

COMPLIANCE CHECKLIST TEMPLATE



SECTION 6: FINANCE AND FUNDRAISING



**Museums
Galleries
Scotland**
Supporting Scotland's Museums





COMPLIANCE CHECKLIST TEMPLATE

This compliance checklist can be reviewed periodically (quarterly, bi-annually, or annually) to ensure that your cultural heritage charity is meeting all its legal and operational obligations. It also helps to identify areas that may need improvement or updates.



Compliance Checklist for _____ [Charity Name]

Date: _____

Prepared by: _____

Report Period: _____

1. Governance Compliance

Requirement	Yes/ No	Comments/Action Required
The charity is registered with OSCR (Office of the Scottish Charity Regulator)		[OSCR registration number]
Trustees have been appointed in accordance with the charity's constitution or governing document		[Note any new appointments or resignations]
Trustees meet regularly (at least annually) and meetings are minuted		[Dates of meetings, note any missed meetings]
A conflict of interest policy is in place and adhered to		[Any conflicts declared or managed]
Trustees review and update the charity's strategy and objectives regularly		[Last review date]
The charity has a safeguarding policy and it is regularly reviewed		[Last review date and any updates required]

2. Financial Management

Requirement	Yes/ No	Comments/Action Required
The charity maintains accurate and up-to-date financial records		[Last audit/review data]
Annual financial statements have been prepared and submitted to OSCR on time		[Submission deadline and date submitted]
The charity has a reserves policy and adheres to it		[Reserves amount, last policy review date]

Appropriate financial controls are in place (e.g. dual authorisation for payments)		[Any required updates or issues noted]
Gift Aid claims are up-to-date (if applicable)		[Date of last Gift Aid claim and amount]
The charity complies with all HMRC and VAT requirements		[Any tax/VAT obligations or issues]
The charity has a clear investment policy (if applicable)		[Last review date]

3. Fundraising Compliance

Requirement	Yes/ No	Comments/Action Required
The charity complies with the Charities and Trustee Investment (Scotland) Act 2005		[Any changes or breaches identified]
Fundraising activities comply with the Code of Fundraising Practice		[Last review date of practices]
Consent for communications with donors is obtained and documented		[Check donor consent records]
Fundraising materials are clear, accurate, and not misleading		[Review of recent materials]
The charity has a complaints procedure for fundraising activities		[Review last complaints received and response]
The charity has policies in place for managing major donations and legacies		[Last review date]

4. Data Protection Compliance (GDPR)

Requirement	Yes/ No	Comments/Action Required
The charity complies with GDPR and the Data Protection Act 2018		[Last internal audit or review date]
A Data Protection Officer (DPO) has been appointed (if required)		[DPO name or decision not to appoint]

Privacy notices are up-to-date and accessible to all stakeholders		[Last review date]
Consent for the use of personal data is obtained and documented		[Review consent records]
Data breaches are logged, and the ICO is notified when necessary		[Any breaches or incidents recorded]
Staff and volunteers are trained on data protection compliance		[Date of last training]

5. Health and Safety Compliance

Requirement	Yes/ No	Comments/Action Required
The charity complies with the Health and Safety at Work Act 1974		[Review of compliance measures]
Risk assessments are regularly conducted for all activities and sites		[Last assessment date]
Fire safety measures and equipment are in place		[Any updates or inspections needed]
Staff and volunteers have received health and safety training		[Date of last training]
Public liability insurance is current and appropriate		[Insurance provider and renewal date]
First aid kits are available, and designated first aiders are trained		[List first aiders and training dates]

6. Charity Law and OSCR Compliance

Requirement	Yes/ No	Comments/Action Required
The charity complies with the Charities and Trustee Investment (Scotland) Act 2005		[Review any recent legal changes]
Annual reports and accounts are submitted to OSCR within nine months of the financial year-end		[Date of submission]

Any changes to the charity's governing document have been reported to OSCR		[Last update and approval date]
Charity trustee details are kept up-to-date with OSCR		[Review trustee register]
The charity's public benefit requirement is regularly reviewed and met		[Last review of activities]

7. Employment and Volunteer Management

Requirement	Yes/ No	Comments/Action Required
Employment contracts comply with employment law		[Review contracts and any changes in law]
Volunteers are managed in accordance with a volunteer policy		[Last policy review date]
All employees and volunteers are aware of the charity's safeguarding policies		[Date of last training or policy update]
The charity complies with the Equality Act 2010		[Check recruitment and employment practices]

8. Environmental and Sustainability Policies (Optional)

Requirement	Yes/ No	Comments/Action Required
The charity has an environmental sustainability policy in place		[Last review date]
Carbon reduction measures are being implemented where applicable		[List any specific measures]
Energy efficiency and sustainability targets are being tracked and met		[Check progress against goals]



Next Steps / Action Items
Task Responsible Person
Due Date

Sign-Off

Prepared by:

Date:

Approved by:

Date:

[Your Name]

[Insert Date]

[Approver's Name]

[Insert Date]



RESILIENT HERITAGE

