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DISABILITY SERVICES CONSULTING

NDIS Governance Self-Assessment Checklist

About the Checklist

There are eight governance principles in this self-assessment checklist. These have been adapted from a number of sources, in particular the Australian Institute of Company Directors' resources on Not For Profit Governance¹, and the NSW Audit Office's 'Corporate Governance – Strategic Early Warning System'².

Each principle has its own table which lists a set of questions you can use to assess how you meet the key elements of that principle.

- The '**Objective**' column lists the components of each principle.
- The '**Question**' column poses open questions that help you take stock of your organisation's governance framework.
- In the '**Comment**' column, write what you know against each question. There are no right or wrong answers.
- The '**Action**' column could be as simple as a prompt to follow up, or it might be a note to check with another organisation, to seek Council assistance, or to undertake your own research. This column will be your action list after the workshop.
- In the '**Priority**' column, assign your own rating – high, medium or low – based on your assessment of how important each action is.

On completion of the checklist, you will have a set of principles and a prioritised action list that can then be implemented.

¹ See <http://www.companydirectors.com.au/Director-Resource-Centre/Not-for-profit/Good-Governance-Principles-and-Guidance-for-NFP-organisations#Good%20Governance%20Principles%20and%20Guidance%20for%20NFP%20organisations>

² See http://www.audit.nsw.gov.au/ArticleDocuments/191/05_Vol_2_2011_Corp_Governance.pdf.aspx?Embed=Y

1 ROLES AND RESPONSIBILITIES

Objective	Question	Comment	Action	Priority
Individual role clarity	Do you know what is expected of you in your role on the Board?			
	Do you have a clear role description?			
Relevant information	Has it been recently reviewed?			
	Have you been part of that review?			
Induction to role	Did you receive an induction when you took on your role?			
	How was that conducted?			
Feedback to improve process	Are you satisfied it was a helpful process?			
	Have you been able to provide your feedback to improve the induction process for the future?			
Board's role	Does your Board have a Charter or other guiding document?			
Board and management responsibilities	Are there clear and documented distinctions between the role of the Board and that of management?			



2 SKILLS

Objective	Question	Comment	Action	Priority
Individual skills	What specific skills and expertise do you bring to your role?			
Board skills	What skills do the members of your Board possess?			
	Do you think there are other skills that might assist the Board fulfill its functions?			
	Do you have a process for acquiring the people with the skills your Board needs?			
	What assistance would help you in this process?			
Ongoing training	Do you receive either regular or occasional training or advice to help you fulfill your role?			
	What form does this training take?			
	What would be the ideal training support for your organisation?			



3 ORGANISATIONAL PURPOSE AND PLANNING

Objective	Question	Comment	Action	Priority
Purpose	Does your organisation have a clear statement of purpose, stating why it exists, what it does, for whom, how, and how this is measured?			
The planning process	Does your organisation's strategic planning take account of the major challenges associated with the transition to the NDIS?			
	Do you have a regular planning process to determine how you will prioritise services and program changes for NDIS?			
	Do you develop an annual plan?			
	Is it updated each year?			
	Who participates in the development of the plan?			
	What information do you require to develop a good plan?			
	Do you regularly report against your plan?			
Communicating your plan	How do you advise your stakeholders about your plan?			
Feedback	Do you allow for feedback about your plan?			
	Who provides feedback, and has that been useful?			



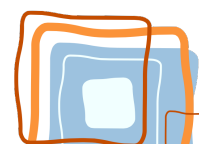
4 RISK

Objective	Question	Comment	Action	Priority
Risk identification	Do you have a process for identifying risks that might impact your organisation?			
	How do you capture the identified risks?			
Risk management	How do you manage those risks that need to be managed?			
	What are your highest risk areas that need to be managed?			
Risk reporting	What reports do you receive about potential or actual risks?			
Professional assistance	Do you have access to external professional assistance to help you manage and mitigate risk?			



5 PERFORMANCE MONITORING

Objective	Question	Comment	Action	Priority
Performance indicators	Do you have a set of indicators to show how your organisation is meeting its financial, compliance and service delivery obligations?			
	Does your organisation have systems that can manage the new requirements of the NDIA?			
	Does your organisation have financial management systems to track client-attached funding, allocate payroll and overhead costs, generate invoices			
	Does your organisation have a systems that can effectively monitor cash flow?			
Performance data	Do you receive timely and useful data about your organisation's performance in its key areas?			
	Would any other data assist you in this activity?			
	Is it relatively straightforward to obtain the data you need?			
Reporting obligations	Can your performance data be readily adapted for other audiences or other funding or regulatory bodies?			



6 INFORMATION FLOW

Objective	Question	Comment	Action	Priority
Information to make decisions	Do you receive good financial information that allows you to monitor your organisation's financial position?			
	How do you satisfy yourself that your financial information is accurate and reliable?			
	Do you receive helpful and timely information about your legal obligations?			
	How do you ensure that your organisation is compliant with all the applicable laws and regulations?			
	Is your compliance program regularly reviewed?			



7 LEADERSHIP

Objective	Question	Comment	Action	Priority
Setting the tone	Does your Board understand its role in setting the tone for how the organisation operates?			
	How does your Board demonstrate integrity in decision-making?			
	Do you have a code of conduct, or a process for identifying and managing conflicts of interest?			
Building organisational capacity	How do you identify the skills your organisation needs to function well?			
	How do you identify and reward success?			
	How do you manage workplace health and safety?			



8 ENGAGEMENT

Objective	Question	Comment	Action	Priority
Understanding your stakeholders	Does your organisation's planning take account of the NDIS self-directed approaches?			
	Do you have good data on the demographics of your clients?			
	Do you have an understanding of your consumers' needs?			
	Do you have a feedback loop for compliments, complaints or suggestions?			
	Is this monitored?			
	Is this feedback regularly reported to the Board?			
Seeking input	Do you have a process for seeking consumer input to decisions about programs or services?			
	How do you do that?			
Providing feedback to stakeholders	What sort of communication do you have with your consumers?			
	Are they happy with your process?			

