



COMMITMENT TO GOVERNANCE Self-Assessment Checklist

This Governance Self-Assessment Checklist covers only the key principles and guidelines in the Code of Governance for APQO members. Members /Institutions should consider all applicable principles and guidelines for Corporate Governance in their Countries of registration and strive to adopt globally accepted best practice.

Please refer to the Guide on how to submit the APQO Commitment to Governance Self-Assessment Checklist.

This submission is for the financial year _____

S/N	Description	Code ID	Response (Select one option)	Score	Reasons for Non-Compliance
Board Governance					
A. Are there Board members holding staff appointments? (Skip item 1 and 2 if "NO")			YES / NO		
1	There is a constitution / by laws that is reviewed periodically. If the Constitution permits staff to become Board members, they should comprise not more than one-third of the Board.	1.1.2	Compliance: • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		• Small size of the Institutions and Board. • No employed staff. Board members volunteer in staff roles.
2	Staff does not chair the Board	1.1.2	Compliance: • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
3	There is a maximum limit of consecutive years for the Treasurer position (or equivalent, e.g. VP Finance / Finance Committee Chairman) by same person	1.1.6	Compliance: • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		• Unable to recruit suitably qualified Board member to take on the Treasurer position (or equivalent). Will comply before the next submission.
4	There is a maximum limit of number of consecutive years for the Chairman / President's position by same person	1.1.7	Compliance: • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		• Unable to recruit a suitably qualified Board member to take on the Chairman position. Will comply before the next submission.

5	There is a requirement to have at least 20% Youth in the Board.	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"> • Unable to recruit a suitably aged Board member. Will comply before the next submission.
6	There is a requirement to have at least 20% Ladies in the Board.	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"> • Unable to recruit a suitably Ladies as Board member. Will comply before the next submission.
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		
		Total Raw Score			
		Number of Questions Applicable (excluding N/A)			
		Average Score (Total / No of Questions)			
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 Council/ Board meetings.
10	No Board member or staff 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		

S/N	Description	Code ID	Response (Select one option)	Score	Reasons for Non-Compliance
11	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		
Total Raw Score					
Number of Questions Applicable (excluding N/A)					
Average Score (Total / No of Questions)					
Programme Management					
12	The Board/Council reviews and approves all the programmes carried out by the organization/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		
13	The Institution/organisation ensures that the outcomes of each programme is clearly defined and regularly update the Board/Council 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		
Total Raw Score					
Number of Questions Applicable (excluding N/A)					
Average Score (Total / No of Questions)					
Strategic Planning					
14	The Board/Council reviews and approves the vision and mission of the Institution/ Organization. They are documented and communicated to its members and the stakeholders.	3.1.1	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)					
Human Resource Management					
15	The Board/ Council 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		

S/N	Description	Code ID	Response (Select one option)	Score	Reasons for Non-Compliance
Total Raw Score					
Number of Questions Applicable (excluding N/A)					
Average Score (Total / No of Questions)					
Financial Management and Controls					
16	The Board/Council ensures internal control systems for financial matters are in place with documented procedures.	6.1.2	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
17	The Board/Council ensures reviews on the Organization/Institution's controls, processes, key programs and events.	6.1.3	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
18	The Board/ Council approves an annual budget for the Organization/ Institution's plans and regularly monitors its expenditure.	6.2.1	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
19	The Organization/ Institutions discloses its reserves policy in the annual report.	6.4.1	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable		
<i>B. Does the Organization/ Institutions invest its reserves?</i>				YES /NO	
<i>(Skip item 20, if "No")</i>					
20	The Organization/ Institutions invests its reserves in accordance with an investment policy approved by the Board/Council. It obtains advice from qualified professional advisors, if deemed necessary by the Board / Council	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)					

S/N	Description	Code ID	Response (Select one option)	Score	Reasons for Non-Compliance
Fundraising Practices					
21	Dues/ Fees /Donations received/collected are properly recorded and promptly deposited by the Organization 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					
22	The Organization / Institutions makes available to its members & stakeholders an annual report that includes information on its programs, activities, audited financial statements, Board/ Council members and executive management.	8.1	Compliance: <ul style="list-style-type: none"> • Full (10) • Substantial (7-9) • Average (4-6) • Minimal (1-3) • None (0) Not Applicable 		
23	The Organization / Institution updates its members /stakeholders regularly through e-announcements, newsletters, circulars, etc of its plans, programs and activities and accepts feedback positively.	8.2	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)					
Public Image					
24	Organization / Institutions accurately portrays its image to its members, stakeholders 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

I declare that my organization / Institution's / governing Board has approved this Governance Self-Assessment Checklist and authorized me to submit on its behalf.

All information given by me in this self assessment 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 Institution's / governing Board.

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

Name

Email

Contact Office

Mobile

Designation:

(e.g. Executive Director / Chief Executive Officer / President/ General Manager / Board Member)