# Compliance Management Improvement Process (CMIP)

**Name of the Legal Holder : R.BALU**
**Name of the Director : R.BALU**
**Executive Secretary : R.BALU**
**Name of the Organization : BUDDHA OUTCAST SOCIAL SOCIETY - BOSS**
**Name of the Finance Staff : -**
**Name of the Program staff : K.EZHILMARAN .**

| S.No | Component | Mandatory Standard | Action Points<br>What | Compliance Rating (1=not met,<br>2 = partially met,<br>3= fully met) | Mechanism<br>How | Responsibility<br>Who | Time Frame<br>When |
|---|---|---|---|---|---|---|---|
| **1.** | | | **Planning and Budgeting system** | | | | |
| | | An organisational budget is prepared. | This was discussed during field facilitation visit of Donor XYZ this point was taken in to our EC meeting dated ---------. The floor | 2 | Previous years expenditure analysis, Income source (Funder's confirmation) | Treasurer, Finance Manager & Project Director | In February |

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|---|---|---|---|---|---|---|---|
| | | | decided and responsibility was given to Treasurer and Finance Manager for organizational budget preparation | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | **Reporting** | 3 | Online portal | Director | As Scheduled |
| | | | **Donor Reporting** | 3 | | Director | As Scheduled |
| | | | Submission of quarterly report with prescribed format Introduced by XYZ | 3 | As given by funder | Director | As Scheduled |
| | | The organization allocates trained staff with required qualifications and experience to project | Yes. Our organization has allocated qualified and trained staff with experience to implement project components. | 3 | Through Need based selection of staffs | Project director and Management | As per need |

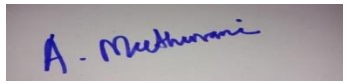
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| | | management positions. | | | | | |
| | | There is a process to ensure the timely delivery of planned project activities | have annual plan for planned project activities and this will be divided in to quarterly basis. This was displayed in the office premises for program execution on a day to day basis. | 3 | Staff are trained with proper planning and implementation process | Director and Community organizers | Quarterly |
| | | There is a process to systematically collect, monitor and evaluate project monitoring data. | We have systematic monitoring system for project execution. This will be reviewed periodically by Project Director, Project Manager and Finance manager and funding partners | 3 | Data collection, reporting and Proper monitoring | Program managers, external persons and project monitoring team | Bi monthly |
| **5**. | **1. Legal** | The organization has all required and up-to-date legal registration documentation. | has up to date legal registration documents**.** | 3 | Monitoring day to day legal requirements | Finance Manager , Executive secretary, Project Director | |
| 5.1 | | | FCRA | 3 | Logging in adequately | Director | |

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|---|---|---|---|---|---|---|---|
| | | | Filling of Quarterly return | 3 | Data taken from official receipt book and bank statement | Finance manager and Director | Quarterly |
| | | | Filling of FC4 | 3 | Conducting annual audit by Statutory audit firm | Cashier, Finance Manager, Program Team and Project Director | Before ----Date and Month |
| 5.2 | | | **Income Tax Act** | | | | |
| | | | Annual return on the payment to contractor, Professional fee etc. Form No.26C, 26J & 26K | Not applicable | TDS Deducted information given to Statutory auditor with necessary attachments | Finance Manager | |
| | | | Inclusion of ESI benefit to the staff has to be done with the consultation of XYZ board | Not applicable | Allocation of Provision & consultation with ESI Department | Project Director, Finance Manager and Executive committee | |
| | | | Preparation of chart of accounts | 2 | With the consultation of Program and finance team | Finance & Program managers , Project Director | |

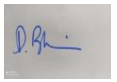
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| | | | Finance policy of the organization has to be revised | 3 | With the consultation of Statutory auditor | Project Director & Treasurer | As needed |
| | | | Income tax and FCRA website has to be closely followed for frequent updates | 3 | Close monitoring of mails and websites | Project Director | Adequatel y |
| | | | FCRA revised format will be updated | 3 | On line filling of FC4 | Project Director and Statutory auditor | Limited time intervals |
| | | | Payment of TDS | | Through bank by Cashier with the consultation of Finance Manager | Cashier | |
| | | | Filing of Income Tax Return of the Society | | After completion of annual audit | Finance Manager & Statutory audit firm | August |
| 5.3 | | | **Societies Act** | | | | |
| | | | Filling of Annual returns | 3 | Before -----of every year to conduct AGM | | Filling of annual returns ---------- ---- |
| | | | Filling of Form 7 | 3 | Society made any | | August |

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| | | | | | changes in the board of directors we have to fill the form 7 in Registrar of Societies. | | |
| 5.4 | | | GST Act if applicable | Not applicable | | | |
| | | | To be register the organization under GST | 1 | With the consultation of Statutory auditor | Finance Manager, Project Director & Treasurer | |
| | | | | | | | |
| **8.** | **Internal controls** | | **Financial Policy, POSH Policy, Formation of IC and enable it functional** | | | | |
| | | Internal control procedures are documented. | Yes. Internal control procedures are documented these need to be revised as per recent government rules and regulations and to be approved by Executive committee | 2 | Consultation with financial experts | Finance manager and project Director, Treasurer | |
| | | If fraud has | We have to revisit the existing | 1 | With the consultation | Director | |

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| | | occurred in the organisation it was dealt with promptly with a clear prevention plan. | policy based on Flagged Standard and this will be approved by Executive committee Anti-fraud policy to be evolved incorporating anti-bribery component | | of Statutory auditor | | |
| | | | **POSH** | 3 | Managing Trustee and Director | Director | Periodical |
| | | | IC | 1 | | | |

**Sd** 
**Signature**
**Program staff**

**Sd...** 
**Signature**
**Finance staff**

**sd.** 
**Signature**
**Director Board Member /**