

ENHANCED TIER GOVERNANCE CHECKLIST

Applicable to Sikh Institutions with gross annual receipts of over \$1 million in each of the two preceding financial years and Sikh institutions with IPC Status.

Governance Evaluation Checklist for

This Governance Evaluation Checklist covers only the key principles and guidelines in the Code of Governance for Sikh Institutions and IPCs. Sikh Institutions should refer to the Code and consider all applicable principles and guidelines.

Please refer to the Guide on how to submit the Governance Evaluation Checklist.

This submission is for the financial year
 _____ (DD/MM/YYYY)

S/N	Description	Code ID	Response <i>(Select one option)</i>	Score	Reasons for Non-Compliance
Board Governance					
<i>A. Are there Board members holding staff appointments? YES / NO (Skip item 1 and 2 if "NO")</i>					
1	If the Constitution permits staff to become Board members, they should comprise not more than one-third of the Board.	1.1.2	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		<ul style="list-style-type: none"> • Small size of the Public Institutions and Board. • No employed staff. Board members volunteer in staff roles.
2	Staff does not chair the Board	1.1.2	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
3	There is a maximum limit of four consecutive years for the Treasurer position <u>(or equivalent, e.g. Finance Committee</u>	1.1.6	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) 		<ul style="list-style-type: none"> • Unable to recruit a suitably qualified Board member to take on the Treasurer

	<u>Chairman).</u>		Not Applicable		position (or equivalent). Will comply before the next submission.
4	<i>There is a maximum limit of six consecutive years for the Chairman's position</i>	1.1.7	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		<ul style="list-style-type: none"> • <i>Unable to recruit a suitably qualified Board member to take on the Chairman position. Will comply before the next submission.</i>
S/N	Description	Code ID	Response <i>(Select one option)</i>	Score	Reasons for Non-Compliance
5	<i>There is a requirement to have at least 20% Youth in the Board.</i>	1.1.10	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		<ul style="list-style-type: none"> • <i>Unable to recruit a suitably aged Board member. Will comply before the next submission.</i>
6	<i>There is a requirement to have at least 10% Ladies in the Board.</i>	1.1.10	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		<ul style="list-style-type: none"> • <i>Unable to recruit a suitably Ladies as Board member. Will comply before the next submission.</i>
	Total Raw Score Number of Questions Applicable (excluding N/A) Average Score (Total / No of Questions)				

7	The Board has an audit committee (or designated Board members) with documented terms of reference.	1.2.1	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		<ul style="list-style-type: none"> • The responsibilities of the audit committee are carried out by the Board
8	The Board meets regularly with a quorum of at least one-third or at least three members, whichever is greater (or as required by the Constitution).	1.3.1	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
Conflict of Interest					
9	There are documented procedures for Board members and staff to declare actual or potential conflicts of interest to the Board.	2.1	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		<ul style="list-style-type: none"> • Actual or potential conflicts of interest are disclosed and recorded at Board meetings.
10	Board members do not vote or participate in decision-making on matters where they have a conflict of interest.	2.4	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
S/N	Description	Code ID	Response <i>(Select one option)</i>	Score	Reasons for Non-Compliance
	Total Raw Score Number of Questions Applicable (excluding N/A)				

		Average Score (Total / No of Questions)			
Programme Management					
11	The Board reviews and approves all the programmes carried out by the Sikh Institution in accordance with its objectives	4.1	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
12	The Institution ensures that the outcomes of each programme is clearly defined and regularly update the Board on the progress of its programmes and services.	4.2 4.3	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
13	<i>The Institution has an evaluation system that measures the effectiveness of its programmes and that the outcomes are in line with its mission and objectives.</i>	4.4	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
		Total Raw Score			
		Number of Questions Applicable (excluding N/A)			
		Average Score (Total / No of Questions)			
Strategic Planning					
14	The Board reviews and approves the vision and mission of the Public	3.1.1	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) 		

	Institutions. They are documented and communicated to its members and the public.		<ul style="list-style-type: none"> • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
15	<i>The Board approves and reviews a strategic plan for the Public Institutions to ensure that the activities are in line with its objectives.</i>	3.2.2	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
S/N	Description	Code ID	Response <i>(Select one option)</i>	Score	Reasons for Non-Compliance
	Total Raw Score Number of Questions Applicable (excluding N/A) Average Score (Total / No of Questions)				
Human Resource Management					
16	The Board approves documented human resource policies for staff.	5.1	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
17	<i>There are systems for regular supervision, appraisal & professional development of staff.</i>	5.6	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		

			Total Raw Score Number of Questions Applicable (excluding N/A) Average Score (Total / No of Questions)		
Financial Management and Controls					
18	The Board ensures internal control systems for financial matters are in place with documented procedures.	6.1.2	Compliance: • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
19	The Board ensures reviews on the Public Institution's controls, processes, key programmes and events.	6.1.3	Compliance: • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
20	The Board approves an annual budget for the Public Institution's plans and regularly monitors its expenditure.	6.2.1	Compliance: • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
S/N	Description	Code ID	Response <i>(Select one option)</i>	Score	Reasons for Non-Compliance
21	The Public Institutions disclose its reserves policy in the annual report.	6.4.1	Compliance: • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3)		

			<ul style="list-style-type: none"> • None (0) Not Applicable 		
<i>B. Does the Public Institutions invest its reserves ?</i> <i>(Skip item 22, if "No")</i>			YES /NO		
22	The Public Institutions invests its reserves in accordance with an investment policy approved by the Board. It obtains advice from qualified professional advisors, if deemed necessary by the Board	6.4.3	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable 		
		Total Raw Score Number of Questions Applicable (excluding N/A) Average Score (Total / No of Questions)			
Fundraising Practices					
23	Donations collected are properly recorded and promptly deposited by the Public Institutions	7.2.2	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable 		
		Total Raw Score Number of Questions Applicable (excluding N/A) Average Score (Total / No of Questions)			
Disclosure and Transparency					
24	The Public Institutions makes available to its stakeholders an annual report that includes	8.1	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) 		

	information on its programmes, activities, audited financial statements, Board members and executive management.		<ul style="list-style-type: none"> • None (0) Not Applicable		
25	<i>The Public Institution updates its stakeholders regularly through newsletters, circulars, etc of its plans , programs and activities and accepts feedback positively.</i>	8.2	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
S/N	Description	Code ID	Response (Select one option)	Score	Reasons for Non-Compliance
<i>C. Are Board members remunerated for their Board services ?</i>					<i>YES / NO</i>
<i>(Skip items 26 and 27 if “ NO”.)</i>					
26	No Board member is involved in setting his or her own remuneration.	2.2	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
27	<i>The Public Institutions discloses the exact remuneration and benefits received by each Board member in the annual report.</i>	8.2	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
<i>D. Does the Public Institutions employ paid staff ?</i>					<i>YES / NO</i>

(Skip items 28 and 29 if "NO".)

28	No staff is involved in setting his/ her own remuneration.	2.2	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
S/N	Description	Code ID	Response <i>(Select one option)</i>	Score	Reasons for Non-Compliance
29	<i>The Public Institutions discloses in its annual report the annual remuneration of its three highest paid staff who each receives remuneration exceeding \$100,000, in bands of \$100,000. If none of its top three highest paid staff receives more than \$100,000 in annual remuneration each, the Public Institutions discloses this fact.</i>	8.3	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
	Total Raw Score Number of Questions Applicable (excluding N/A) Average Score (Total / No of Questions)				
S/N	Description	Code ID	Response <i>(Select one option)</i>	Score	Reasons for Non-Compliance

Public Image					
30	The Public Institutions accurately portrays its image to its members, donors and the public.	9.1	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
	Total Raw Score				
	Number of Questions Applicable (excluding N/A)				
	Average Score (Total / No of Questions)				

OVERALL SCORE COMPUTATION

S/N	Category	Weight	Average Score	Wt Ave Score (Wt x Ave Score)
1	Board Governance	20%		
2	Conflict of interest	5%		
3	Strategic Planning	5%		
4	Programme Management	15%		
5	Human Resource Management	10%		
6	Financial Mgmt & Controls	25%		
7	Fund Raising Practices	5%		
8	Disclosure & Transparency	10%		

9	Public image	5%		
			TOTAL SCORE	
			GRADING	
			Excellent	90.1 -100%
			Very Good	75.1 – 90.0%
			Good	60.1 – 75.0%
			Average	35.1 – 60.0%
			Unsatisfactory	Up to 35.0%

Declaration

Name

Email

Contact Office

Mobile

Designation Executive Director / Chief Executive Officer / General Manager / Board Member

I declare that my Public Institution's / IPC's governing Board has approved this Governance Evaluation Checklist and authorized me to submit on its behalf.

All information given by me in this checklist submission is true to the best of my knowledge and I have not willfully suppressed any material fact.

The full responsibility for providing accurate and updated checklist information will rest with my Public Institution's / IPC's governing Board.

My governing Board agrees to make this Governance Evaluation Checklist available for members / donors through avenues such as the website, bulletins or the annual general meeting.