

## Compliance Checklist

This Checklist may assist you in ensuring your charity's full compliance with the **Statement**.

Throughout you will need to consider who in your organisation needs to be involved to ensure the **Statement** is successfully implemented.

Completion and sign off of the Checklist by responsible post holder(s) annually will serve to meet the organisation's requirement to comply with the **Statement**. A record should be kept on file and, where relevant, each point must be supported by documentation or signed off by a post holder. The record should be available for external review/audit for a period of 6 years.

A report on compliance with the **Statement** must appear in the organisation's Annual Report.

### 1. Compliance with the Statement (cf. Page 11 of the statement)

**We (named organisation) commit to comply with the Statement of Guiding Principles for Fundraising**

Yes       No       N/A, please clarify:

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Agreed and minuted at Board level on

**We have a statement to that effect in our Annual Report / Annual Statement**

Yes       No       N/A, please clarify:

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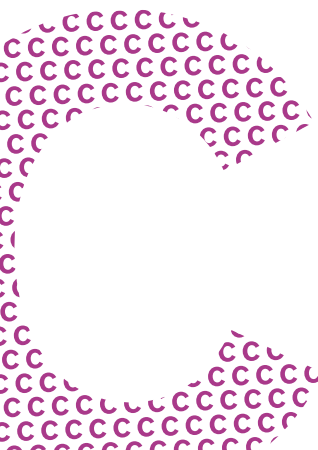
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**We have a public statement to that effect (on the web, in public areas of our buildings, in appropriate materials, in appropriate communications etc)**

Yes       No       N/A, please clarify:

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## 2. Donor Charter (cf. Page 15 of the Statement)

### We have a Donor Charter

Yes       No       N/A, please clarify:

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### The Donor Charter is highlighted and communicated:

Via our website       In relevant promotional materials

## 3. Reporting on Compliance (cf. Pages 11 & 29 of the Statement)

### We will report on compliance to the *Statement*

From stated start date       First reporting date

### Reporting plan is in place

Yes       No       N/A, please clarify:

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### Integration with regular financial reporting and Annual Report is in place

Yes       No       N/A, please clarify:

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## 4. Fundraising Planning (cf. Pages 19-28 of the Statement)

### Compliance is considered as part of Fundraising Planning and Budget preparation

Yes       No       N/A, please clarify:

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### A policy for evaluating/deciding on allocation of funds is in place

Yes       No       N/A, please clarify:

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### We have a plan for any shortfall/excess in income

Yes       No       N/A, please clarify:

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### We ensure that our third party fundraisers<sup>1</sup> comply with the *Statement*

Yes       No       N/A, please clarify:

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<sup>1</sup> Third party fundraisers are those other than employees of the organisation, for example volunteer fundraisers, or people or companies contracted by your organisation to fundraise on the organisation's behalf.

**We have a policy on working with third party fundraisers (after the fact)<sup>2</sup>**

Yes       No       N/A, please clarify:

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**We fulfil the requirements for Disclosure**

Yes       No       N/A, please clarify:

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**5. Internal Communications (cf. Pages 19-28 of the Statement)**

**We have appointed a Champion or Lead person(s)**

Yes       No       N/A, please clarify:

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**Relevant staff and volunteers have received information:**

- On the *Statement*
- On the current legal requirements in relation to Garda permits (for collections in public places)
- On Data Protection regulation
- On the Advertising Standards Authority regulation
- On the Code of Conduct on Images and Messages
- On IFFDR Code of Practice

**Staff induction includes the *Statement***

Yes       No       N/A, please clarify:

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**We have a Volunteer Policy**

Yes       No       N/A, please clarify:

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**We carry out Volunteer induction**

Yes       No       N/A, please clarify:

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<sup>2</sup> This would apply when someone presents to your organisation having already fundraised for the organisation without your knowledge.

**We have systems in place to regularly update the Board**

Yes       No       N/A, please clarify:

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**We have systems in place to regularly update the Finance Committee**

Yes       No       N/A, please clarify:

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**6. Responding to Feedback and Complaints (cf. Pages 14 of the Statement)**

**We have an accessible Feedback and Complaints procedure**

Yes       No       N/A, please clarify:

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**Feedback is:**

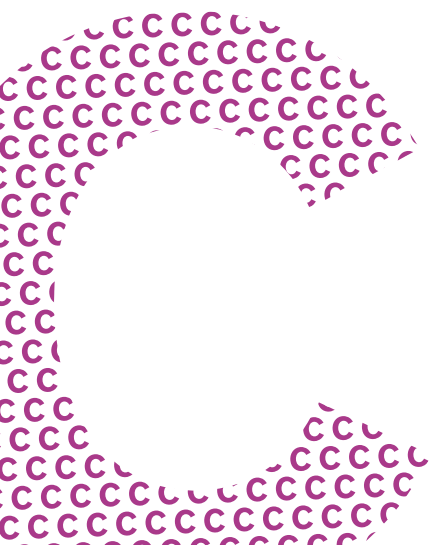
- Recorded and available for review by relevant staff and managers, including the CEO and Board
- Responded to promptly and appropriately
- Where required internal action is taken to address any issues identified as a result of the feedback
- Staff (whether paid or voluntary) are trained and informed as to how best to address all feedback both directly with the person(s) giving the feedback and internally within the organisation
- A record of all related feedback is kept and is available to be externally audited or examined

**The charity makes known to the Monitoring Group any requirements to update, amend or clarify the *Statement*, or any lessons learned about the need to devise further Codes.**

Yes       No       N/A, please clarify:

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## 7. Financial Reporting (cf. Pages 29-30 of the Statement)

**We have procedures in place for protecting and reporting on our organisational independence<sup>3</sup>**

Yes       No       N/A, please clarify:

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**Our financial statements and our Annual Report have been prepared in accordance with the Charities Act 2009 and the Regulations made by the Minister<sup>4</sup>**

Yes       No       N/A, please clarify:

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**We meet the Audit or Examination requirement**

Yes       No       N/A, please clarify:

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**We have a system in place to ensure that all donations are tracked and recorded**

Yes       No       N/A, please clarify:

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**We adhere to current Data Protection<sup>5</sup> regulation**

Yes       No       N/A, please clarify:

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**We apply high standards in electronic security**

Yes       No       N/A, please clarify:

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## 8. Contact Points

**We have a variety of easily accessible contact options available to the public, including, as appropriate:**

- A low cost telephone number
- An email address
- A postal address
- An office open to the public, the opening times of which are made known

3 Where a charity receives gifts from named and/or anonymous donors of a size that could be construed as having the potential to influence the independence of the organisation's decision-making then these should be disclosed in the Annual Report and Financial Statements (See p.16 of the Statement of Guiding Principles for Fundraising for details).

4 Regulations to be made by the Minister in relation to form and content of financial statements and Annual Report.

5 See [www.dataprotection.ie](http://www.dataprotection.ie)