

8/20/2022

Questionnaire for Self-Assessment-Initial Audit

سوالنامہ

A collaborative initiative towards:

Compliance

Governance

Accountability

Sustainability

Risk Management



RUBARU PROFESSIONALS LLP

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CORPORATE OFFICE: S-27, PASHA COMMERCIAL COMPLEX, D.L.F., GHAZIABAD-201005

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KEY TRUST / SOCIETY/COMMITTEE CREDENTIALS		<i>(Please fill details in brief in below columns)</i>			
1	Type of NGO				
	Education <input type="checkbox"/>	Medical <input type="checkbox"/>	Religious <input type="checkbox"/>	Welfare & Human Rights <input type="checkbox"/>	
	Child Protection <input type="checkbox"/>	Women Protection <input type="checkbox"/>	Environment Protection <input type="checkbox"/>	Other, Please specify <input type="checkbox"/>	
2	Name of Trust / Society / Committee /AOP / Waqf / S-8 Company				
3	Date and place of registration, <i>please mention registered office address</i>				
4	Name, qualification and experience of Chairman / Sadar / Key Executive				
4A	Number of Member of Board of Trustees, if there is "Registered Trust"				
	Indian residents				
	Foreign resident				
5	Number of Member of Executive Board /Managing Committee, if there is "Registered Society"				
	Indian residents				
	Foreign resident				
6	Number of Member of committee or Association of Person, if there is "Unregistered Committee/AOP"				
	Indian residents				
	Foreign resident				
7	Number of <u>General Members</u> of General Body, if any				
	Indian residents				
	Foreign resident				

8	Type of Business / Operations			
	School / Institution / Centers <input type="checkbox"/>	Madrasa <input type="checkbox"/>	Masjid / Mandir / Church/Gurdwara <input type="checkbox"/>	Hospitals/ dispensary <input type="checkbox"/>
	Musafir Khana / Dharamshala <input type="checkbox"/>	Other – (Ex- PlayGround, Centers, Halls, Auditorium, Nursery, Garden, Land, Orphan Home, shelters etc.)		
9	What is <u>source of land, used for</u> School / Madrasa / Hospitals, Religious Institution etc			
	Samaj <input type="checkbox"/>	Owned <input type="checkbox"/>	Leased Waqf <input type="checkbox"/>	board Gram <input type="checkbox"/>
	Inherited <input type="checkbox"/>	Gifted <input type="checkbox"/>	Donated <input type="checkbox"/>	Permitted <input type="checkbox"/>
	Others, please explain:			
10	What is the <u>source of Building and premises used for</u> School / Madrasa / Hospitals / religious Institution. etc			
	<input type="checkbox"/>	Owned <input type="checkbox"/>	Leased Waqf <input type="checkbox"/>	board Govt <input type="checkbox"/> Aided
	Inherited <input type="checkbox"/>	Gifted <input type="checkbox"/>	Donated <input type="checkbox"/>	Permitted <input type="checkbox"/>
	Others, please explain:			
KEY SCHOOL CREDENTIALS				
11	Name of school / Madrasa / other Institutions			
	Locations			
12	Date of commencement of school / madrasa			
	Taaleem-Level			
			Academic	
			Religious	
13	Affiliation Board / permission authority			
	Strength of students			
	From Own Community		Academic	
			Religious	
	From others community		Academic	
			Religious	

14	Strength of teaching Staff	
	From Own Community	
	From others community	
15	Strength of Non- teaching Staff	
16	Name of principal and its qualification and experience, if any	
17	Name of Manager of institution in India his qualification and experience, if any	
	FINANCIALS SUPPORT, (Please fill only Yes /No /NA in below columns)	
18	What is key source of Income of trust:	
	Own capital / corpus (settler contribution)	
	From Indian source	
	From foreign source	
	Loan:	
	From settler/trustees	
	From Others	
	Donations:	
	Indian donations	
	Foreign contributions	
	Other Source of Income:	
	Tuition/school fees	
	Government aids/grants	
	Others, if any	
	COMPLIANCES REGISTRATION STATUS: Only write (Yes or No)	
19	Whether you have registered deeds or bylaws of your Institutions. <i>If yes please deliver a copy to us.</i>	
20	Whether you prepare financials (Balance sheet) of last financial year. <i>Please deliver latest copy with audit report)</i>	
21	Whether you prepared Annual reports. <i>Please deliver latest copy Annual report)</i>	
22	Whether you prepare minutes of meeting	

23	<p>Whether you maintain following registers and records:</p> <ul style="list-style-type: none"> ● Register of trustees. ● Register of Executive members ● Register of General members, Register of staff and teachers ● Register of Fixed assets. ● Register of loan and advances ● Register of related parties' transactions ● Attendance Register ● Wage Register ● Advance Register ● Stock register – Mess / books 	Yes	No	NA
24	<p>Whether you maintain following key accounting records in your premises or system:</p>	Yes	No	NA
	<ul style="list-style-type: none"> ● Day Book ● Vendors / supplier / service provider / bills and Ledgers ● Customer Legers ● Students Ledgers ● Staff and teacher's ledger ● Imprest ledgers ● Student fee receipts ● Bills of expenses and fixed assets purchased ● Gift deeds of any gift in kind ● Donation receipts ● Foreign contribution receipts ● KYC of Donors and Contributors ● KYC of Staff and teachers ● KYC of a other person stayed in the institution ● Police verification of staff and teachers 			
25	<p>Whether you maintain following key accounting records in your premises or system:</p>	Yes	NO	NA
	<ul style="list-style-type: none"> ● Annual Return & Periodically with Income Tax Department ● Annual Return with Registrar of Society ● Annual Return with Registrar of Companies-S-8 Co ● Annual Return Waqf Board ● Annual or Quarterly Return with FCRA ● Quarterly Tax Deduction of Source- Return ● Monthly ECR and Challan under EPF ● Monthly contribution History with ESIC 			

	<ul style="list-style-type: none"> ● Annual Return with Minimum Wage Act, 1948 ● Annual Return under payment of Wages Act, 1936 ● Annual Return under Payment of Bonus Act, 1960 ● Annual Return under the Sexual harassment at work place Act, 2000 			
26	Whether you have duly approved policy implemented in the Institution:	Yes	NO	NA
	<ul style="list-style-type: none"> ● Leave Policy- done ● Sexual Harassment Policy- done ● Overtime Policy ● CSR & sustainable Policy ● Internal Control Policy ● Travel Policy ● Student Fee relaxation policy (quota reservation) ● Performance review Policy ● Health & safety policy of student, teacher & staff ● Teacher & staff Retirement and welfare policy ● Education awareness & promotion policy ● Sports promotion policy ● Risk Management Policy 			
27	Whether you registered with National / state Minority educational institution, Ministry of Minority			
28	Whether you registered u/s section 12A of Income tax Act, 1961			
29	Whether you registered with section 80G of the Income Tax, Act, 1961			
30	Whether you registered at NGO Darpan Portal			
31	Whether you applied and registered with FCRA			
32	Whether you got prior approval for foreign contribution in special cases			
33	Whether you covered under Employees Provident Fund and Miscellaneous Provision Act, 1952			
34	Whether you covered under Employees State Insurance Act, 1948			
35	Whether you transferred premises in the name of Trust / society, if owned?			
36	Whether you have lease agreement duly executed and registered, if any immovable			

	property on lease or rented in the name of trust or society, if rented	
37	Whether you Sale deed duly executed, registered and stamped, if immovable property is owned	
38	Whether you have a Search report issued by Divisional Registrar of property, including the 20,50- or 100-year chain or record.	
39	Whether you registered your name under the Trade Mark Act, 1999	
40	Whether you registered with State shop and Establishment Act	
41	Did you get Khasra and Khatauni?	
42	Did you have approved Naqsa of building or premises constructed	
43	Did you get a valuation of the land and building?	
44	Did you get an inspection or verification letter from Patwari, Gram Pradhan or Kanoongo etc as a proof of the period of occupation of land or building.	
45	Whether you have proper lease agreement / NOC / permission from Waqf board with due payment of dues as on date. If no upto which date it was paid ?	
46	Whether you have bank accounts opened with any bank on the name of Institution, if yes please provide the number of accounts and bank details	
47	Whether any prosecution or case or complaint is pending before court / police station or any Government agency against instructions or its officials	
48	Whether an Institution has given financial assistance to other institutions by way of loan, contribution or donation or investment or otherwise.	
	SOCIAL WELFARE ACTIVITIES	<i>Only write (Yes or No)</i>
49	Whether you conduct the welfare activities like - help to poor, distribution of foods etc	
50	Whether you conduct the activities relating to medical support to general public	
51	Whether you participate in cultural, national or humanitarian activities	

52	Whether you participate in environmental protection activities like plantation or cleanness, awareness of water and energy protection	
53	Whether you participate in educational awareness programs activities	
54	Whether you participate in National Programs like 26 th January or 15 th August Celebration	
55	Whether you have sports activities for the students and participate in competitions organized by state or district level	
56	Whether you do research work on any related subjects in the Institution.	
	DIGITAL STRATEGIES	<i>Only write (Yes or No)</i>
57	Whether you use application relating to fees collections and generating periodically reports	
58	Whether you use application for payroll processing of staff	
59	Whether you use application for providing online education to students	
60	Whether you use online application for teachers and staffs training and developing teaching skills	
61	Whether you use application for accounting purposes yourself	
	CERTIFICATES & REQUIREMENTS	<i>Only write (Yes or No)</i>
62.	Whether you have these certificates:	
	Building Safety Certificate	
	Fire safety Certificate	
	Safe drinking water Certificate	
	Health and Sanitation Certificate	
63.	Whether you have space for :	
	Labs (Science, Math, Computer)	
	Library	
	Rooms for storing sports and cultural art equipments	
	Laundry available	
	Proper area for accommodation and fooding	
64.	Whether you have safety & medical facilities	

	Fire extinguisher	
	Security Cameras	
	First Aid kits and medicine box	
	Resting bed for ill	
65.	Proper facility for Disabled child like Disabled toilets, drinking water taps, a supporting staff	

Please Note:

The aforesaid information and details are being asked only for review and understand the compliance level of your esteemed institutions. We also hope that based on aforesaid documents, our report prepared, will explain the actual position to make a self- assessment of your esteemed Institution.

DOCUMENTS ENCLOSED:

- Copy of Incorporation certificate with MOA and AOA of section – 8 company
- Certificate of registration and by laws under the Societies Act
- Copy of Trust deed
- Copy of PAN
- Copy of ITR (Latest
- Copy of Return with Registrar of Societies
- Copy of balance sheet (Latest)
- Copy of Annual Report
- Copy of Sale Deed
- Copy of Lease Deed
- Copy of approval from Wakf Board
- Copy of register of Staff and Teachers
- Copy of FCRA Registration
- Copy of 12A license
- Copy of 80G license
- Copy of EPF / ESIC / Shop establishment registration
- Copy of Trade Mark
- Copy of Policies, if any
- Copy of Land transfer deed with entity

Thanking you
Prepared by

FCS. Naseem Ahmed
Fellow Member of Institute of Company Secretaries of India (ICSI) .

Fellow Member of Institute of Governance Professionals, (ICSA) Canada 
Qualified (PE-II) from Institute of Chartered Account of India (ICAI)

Law Graduate (LL.B), B.COM

Certificate Holder of Institute of Arbitration and Mediation

Why Rubaru Professionals is different ?

Multy Qualified
from World Level
Governance
Professionals
Institute of,
Canada ICSA,
along with
Highest
esteemed
Institute of India

More than 15
year industrial
and Non profit
organizational
Experience in
Finance,
Taxations,
Labour Laws,
Trade Mark,
FEMA, and FERA

Objective to
ensure 100
percent
Compliances
with developing
Governance
principles and
policies for long
term and
sustainable
business

Risk
Management &
support in fair
Decision Making
of Board

Corruption free
professional
practices i.e. 100
% honesty,
integrity and
transparency

FOR MORE DETAILS CONTACT:-

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