2 (c) | Has a register of directors’ interests been established and updated each year? |  | x |  | Needs to be established |
| 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? |  | x |  | *As Above* |
| 5.2 (d) | Does the board induction process include information and policies about conflicts of interest and conflicts of loyalty? |  | x |  | As Above |
| **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? | x |  |  | Yes |
| 5.3 (b) | Does a formal policy ~~the code of conduct~~ clarify that board members have a duty to maintain the confidentiality of board meetings? | x |  |  | *Included in Board Induction Training Governance Framework Documentation*  |
| 5.3 (c) | Has the Board made sure that the safeguarding and promoting of the organisation’s reputation is dealt with in the communications and risk management strategies? | x |  |  | As per communications plan |