**Good Governance – A Health Check**

**Principle 1: Understanding roles and responsibilities**

**An effective board will provide good governance and leadership by understanding its role and responsibilities.** The members of the board are equally responsible in law for board actions and decisions. They are collectively responsible and accountable for ensuring that the organisation is performing well, is solvent and complies with all its obligations**.**

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| **Understanding Roles and Responsibilities** | **Not** **Met** | **Partially****Met** | **Fully** **Met** | **Our evidence –****Please describe below** | **Suggested Evidence****(examples only)** |
| Is the role of your board clearly defined? |  |  |  | Do we have written role descriptions? Chair, Vice Chair, Sub Committees? No role descriptionsTerms of reference document, but in need of reviewing – could update with rolesInduction pack – intro to park and board, power point, Strategic Vision Doc, Management Plan Doc, Towpath Leaflet, LVRP Map, Current events leaflet | Written role descriptionsInduction pack |
| Are the board members aware of the mission, vision and values of the organisation?  |  |  |  | Written Mission Vision and Values statement, contained in the Strategic vision and Terms of Reference booklet | Mission statementVision & values statementObjects/Purposes relevant and valid |
| Do board members understand their legal responsibilities in relation to their role?  |  |  |  | Need to confirm with Executive Committee members and if refresher training is required? | Duties in charity and trust lawDuties in company lawCharity Commission Trustee declaration  |
| Are the board members aware of the organisation’s operating environment?  |  |  |  | 5 year management plan in place and reports to Board every quarter.  | Awareness of needNISRA indicesRelevant government policiesCommunity audits  |
| **Understanding Roles and Responsibilities** | **Not** **Met** | **Partially****Met** | **Fully** **Met** | **Our evidence –****Please describe below** | **Suggested Evidence****(examples only)** |
| Is the board clear about who the beneficiaries and stakeholders are? |  |  |  | Stakeholders defined in Terms of Reference booklet including Lisburn and Castlereagh Council, Belfast City Council, general public, volunteers and funders.Register of directors kept in office and on serverStrategic vision | Records of service usersParticipantsRegister of MembersFundersStatutory bodiesGoverning document  |
| If you have premises and other assets, are they used and maintained effectively? |  |  |  | All relevant policies and procedures in place. Link with LCCC HR support and Health and Safety Officer. Fire logs kept in LVRP officeChecks carried out weekly, with evac drill twice yearlyRisk assessments include access and egress of premises and personal security adviceAsset register on serverOffice lease and tenancy agreement | Maintenance logFire safety proceduresSecurity proceduresPlanning for renewalMonitoring usage eg schedule of income analysis Asset registerInsurance LeasesTenancy agreementsFranchise contracts  |
| Have you got a written up to date list of the voting members of your organisation?  |  |  |  | Members register held - GDPR compliant – secure access to server via password and username | Register of members |
| Have you reviewed your governing document in the last three years?  |  |  | X | Date of last review 28th September 2018. | Minutes of general meetingsSpecial resolutions  |

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| **Understanding Roles and Responsibilities** | **Not** **Met** | **Partially****Met** | **Fully** **Met** | **Our evidence –****Please describe below** | **Suggested Evidence****(examples only)** |
| Have you checked your charity registration status with the Charity Commission? |  |  | X | Annual returns completed for CCNI. Latest return for financial year end March 2020 submitted. | Charity Register on CCNI websiteRegistration list on CCNI website |
| If charitable, does your organisation fulfil the public benefit requirement? |  |  | X | All agreed. | Read Charity Commission’s guidance on the ‘public benefit requirement’Public benefit statement |

**Actions required to adhere to Principle 1**

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| **Required Action**  | **By whom**  | **By when**  |
| Consider if Committee members wish to undertake refresher training on their legal duties. |  |  |

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| **Go to Principle 1: Understanding roles and responsibilities on** [**www.diycommitteeguide.org/code/principle/leadership**](http://www.diycommitteeguide.org/code/principle/leadership) **for templates and other resources to help you implement your actions.** |

**Principle 2: Working well both as individuals and as a team.**

**An effective board will provide good governance and leadership by working well both as individuals and as a team.** The board will have a range of appropriate policies and procedures, knowledge, attitudes and behaviours to enable both individuals and the board to work effectively.

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| **Working Well**  | **Not** **Met** | **Partially****Met** | **Fully** **Met** | **Our evidence –****Please describe below** | **Suggested Evidence****(examples only)** |
| Are your board meetings and sub-committee meetings effective? |  |  | X | Agenda agreed in advance, papers and minutes issued prior to meetings. Action table included in minutes.  | Agenda set, quorums metMinutes including records of decisions made. Regular reports  |
| Have you got adequate skills, or reasonable access to skills, and experience on your board? |  |  |  | Updated skills audit - given changes in recent board members this would be useful for Sara as incoming Chair | Skills auditTraining eg governance |
| Has your board received appropriate information and guidance in relation to governance?  |  | X |  | Members undertake induction. Members receive copy of the Terms of Reference booklet. Up to date training provided.  | Induction pack/ materialsGovernance training /eventsRegular policy updatesMentoring |
| Does the board work to attract new members in accordance with its governing document? |  | x |  | Nomination process in place from prescribed organisations.Recruitment policy in terms of refReview every two years. Members appointed for two year period. Can run a maximum of 3 terms. Policy on recruitment in terms of ref (Section 5) | Terms of officeProcess for admitting new members. Identify skills gapsRecruitment policyBoard induction |
| Does the board have a policy to deal with internal conflicts within the board? |  |  |  | Clear role descriptions (are these in place?) No could incorporate into terms of referenceConflict of interest policy in terms of ref (section 3) | Code of conductClear role boundariesGoverning documentWhistleblowing policy |
| Does the board review its own performance on an annual basis? |  |  |  | Governance Health Check under review 2021.  | Board members surveyBoard appraisal |

**Actions required to adhere to Principle 2**

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| **Required Action**  | **By whom**  | **By when**  |
| Members undertake induction. Members receive up to date copy of the Terms of Reference booklet. Up to date governance training to be provided. Develop Board Appraisal process.Issue Conflict of Interest Policy and register of interest proforma. |  |  |

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| **Go to Principle 2: Working well on** [**www.diycommitteeguide.org/code/principle/leadership**](http://www.diycommitteeguide.org/code/principle/leadership) **for templates and other resources to help you implement your actions.** |

**Principle 3:**

**An effective board will provide good governance and leadership by ensuring delivery of organisational purpose.** The board has ultimate responsibility for directing the activity of the organisation and delivering its stated purposes.

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| **Delivery of organisational purpose**  | **Not** **Met** | **Partially****Met** | **Fully** **Met** | **Our evidence –****Please describe below** | **Suggested Evidence****(examples only)** |
| Are the activities of the organisation in line with the objects/purposes laid out in your governing document (eg constitution/articles/deed)? |  |  | X | Articles and Memorandum of Association. Annual return to Charity Commission | Up to date governing documentReview services offeredNeeds assessmentSatisfaction surveysPublic benefit statement |
| Does the organisation have a written plan for what it wants to achieve including strategies for sustainability? |  |  | X | 5 year Management Plan with agreed actions.  | Strategic PlanBusiness plansFundraising strategy Diversified income streams identified |
| Does the organisation have an annual work plan? |  |  | X | Action plan in place to support the 5 year plan. | Operational planWork plansService level agreements |
| Have you procedures in place to help the board regularly monitor progress and evaluate the effectiveness of the organisation’s work? |  |  | X | Quarterly reporting to Board on progress against targets and objectives as per the operational plan. Work plan reviewed every quarter.  | Organisation plansReports to fundersOn-going monitoring and reviewSatisfaction surveys EvaluationsConsultation with stakeholdersReviewed, updated policiesMinutes of meetings |

**Actions required to adhere to Principle 3**

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| **Required Action**  | **By whom**  | **By when**  |
| No action required |  |  |

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| **Go to Principle 3: Delivery of organisational purpose on** [**www.diycommitteeguide.org/code/principle/leadership**](http://www.diycommitteeguide.org/code/principle/leadership) **for templates and other resources to help you implement your actions.** |

**Principle 4:**

**The key principle: An effective board will provide good governance and leadership by exercising appropriate control.** As the accountable body, the board will maintain and regularly review the organisation’s system of internal controls, performance, and policies and procedures.

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| **Exercising appropriate control**  | **Not** **Met** | **Partially****Met** | **Fully** **Met** | **Our evidence –****Please describe below** | **Suggested Evidence****(examples only)** |
| Do you adhere to the legal and compliance obligations of the organisation? |  |  | X | Compliance with all contractual conditions in accordance with all projects and reports submitted to funders as required. All relevant legal policies and procedures in place. | Letters of offer / contractsInsuranceContracts of EmploymentEqual opportunities policyCharity and company law administration and reporting requirementsData Protection / GDPR |
| Do you ensure compliance with health and safety legislation and fulfil your duty of care obligation to employees, volunteers, service users and the general public?  |  |  | x | All relevant legal policies and procedures in place.Reports to sub-committees | Health & Safety Policy, Fire and Health & Safety Risk assessments. Accident book, First Aid. Policies and procedures in line with legislation and good practice  |
| Do you understand data protection legislation and can the organisation demonstrate compliance with the data protection principles? |  |  |  | GDPR policy and procedures in place. Person allocated responsibility for this?LVRP adheres to LCCC policy on GDPR and can call on LCCC GDPR officer for guidance | Personal data register & process for responding to subject access requests. Data sharing agreements. Privacy noticeRecord consent where requiredICO registrationBreach reporting procedures. |
| Are you looking after the data that you hold?  |  |  |  | GDPR policy and procedures in place. Person allocated responsibility for this?LVRP adheres to LCCC policy on GDPR and can call on LCCC GDPR officer for guidanceTraining also provided to all staff on GDPR following changes in legislation in 2019Staff have separate email accountsStaff have separate log in usernames and passwords | Information registerAcceptable use of ICT systems Records management policiesMonitoring and evaluation of records securityStaff separate email accountsCybersecurity risk register  |
| Do you review your approach to cybersecurity and ensure that your systems are robust and protected? |  |  |  | GDPR policy and procedures in place. Person allocated responsibility for this?Cyber Security? LVRP adheres to LCCC policy on GDPR and can call LCCC GDPR officer for guidanceRemote working log in is using vpn 6 figure authentication generator combined with username and passwordCyber security through LCCC IT department including IT security training for all staffStrong password policy – change password every 3 monthsBack up system through LCCC IT department cloudFirewall and email filters in placeUpdates on any current spam/pishing email alerts | Strong password policy Backup hard drivesEncrypting sensitive information and personal dataInternet firewallSpam filter for emailSecure mobile devices  |
| Have you got appropriate financial systems in place? |  |  |  | Financial Procedures incorporated into the Terms of reference Booklet.Adherence to LCCC financial protocols for Purchasing and tenderingFinancial reporting to Board every quarter against budget. 3 signatories on bank account – secretary and one of two assigned directors | Financial procedures policyBudgetCash book / Cheque JournalLedger / computerised accountsPurchase order bookPetty cash Segregation of dutiesRequired cheque signatoriesOnline banking dual authorisation Bank reconciliationsCash handling proceduresDebt management |
| Are your annual accounts externally examined by an independent person? |  |  |  X  | Full audit | Full auditIndependent examination |
| Is the financial reporting to the board clear, transparent, readily understood by all board members at each meeting? |  |  | X | Quarterly management accounts reports. | Agenda of meetingsTreasurer inputManagement accountsIncome and Expenditure sheetAdequate guidance/mentoringScrutiny by all board members |
| Does the board consider and manage risks (uncertainties, threats), both short-term and long-term, in all aspects of the organisation’s work? |  |  |  | Risk Register and policy under review.Suite of risk assessments for all activities reviewed every yearSSOW in place for activities | Risk policyRisk assessments carried outRisk register in place Consideration of:* Governance risks
* Operational risks
* Financial risks
* External risks
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| Does the board set out and communicate the functions of sub-committees, officers, staff and anyone performing duties on its behalf? |  |  |  | Organisation Chart as per Terms of Reference booklet. Minutes taken.All staff have Job Descriptions | Organisation chartTerms of referenceRole descriptions, Job descriptions. |
| Does the board regularly monitor and review the effectiveness of sub-committees? |  |  |  | Minutes held. Terms of reference in place for committees and sub committees?Terms of ref for finance and strategy sub-com and biodiversity working group held on file | Minutes of meetings and sub-committee meetingsReportsEvidence of decisions taken in line within agreed parameters |
| Do you meet the legal requirements in relation to the recruitment and management of staff? |  |  |  | Staff terms and conditions of employment linked to those of LCCCVery comprehensive employment policies in place all these and more | Equal opportunityGrievance / disciplinary policiesDismissal and redundancyRemunerationLeave entitlements |
| Have you got appropriate staff management systems in place? |  |  |  | Chair supervision support to Manager. Supervision policy in place.Clear line management in place for all roles, clearly defined in all JD’sWeekly staff meetingsAnnual programme of staff training through LCCC HRLCCC as an employer accredited investing in people award | Up to date staff contractsJob descriptions Regular supervision of all staff Training and developmentAppropriate HR policies  |
| Does the board have clear procedures/guidelines to distinguish between staff and volunteer responsibility? |  |  |  | Volunteering policies in place. Has achieved the Investing in Volunteer accreditation for the 3rd time in 2020 Clearly defined volunteer rolesInduction in place for all new volunteersEvaluation, supervision and welfare considerations in place for al volunteer roles | HR policiesVolunteer policies Organisation chartsRole descriptionsJob descriptions |
| Have you got appropriate systems in place for recruitment and management of volunteers? |  |  |  | Volunteering policy in place. Recipients of Has achieved the Investing in Volunteer accreditation for the 3rd time in 2020 Induction in place for all new volunteersEvaluation, supervision and welfare considerations in place for al volunteer rolesExpenses policyPeriodic training | Volunteer policyInductionRole descriptions AgreementsVolunteer expenses policy Training Support and supervision |
| Do you adhere to fundraising legislation and good practice considerations when raising money? |  |  |  | Fundraising strategy under review. External consultant to be recruited. | Rules for street collectionsRules for door to door collectionsCode of fundraising practice CCNI fundraising guidanceCash handling procedures for fundraising activities  |
| Do you sell raffle/lottery tickets in line with lottery legislation?  |  |  |  | N/A | Register societies lottery with council  |
| Has the board discussed the ethics of receiving sponsorship?  |  |  |  | Fundraising strategy under review. External consultant to be recruited. | Charitable purposesHMRC guidance |
| Have you stipulated what your fundraising is for?  |  |  |  | Fundraising strategy under review. External consultant to be recruited. | Code of fundraising practiceCharity Commission guidance |
| Are you engaged in fundraising activities that could be considered as trading?  |  |  |  | No trading income | HMRC guidance CC35 Charity Commission for England and Wales guidance |
| Do you have procedures in place for fundraising being carried out on your behalf? How do you monitor this? |  |  |  | N/A | Fundraising policy / strategyRisk assessmentInsurance policyCash handling procedures Fundraising contract/agreement |

**Actions required to adhere to Principle 4**

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| **Required Action**  | **By whom**  | **By when**  |
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| **Go to Principle 4: Exercising appropriate control on** [**www.diycommitteeguide.org/code/principle/leadership**](http://www.diycommitteeguide.org/code/principle/leadership)  **for templates and other resources to help you implement your actions.** |

**Principle 5:**

**An effective board will provide good governance and leadership by behaving with integrity and by being open and accountable.** The board will be open, responsive and accountable, acting at all times with integrity, in the interest of the organisation and its beneficiaries.

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| **Integrity, openness and accountability**  | **Not** **Met** | **Partially****Met** | **Fully** **Met** | **Our evidence –****Please describe below** | **Suggested Evidence****(examples only)** |
| Do you have procedures in place to deal with gifts and hospitality? |  |  |  | Gifts to staff LCCC employment policy on gifts and hospitalityGifts to LVRP are charitable donations | Policy on gifts & hospitalityGuidelines |
| Does the board have a policy on payments to its members which is in line with the governing document?  |  |  |  | Governing documentArticles of Association | Is this permitted by the governing document?Conflicts of interest registerOut of pocket expenses policy |
| Do you have procedures in place to deal with conflicts of interest including conflicts of loyalty? |  |  |  | Statement of Conflicts of Interest at each Committee meeting (need to include this?) Presumptive at present that anyone with conflicts should declare at meeting as per Articles of Association | Conflicts of interest policyConflicts of interest register |
| Have you clear plans in place for when something goes wrong?  |  |  |  | ???? NoOnly an emergency plan in case of accident  | Communications policyContingency plans Emergency proceduresBusiness continuity plan Serious incident report to CCNI |
| Does the board ensure that there is regular and effective consultation with key stakeholders? |  |  |  | Impact SurveysSectoral Consultations when appropriate.AGM December each year.Management Committee meetingsUser surveysConsultation whenever strategy is revised, ie management plan  | ConsultationsAGMMember/user feedbackMonitoring and evaluation reports, User forums. |
| Is the board accountable to key stakeholders about its’ own work and the governance of the organisation? |  |  |  | AGM held September Annual reporting to Charity Commission and Annual return to Companies House.Reporting to all funders on quarterly or six monthly basis. | AGMAnnual reportReports to fundersAnnual reporting to the Charity Commission/other regulatorsExternal audit/evaluationComplaints procedure |
| Do you listen, respond and represent the views of your beneficiaries? |  |  |  | N/A no beneficiaries at presentFunders have agreements to hold us to | Engagement with beneficiariesConsultationsInvolvement of beneficiaries |
| Does the board ensure that there is regular and effective communication with key stakeholders? |  |  |  | Board meetingsManagement Committee meetingsStakeholder groups ie Giants RingWeb postsFacebook updatesVolunteer quarterly newsletterAGM | AGMAnnual reportNewsletterSocial mediaMember/user participation |
| Do you recognise, promote and value equality and diversity? |  |  |  | All appropriate Equality policies in place. | In the composition of your committee, staff, volunteers, beneficiariesEqual opportunity policyTraining |
| Does the board, at least annually, consider its independence from government, funders or other stakeholders? |  |  |  | N/A due to relationship with LCCC and BCC.Clearly defined financial independance | Mission, vision and valuesConflict of interestConflicts of loyaltyResearch Annual review |

**Actions required to adhere to Principle 5**

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| **Required Action**  | **By whom**  | **By when**  |
| Develop Conflicts of Interest Policy.Carry out Equality audit of Committee. |  |  |

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| **Go to Principle 5: Openness, Integrity and Accountability on** [**www.diycommitteeguide.org/code/principle/leadership**](http://www.diycommitteeguide.org/code/principle/leadership) **for templates and other resources to help you implement your actions.** |