

Governance Evaluation Checklist Submission

for Jan to Dec 2021

S/ NO	CODE GUIDELINE	CODE ID	RESPONSE (Select whichever is applicable)	EXPLANATION (if Code guideline is not complied with)
BOARD GOVERNANCE				
1	Induction and orientation are provided to incoming governing board members upon joining the Board.	1.1.2	Complied	
	Are there governing board members holding staff ¹ appointments?		No	
4	"The Treasurer of the charity (or any person holding an equivalent position in the charity, e.g. Finance Committee Chairman or a governing board member responsible for overseeing the finances of the charity) can only serve a maximum of 4 consecutive years. If the charity has not appointed any governing board member to oversee its finances, it will be presumed that the Chairman oversees the finances of the charity."	1.1.7	Complied	The Chairman of the Finance Committee has not served more than four years in that capacity.
5	All governing board members must submit themselves for re-nomination and re-appointment, at least once every 3 years.	1.1.8	Complied	Re-appointment and re-nomination is carried out once every three years.
6	The Board conducts self evaluation to assess its performance and effectiveness once during its term or every 3 years, whichever is shorter.	1.1.12	Complied	The Board conducts self-evaluation annually, and this was done in 2021.
	Is there any governing board member who has served for more than 10 consecutive years?		No	There has been a continual renewal of new board directors. The longest serving board director has not served more than 10 consecutive years.
8	There are documented terms of reference for the Board and each of its committees.	1.2.1	Complied	The Corporate Governance report documents the terms of reference for the Board and all its committees.

S/ NO	CODE GUIDELINE	CODE ID	RESPONSE (Select whichever is applicable)	EXPLANATION (if Code guideline is not complied with)
CONFLICT OF INTEREST				
9	There are documented procedures for governing board members and staff to declare actual or potential conflicts of interest to the Board at the earliest opportunity.	2.1	Complied	Declaration of potential or actual conflict of interest is completed annually, in writing, by board members and staff. All are required to make ad-hoc declarations, if any, throughout the year.
10	Governing board members do not vote or participate in decision making on matters where they have a conflict of interest.	2.4	Complied	In situations where a conflict of interest arises, the board director shall abstain from participating in the discussion, decision making and voting on the matter.
STRATEGIC PLANNING				
11	The Board periodically reviews and approves the strategic plan for the charity to ensure that the charity's activities are in line with the charity's objectives.	3.2.2	Complied	The Board holds strategic planning sessions regularly with Management. There was a strategic review session completed in 2021.
HUMAN RESOURCE AND VOLUNTEER² MANAGEMENT				
12	The Board approves documented human resource policies for staff.	5.1	Complied	Policies are stated in a Human Resource Manual that is reviewed by the Nominating and HR Committee and approved by the Board.
13	There is a documented Code of Conduct for governing board members, staff and volunteers (where applicable) which is approved by the Board.	5.3	Complied	HealthServe has implemented a Code of Conduct for board directors, board committee members, staff and volunteers.
14	There are processes for regular supervision, appraisal and professional development of staff.	5.5	Complied	Appraisal and development planning for staff is done annually between staff and their immediate supervisors. The Nominating and HR Committee assists in appraisal of the performance of the Executive Director and reviews his/her development.
	Are there volunteers serving in the charity? (skip item 15 if "No")		Yes	HealthServe had more than 600 volunteers in 2021.
15	There are volunteer management policies in place for volunteers.	5.7	Complied	HealthServe has a Volunteer Management Policy that has been approved by the Board.

S/ NO	CODE GUIDELINE	CODE ID	RESPONSE (Select whichever is applicable)	EXPLANATION (if Code guideline is not complied with)
FINANCIAL MANAGEMENT AND INTERNAL CONTROLS				
16	There is a documented policy to seek the Board's approval for any loans, donations, grants or financial assistance provided by the charity which are not part of the charity's core charitable programmes.	6.1.1	Complied	HealthServe's Finance Policy and Procedures states the parameters and processes for all income and expenditure. Specifically, all loans, donations, grants or financial assistance disbursed by HealthServe, if any, would have been approved by the Board during the annual budgeting exercise or on ad-hoc basis.
17	The Board ensures that internal controls for financial matters in key areas are in place with documented procedures .	6.1.2	Complied	These controls are documented in the Finance Policy and Procedures as well as HealthServe's Corporate Governance report. Existing operational controls are endorsed and approved by the Board.
18	The Board ensures that reviews on the charity's internal controls, processes, key programmes and events are regularly conducted.	6.1.3	Complied	The Audit Committee, which is established by the Board and is amenable to the Board, reviews HealthServe's system of internal controls and ensures that a review of the effectiveness of the same is conducted periodically as may be appropriate.
19	The Board ensures that there is a process to identify, and regularly monitor and review the charity's key risks .	6.1.4	Complied	HealthServe has implemented an enterprise risk management framework which is regularly monitored and reviewed through the Audit Committee. Findings, risk management action plans, and recommendations for improvement, where necessary, are reported to the Board.
20	The Board approves an annual budget for the charity's plans and regularly monitors the charity's expenditure.	6.2.1	Complied	HealthServe's annual budget is reviewed and approved by the Board. Monitoring of actual spending against the budget is done on monthly and quarterly basis through the Finance Committee.
	Does the charity invest its reserves (e.g. in fixed deposits)? (skip item 21 if "No")		Yes	HealthServe invests its reserves in low risk time deposits with approval from the Finance Committee, and all other investments are approved by the Board.
21	The charity has a documented investment policy approved by the Board.	6.4.3	Complied	The Finance Policy and Procedures, which is approved by the Board, details the reserve investment guidelines for HealthServe. The Board's approval is required for any proposed new bank or cash fund that are compliant with aforementioned reserve investment guidelines.

S/ NO	CODE GUIDELINE	CODE ID	RESPONSE (Select whichever is applicable)	EXPLANATION (if Code guideline is not complied with)
FUNDRAISING PRACTICES				
	Did the charity receive cash donations (solicited or unsolicited) during the financial year? (skip item 22 if "No")		Yes	HealthServe's main source of financial support are donations from foundations, churches and corporations as well as individual donors.
22	All collections received (solicited or unsolicited) are properly accounted for and promptly deposited by the charity.	7.2.2	Complied	Every donation is accounted for in HealthServe's finance record, which is maintained for at least 5 years. Cash donations are deposited promptly.
	Did the charity receive donations in kind during the financial year? (skip item 23 if "No")		Yes	Donations in kind are received for clinic, casework/outreach, fundraising or general purposes.
23	All donations in kind received are properly recorded and accounted for by the charity.	7.2.3	Complied	All donations in kind received are properly and promptly recorded. Details captured include receipt and movement of the various items.
DISCLOSURE AND TRANSPARENCY				
24	The charity discloses in its annual report – (a) the number of Board meetings in the financial year; and (b) the attendance of every governing board member at those meetings.	8.2	Complied	The information is disclosed in HealthServe's Annual Report and Corporate Governance report.
	Are governing board members remunerated for their services to the Board?		No	All governing board members do not receive any remuneration for their services as directors.
	Does the charity employ paid staff? (skip items 27, 28 and 29 if "No")		Yes	
27	No staff is involved in setting his own remuneration.	2.2	Complied	No staff is involved in setting their own remuneration. Remuneration of key staff is determined by the Nominating and HR Committee and approved by the Board.

S/ NO	CODE GUIDELINE	CODE ID	RESPONSE (Select whichever is applicable)	EXPLANATION (if Code guideline is not complied with)
DISCLOSURE AND TRANSPARENCY (CON'T)				
28	<p>The charity discloses in its annual report –</p> <p>(a) the total annual remuneration for each of its 3 highest paid staff who each has received remuneration (including remuneration received from the charity's subsidiaries) exceeding \$100,000 during the financial year; and</p> <p>(b) whether any of the 3 highest paid staff also serves as a governing board member of the charity.</p> <p>The information relating to the remuneration of the staff must be presented in bands of \$100,000. OR The charity discloses that none of its paid staff receives more than \$100,000 each in annual remuneration.</p>	8.4	Complied	The annual remuneration of staff exceeding \$100,000 is disclosed in HealthServe's Annual Report. None of HealthServe's staff serves as a governing board member in HealthServe.
29	<p>The charity discloses the number of paid staff who satisfies all of the following criteria:</p> <p>(a) the staff is a close member of the family³ belonging to the Executive Head⁴ or a governing board member of the charity;</p> <p>(b) the staff has received remuneration exceeding \$50,000 during the financial year.</p> <p>The information relating to the remuneration of the staff must be presented in bands of \$100,000. OR The charity discloses that there is no paid staff, being a close member of the family belonging to the Executive Head or a governing board member of the charity, who has received remuneration exceeding \$50,000 during the financial year.</p>	8.5	Complied	None of HealthServe's staff is related to or is a close member of the family of the Executive Director or a governing board director. This is disclosed in the Annual Report.
PUBLIC IMAGE				
30	The charity has a documented communication policy on the release of information about the charity and its activities across all media platforms.	9.2	Complied	This is documented in HealthServe's Communications Policy.

Notes:

¹ Staff: Paid or unpaid individual who is involved in the day to day operations of the charity, e.g. an Executive Director or administrative personnel.

² Volunteer: A person who willingly serves the charity without expectation of any remuneration.

³ Close member of the family: A family member belonging to the Executive Head or a governing board member of a charity –

(a) who may be expected to influence the Executive Head's or governing board member's (as the case may be) dealings with the charity; or

(b) who may be influenced by the Executive Head or governing board member (as the case may be) in the family member's dealings with the charity.

A close member of the family may include the following:

- (a) the child or spouse of the Executive Head or governing board member;
- (b) the stepchild of the Executive Head or governing board member;
- (c) the dependant of the Executive Head or governing board member.
- (d) the dependant of the Executive Head's or governing board member's spouse.

⁴ Executive Head: The most senior staff member in charge of the charity's staff.