

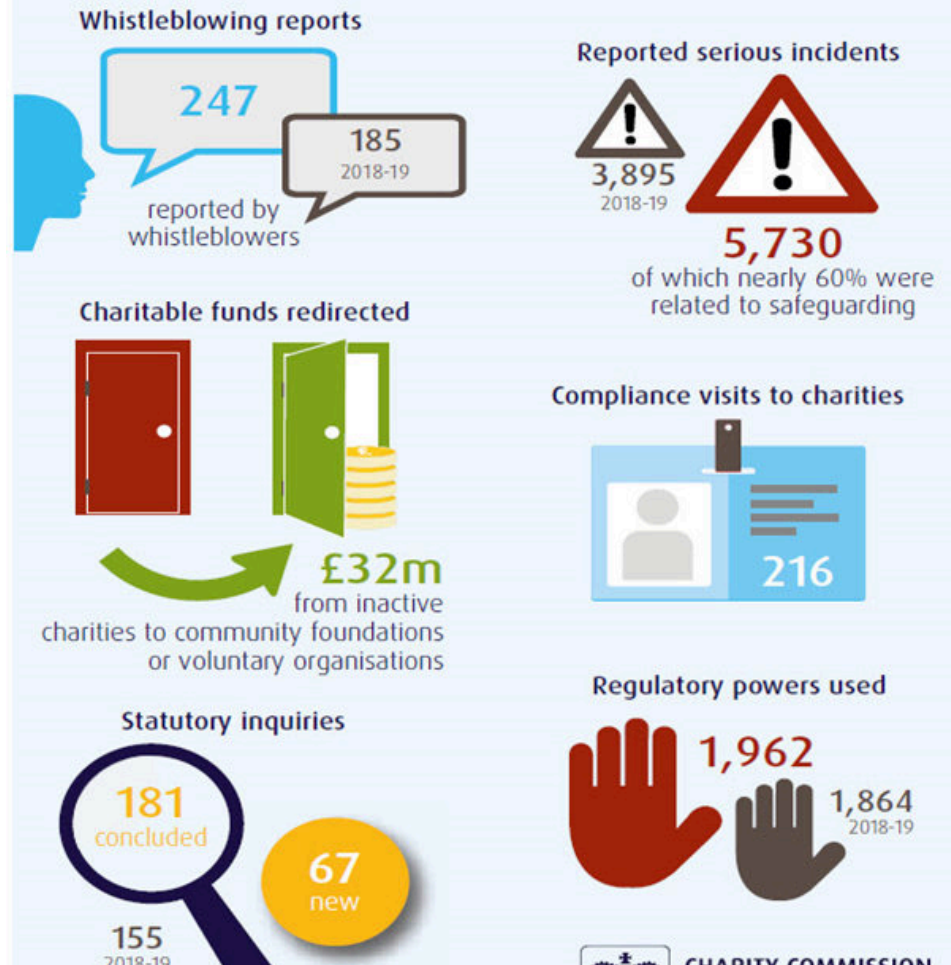
James Sinclair Taylor

# **HONORARY TREASURERS' FORUM: RISK, COVID & GOVERNANCE**

# The regulator and good practice - developments

- Still being held to a higher standard
- Third edition of the Code extends diversity and integrity obligations

## case work 2019-20



# Shifting core sensibilities

- Equality Diversity and Inclusion
- Serious incidents
- Media attention
- Ethics, propriety and public confidence

# Charity Commission

## Guidance for Trustees Week – Take 5

- Financial oversight
- Achieving charity's purpose
- Good decision making
- Addressing conflicts of interest
- What to file with the CC

“

*Flexible and pragmatic approach to regulation*

”

# CC Covid guidance

- AGMs and meetings
- Use of reserves and restricted funds
- Solvency and managing financial difficulties
- Objects
- Serious Incident Reporting
- Keeping people safe

# Transparency and accountability

## - CC advice to Trustees

- Ensuring effective and regular communications to staff on purposes, value and work
- Reviewing risk management and escalation processes at least annually
- Looking at committees to ensure correct TORs and skills on the committee
- Learning from significant incidents and reporting serious incidents

# Regulatory alert compliance

The Charity Commission are undertaking compliance checks relating to transparency and accountability:

- Trustee selection and induction and whether you are providing training for trustees
- Clarity on structures and delegation
- Routes for trustee oversight of staff
- Compliant policies
- Removal of trustees, closure and intervention



# Risk management

- Regular review of processes
- How are risks identified, prioritised and escalated – strategic v operational?
- What is the risk strategy or mitigation arrangements
- Is the responsibility clear and are reporting arrangements functioning properly
- Is there serious incident reporting and learning
- Embedding a “speak up” culture

# Fundraising responsibilities

- Agreeing, setting and monitoring approach
- Identifying the risks in your fundraising plan
- Understanding what is actually being done
- Care with arrangements with any commercial partner
- Considering the impact on donors, supporters and the public
- Complying with Charity law and fundraising regulator standards
- Being open and accountable and reporting clearly

# Safeguarding now

- No longer just vulnerable adults and children
  - Beneficiaries
  - Staff
  - Volunteers
  - Anyone in contact with the organisation during its activities
- Abuse/bullying/harassment /inappropriate behaviour?

# Managing safeguarding

- Clear complaints procedure
- Annual board review of procedures and implementation
- Possible independent review
- Robust whistleblowing arrangements
- Recruitment and selection procedures
- Exit procedures
- Internal audit?

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# Charity governance code

- Delivering the purpose
- Providing leadership
- Acting with integrity
- Active decision making and risk management
- Being an effective board
- Displaying diversity
- Being open and accountable

# Recruiting and inducting trustees

Needs to be based on a detailed understanding of the EDI agenda

- Board skills audit that looks at diversity, lived experience, understanding of beneficiaries as well as skills
- The difficulties of a two way pull
- Induction of trustees seen as key (a schedule of what should probably be in a good induction pack is set out at the end of these slides)

# Contact Details



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