



# Management Audit Checklist

conducted for

## Universal Life

**Location**

1625 Beaudesert Beenleigh Rd, Tamborine QLD 4270, Australia

**Conducted on**

19 Nov 2018 08:01 AM

**Prepared by**

Fred Atore

**Completed on**

19 Nov 2018 08:08 AM

**Score**

78/85.0 - 91.76%

## Failed Responses

This section lists responses that were set as "failed responses" in the template used for this audit

Question	Response	Details
Is access to information regarding members limited to certain committee members?	No	Some employees have access to sensitive information like financing statements of the business.
Are all transactions recorded?	No	There were missing audits and discrepancies.
Is a process followed for approving expenditure?	No	
Is the annual operating budget regularly reviewed?	No	This is high risk. No records are found for this quarter.
Does the company have a risk management plan?	No	
Are risk assessments conducted when planning an event?	No	A quick safety inspection should be conducted to ensure that all preventive measures are in place.
Are all the risks identified?	No	Since no risk assessments were conducted, there were no records of any hazards or potential risks present in the workplace.

## Actions

#1. Please clarify on this. There were missing reports and some documents do not have approval.

Assignee: vince@universallife.com  
Priority: HIGH  
Due Date: 19 Nov 2018 08:02 AM  
Audit: Universal Life / 19 Nov 2018 / Fred Atore  
Linked to item: Is a process followed for approving expenditure?  
Status: To Do

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#2. Please refer to SafetyCulture's Risk Management Plan. I have seen awesome templates you can use.

Assignee: HR@universallife.com  
Priority: MEDIUM  
Due Date: 19 Nov 2018 08:03 AM  
Audit: Universal Life / 19 Nov 2018 / Fred Atore  
Linked to item: Does the company have a risk management plan?  
Status: To Do

## Audit - 78/85 91.77%

Question	Response	Details
<b>Administration</b>		Score (16/17) 94.12%
Does the organization have policies and procedures manual?	Yes	
Have these policies and procedures been developed specifically by the organization?	Yes	
Are members aware of the policies and procedures?	Yes	
Does the constitution include the following information		
Members	Yes	
Membership termination	Yes	
General meetings	Yes	
Finance	Yes	
Maintenance	Yes	
Affiliation	Yes	
Mission statement	Yes	
Management committee	Yes	
Banking	Yes	
Are there areas of the constitution that are known to require revision or amendment?	Yes	
Are management committee meetings held at intervals prescribed by the constitution? Is the annual report distributed to the members?	Yes	
Is access to information regarding members limited to certain committee members?	No	Some employees have access to sensitive information like financing statements of the business.
Has a sufficient amount of information been collected to create a membership database?	N/A	

Question	Response	Details
Are the computer files backed up on a regular and frequent basis (i.e. weekly/monthly) and the backup is stored in a different location to the main computer?	Yes	
Is inward and outward correspondence monitored by the committee?	Yes	
<b>Finance</b>		Score (5/8) 62.50%
Are all transactions recorded?	No	There were missing audits and discrepancies.
Is a financial report produced for management committee and general meetings?	Yes	
Is the banking done a weekly basis?	Yes	
Is a process followed for approving expenditure?	No	
Are multiple signatures required for money transactions?	Yes	
Does the company have an annual operating budget?	Yes	
Is the annual operating budget regularly reviewed?	No	This is high risk. No records are found for this quarter.
Does the company receive a government grant and can you find a copy of the resource agreement?	Yes	
<b>Insurance</b>		Score (7/7) 100.00%
Does the company have insurance cover for the following		
Amateur accident insurance?	Yes	
Public liability insurance?	Yes	
Directors and officers insurance?	Yes	
Event liability insurance?	Yes	
Contingency insurance?	Yes	
Are the members aware of the insurance coverage policies?	Yes	

Question	Response	Details
Is the insurance renewed annually?	Yes	
<b>Policy</b>		Score (8/8) 100.00%
Does the company have documented policies?	Yes	
Are these policies communicated/distributed to all employees?	Yes	
Are the policies reviewed and monitored annually?	Yes	
Are there policies on the following issues -		
Harassment	Yes	
Drugs	Yes	
Alcohol	Yes	
Coaching ethics	Yes	
Child protection	N/A	
Disabilities	Yes	
<b>Planning</b>		Score (8/9) 88.89%
Does the company have a strategic plan or development plan?	Yes	
Does the company have a risk management plan?	No	
Does the company have an operational plan?	Yes	
Does the company have a marketing plan?	Yes	
Are the members aware of these plans?	Yes	
Are the jobs completed in the time frame stated in the plans?	Yes	
Are there adequate resources to implement the plans?	Yes	
Does the company have an emergency evacuation plan?	Yes	

Question	Response	Details
Are the plans reviewed annually?	Yes	
<b>Personnel Management</b>		Score (4/4) 100.00%
Are the job descriptions accessible to the members?	Yes	
Has the company set appropriate codes of conduct?	Yes	
Do the committee members share responsibilities equally?	Yes	
Is there a procedure to handle feedback and complaints?	Yes	
<b>Contracts</b>		Score (6/6) 100.00%
Is the company involved in any of the following contracts?		
Employment	Yes	
Lease	Yes	
Membership	Yes	
Sponsorship	Yes	
Are the following agreements met?	Yes	
Are the employees aware of the following contracts and who they apply to?	Yes	
<b>Hazard Identification and Control</b>		Score (11/11) 100.00%
Are work health and safety inspections carried out on the following?		
Buildings	Yes	
Equipment	Yes	
Grounds	Yes	
Parking	Yes	
Are the work health and safety inspections carried out by qualified personnel?	Yes	
Is any maintenance required from the WHS inspection carried out within the time frame?	Yes	

Question	Response	Details
Does the company have a maintenance schedule?	Yes	
Is there a procedure for reporting maintenance needs?	Yes	
Does the company carry out internal safety checks on a regular basis?	Yes	
Are risk assessments created for events?	Yes	
Is there a procedure for reporting accidents, injuries, and incidents?	Yes	
<b>Event Management</b>		Score (10/12) 83.33%
Are risk assessments conducted when planning an event?	No	A quick safety inspection should be conducted to ensure that all preventive measures are in place.
Are all the risks identified?	No	Since no risk assessments were conducted, there were no records of any hazards or potential risks present in the workplace.
Have appropriate steps been taken to reduce risks?	Yes	
Are risk management procedures maintained and updated?	Yes	
Are there suitable first aid personnel on site during events?	Yes	
Has a contingency plan been documented?	Yes	
Are permits sought to hold certain events?	Yes	
Is the manager in charge of permitting the event?	Yes	
Is the feasibility and risk considered high priority when conducting an event?	Yes	
Is a budget prepared for all events?	Yes	
Does the company take responsibility for the participant's actions?	Yes	
Has a " Code of Behavior" been set?	Yes	



Question		Response	Details
<b>Legislation and Industry standards</b>			Score (3/3) 100.00%
Does the company comply with the government standard set?		Yes	
Is the company aware of the government standard?		Yes	
Are the employees aware of "Duty of Care"		Yes	
<b>Completion</b>			
Full Name and Signature of Inspector/Manager	Fred Atore		