



# How to manage and maintain documents for Governance and Funding

Kerry PPN Empowering Communities Training Series

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**olac.ie**

O'LEARY & ASSOCIATES

# Agenda

- Types of documentation in not-for-profit organisations (financial records, meeting minutes, legal documents, etc.)
- Risks associated with improper document management
- Organising documents for easy retrieval - Naming and folder structures
- Back-up strategies: local vs. cloud storage
- Overview of popular document management systems (DMS) solutions (e.g., Google Drive, Dropbox, SharePoint)
- Overview of relevant regulations (e.g., GDPR)
- Ensuring compliance in document management practices

# General Documentation

- Company Organisation Details
- Constitution/Memo and Articles
- Policy and Procedures
- Annual Reports
- Bank Statements
- Annual Accounts
- Management Accounts (Income and Expenditure)
- Lease or Deeds
- Governance Code Checklist
- Charity Regulator Compliance Records
- Insurance
- Planning Files (for construction/building projects) Planning Reference No.
- Employment Contracts
- Membership details
- Volunteer details
- Contracts for grants, loans etc.

## Company Details:

Name

CRO Number

Charity Number (CRN)

CHY Number

Tax Access

VAT Number

Bank Account Details

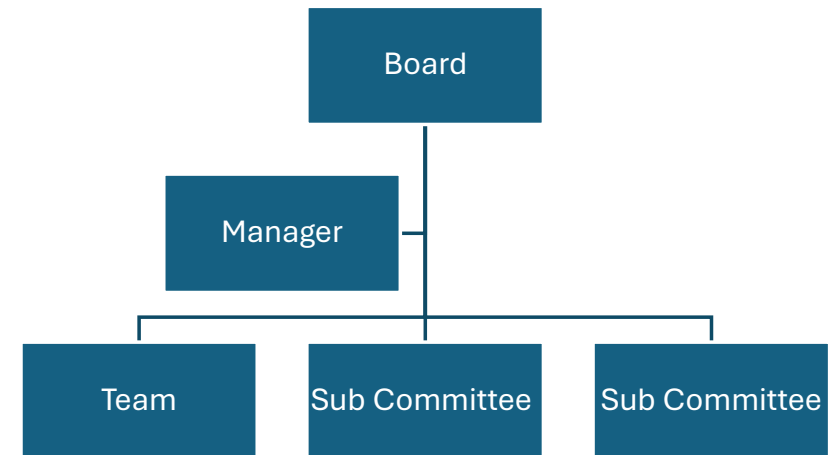
Organisation or Portal	Link/URL	Username	Password
Pobal			
OSCAR (Sports Capital)			

## Organisation Personnel/Board Details and Organisation Chart

Staff Name	Part/Full Time	Job Description

### Board Details

Board Member Name	Position	Background and Experience



## Grant File

Many grant applications ask for details of previous grants received

Name of Grant	Awarded by	For What Purpose	Date of Award	Amount Received	Percentage of overall project	Date of Draw Down

## Grants Database

Type of Grant	Source	Links

## Policy and Procedures

A useful list of policy and procedures plus guides on completing same is available on the Charity Regulator Site or Pobal

Guidance Documents

<https://www.charitiesregulator.ie/en/information-for-charities/guidance-documents>

<https://www.pobal.ie/app/uploads/2018/06/Managing-Better-volume-1-Good-Governance.pdf>

- Financial Procedures
- Health & Safety (Safety Statement)
- Risk Management
- Equality
- Child Protection/Vulnerable Adults
- Volunteer Policy
- Employment and HR Policies
- Conflict of Interest
- Data Protection
- ICT and Social Media Policy
- Fundraising Guidelines

The screenshot shows the website of the Charities Regulator (An Rialálaí Carthanais). The header includes the logo, accessibility options (A A A), contrast, language (English or Gaelge), contact information, and a MyAccount Login button. A search bar is also present. The main navigation menu includes 'About Us', 'For Charities', 'For the Public', and 'Publications and Reports'. The breadcrumb trail reads 'Home > Information for Charities > Charities Governance Code'. The main heading is 'Charities Governance Code'. Below this, there is a download link for the 'Charities Governance Code (363 kb)' with a download icon. To the right, a sidebar titled 'In this section' lists various topics: 'Updating the Register of Charities', 'Annual report - how to submit', 'Charities Governance Code' (highlighted), 'Charity Trustees Week', 'Classification', and 'Registering a charity'. The footer of the page shows the logo for 'olatc.ie O'LEARY & ASSOCIATES'.

# Grant Application Documentation

- Completed Application Forms
- If online applications – prepare the application in word format for editing. This will provide a backup of the information you uploaded on the application
- Research – Needs Analysis
- Business Case Analysis or Feasibility Study (if applicable)
- Lease/Proof of ownership or property owners' permission
- Constitution
- Quotations – follow required procurement guidelines
- Planning Application Details (Planning Ref. No)
- VAT Confirmation Letter
- Tax Clearance Access Number
- Company and Charity Numbers
- Compliance Checklists – Data Protection, Insurances, Equality Policy etc. (usually in the form of a signed declaration)
- Proof of consultation
- Details of other grants received
- Proof of matching funds
  - Bank Statement (3 months)
  - Loan offer

## Post Funding Award Documentation

- Completed Application Forms
- If online applications – prepare the application in word format for editing. This will provide a backup of the information you uploaded on the application
- Letter of offer
- Funding agreement/acceptance of offer
- Contracts
- Evaluations or reports
- Compliance Checklists
- Quotations
- Bank Statements
- Invoices
- Receipts
- Copies of Cheques
- Accounts
- VAT Confirmation Letter
- Tax Clearance Access Number
- Photos

# Strategic Context Information and Research

- Identify what strategic policy document is relevant to your project.
- Review the document and search for sections relevant to the overall organisation or a specific project.
- Highlight or extract the relevant sections/text

Most relevant would include:

- National Strategy – Ireland 2040
- Regional Strategies – Rural Development, Jobs etc.
- County Strategy – County Development Plan,
- Community Economic Development Plan
- Local Area Plans
- Sector specific strategy and plans e.g. employment, tourism, transport, housing, disability, sports etc.

## Policies

Find information about government policies. This page is still in development and is not a complete list of all policies. Further information on policies can be found on the individual department websites.

38 results

### [Agriculture and Food](#)

30 November 2020; Department of Agriculture, Food and the Marine; Policy;

### [An Ghaeltacht](#)

29 September 2020; Department of Tourism, Culture, Arts, Gaeltacht, Sport and Media; Policy;

### [Arts and Culture](#)

2 July 2015; Department of Tourism, Culture, Arts, Gaeltacht, Sport and Media; Policy;

### [Business and Trade](#)

19 July 2023; Department of Enterprise, Trade and Employment; Policy;

### [Children and Youth](#)

7 August 2019; Department of Children, Equality, Disability, Integration and Youth;

Organisations

All ▾

[Clear filters](#)

Search

<https://www.gov.ie/en/policies/>

<https://www.gov.ie/en/help/departments/>

# Document Management and Storage



## Risks of poor document management

- Documents not easy to find when needed
- Documents missing/lost/deleted
- Documents not secured and can be easily accessed (in filing cabinets on desks etc.)
- Breaches of data protection and privacy
- Only one person knows where everything is and has access
- Required documents not available to be included with grant applications – loss of funding opportunities
- Documents not available for audits, inspection and reporting
- Paperwork not available for financial returns

# File Management using Cloud Storage



## OneDrive

Ideal for organisations already using Microsoft 365; it provides great value with 1 TB storage included in Office subscriptions and smooth Microsoft integration.



## Google Drive

Suited for Google Workspace users or teams that prioritise real-time document collaboration with Google's productivity tools.



## Dropbox

Great for freelancers and small businesses that need a user-friendly platform for sharing and storing files with some integration flexibility.



## Box.com

Best for enterprises and regulated industries needing high security, compliance, and extensive third-party integrations, especially for managing large files and workflows.



**Pros:**

- **Accessibility:** Cloud storage allows team members to access and edit documents from anywhere, ideal for remote teams or volunteers.
- **Built-in Backup and Redundancy:** Cloud providers typically offer secure backups, minimizing the risk of data loss.
- **Enhanced Collaboration:** Real-time collaboration, sharing, and commenting features streamline team projects.

**Cons:**

- **Recurring Costs:** Cloud storage generally involves ongoing subscription fees, though many providers offer non-profit discounts.
- **Security Concerns:** Although secure, cloud storage is still online, which carries inherent risks, especially for sensitive data.
- **Reliance on Internet Access:** Requires stable internet access for full functionality.

## **Best Practices:**

- **Primary Use:** Use cloud storage for active files, including project documents, volunteer schedules, and donor/grant files.
- **Role-Based Access:** Assign permissions based on roles (e.g., view-only, editor) to control access and protect sensitive information.

A **hybrid document management approach** combining both external hard drives and cloud storage is often best.

### **A. Classify Documents by Type and Access Needs**

- **Static or Archived Files:** Store completed projects, financial records, and legal documents on an external hard drive. These files don't require frequent access and are best suited for offline storage.
- **Active and Collaborative Files:** Use cloud storage for ongoing projects, team schedules, fundraising materials, and other dynamic documents that benefit from real-time access and updates.

### **Implement a Secure Backup System**

- **Duplicate Important Files:** Regularly back up files stored on the external hard drive to the cloud for redundancy. Choose a cloud provider with version control (Dropbox, Google Drive, or Box) to keep track of edits and allow rollbacks if needed.

## **Establish Clear Document Management Policies**

- **File Naming:** Develop standard naming and folder structures to make file retrieval easy for all team members.
- **Access Permissions and Roles:** Set up clear roles to control document access, especially for sensitive data related to donors and finances.
- **Regular Review and Purge:** Periodically review files and remove outdated or duplicate information from both external drives and cloud storage.

# Data Collection and GDPR

## Lawful Basis for Data Collection and Storage

- **Requirement:** Non-profits must have a lawful basis for collecting and storing personal data, which can include consent, legitimate interest, or contractual necessity.
- **Application:** Organisations need clear policies outlining the purpose of data collection, ensuring data is relevant and not excessive for its intended use.

## Data Minimisation and Purpose Limitation

- **Requirement:** Collect only the data necessary for specific, legitimate purposes and limit its use strictly to those purposes.
- **Application:** Non-profits should avoid storing unnecessary information. For instance, collecting only the data required for membership management or volunteer coordination.

## Data Retention and Deletion Policies

- **Requirement:** Personal data should not be kept for longer than necessary. Non-profits must establish clear data retention schedules and securely delete data once it is no longer needed.
- **Application:** Document retention policies should specify timelines for how long various data types (e.g., membership forms, donation records) are stored. Once retention periods end, data should be securely deleted.

## Security of Data Storage

- **Requirement:** Organisations must implement technical and organizational measures to ensure data security.
- **Application:** Use secure storage solutions (e.g., encrypted databases) for electronic data, and ensure physical security for paper records. Access should be restricted to authorised personnel only.

## Data Access and Accountability

- **Requirement:** Ensure data subjects can exercise their rights under GDPR, such as the right to access, rectify, and delete their data.
- **Application:** Maintain records of data storage and processing activities. Non-profits should have procedures in place to respond to data access requests promptly and accurately. This involves knowing where data is stored and who has access to it.

## Handling Data Breaches

- **Requirement:** Report any data breaches to the Irish Data Protection Commission (DPC) within 72 hours if there is a risk to individuals' rights.
- **Application:** Non-profits must have a documented data breach response plan. Staff should be trained to identify, report, and respond to breaches immediately, minimising the impact on individuals' privacy.

## Documentation and Record-Keeping

- **Requirement:** Keep detailed records of data processing activities, especially if the organisation regularly handles sensitive personal data.
- **Application:** Maintain logs of data access, processing, and deletion.

## Appointing a Data Protection Officer (DPO)

- **Requirement:** Non-profits that process a large volume of sensitive data should appoint a DPO to oversee GDPR compliance.
- **Application:** If the organization works with vulnerable groups or handles sensitive health information, appointing a DPO can ensure that privacy policies and practices align with GDPR standards.

## Transparency and Communication with Data Subjects

- **Requirement:** Be transparent about data collection and use. Provide privacy notices that clearly explain why data is collected, how it is used, and how long it will be retained.
- **Application:** Ensure that all data collection forms and online portals include privacy statements. For instance, when collecting member information, non-profits should outline how data will be used, stored, and individuals' rights.

## IT Security

<https://www.charitiesregulator.ie/media/2imp0u1n/protecting-your-charity-from-cybercrime.pdf>

