



# Management Audit Checklist

Universal Life / 25 May 2023 / Fred Atore

**Complete**

Score	<b>91.77%</b>	Flagged items	<b>7</b>	Actions	<b>1</b>
<b>Client / Site</b>	Universal Life				
<b>Location</b>	Los Angeles, CA, USA (34.0522342, -118.2436849)				
<b>Conducted on</b>	25.05.2023 18:30 PST				
<b>Prepared by</b>	Fred Atore				

## Flagged items & Actions

7 flagged, 1 action

### Flagged items

7 flagged, 1 action

Audit / Administration

**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.

Audit / Finance

**Are all transactions recorded?**

No

There were missing audits and discrepancies.

Audit / Finance

**Is a process followed for approving expenditure?**

No

Audit / Finance

**Is the annual operating budget regularly reviewed?**

No

This is high risk. No records are found for this quarter.

Audit / Planning

**Does the company have a risk management plan?**

No

To Do | Assignee SafetyCulture Staff | Priority Low | Due 01.06.2023 20:01 PST | Created by SafetyCulture Staff

Create a risk management plan.

Audit / Event Management

**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.

Audit / Event Management

**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.

### Other actions

0 actions

**Audit**

7 flagged, 1 action, 91.77%

**Administration**

1 flagged, 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

**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**

Yes

committee?

## Finance

3 flagged, 62.5%

**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

## Insurance

100%

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

**Is the insurance renewed annually?**

Yes

## Policy

100%

**Does the company have documented policies?**

Yes

**Are these policies communicated/distributed to all**

Yes

employees?

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

## Planning

1 flagged, 1 action, 88.89%

Does the company have a strategic plan or development plan?

Yes

Does the company have a risk management plan?

No

To Do | Assignee SafetyCulture Staff | Priority Low | Due 01.06.2023 20:01 PST | Created by S  
afetyCulture Staff

Create a risk management plan.

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

[Emergency Evacuation Plan.pdf](#)

Are the plans reviewed annually?

Yes

## Personnel Management

100%

Are the job descriptions accessible to the members?

Yes

<b>Has the company set appropriate codes of conduct?</b>	Yes
<b>Do the committee members share responsibilities equally?</b>	Yes
<b>Is there a procedure to handle feedback and complaints?</b>	Yes

## Contracts

100%

Is the company involved in any of the following contracts?

<b>Employment</b>	Yes
<b>Lease</b>	Yes
<b>Membership</b>	Yes
<b>Sponsorship</b>	Yes
<b>Are the following agreements met?</b>	Yes
<b>Are the employees aware of the following contracts and who they apply to?</b>	Yes

## Hazard Identification and Control

100%

Are work health and safety inspections carried out on the following?

<b>Buildings</b>	Yes
<b>Equipment</b>	Yes
<b>Grounds</b>	Yes
<b>Parking</b>	Yes
<b>Are the work health and safety inspections carried out by qualified personnel?</b>	Yes
<b>Is any maintenance required from the WHS inspection carried out within the time frame?</b>	Yes
<b>Does the company have a maintenance schedule?</b>	Yes
<b>Is there a procedure for reporting maintenance needs?</b>	Yes
<b>Does the company carry out internal safety checks on a regular basis?</b>	Yes
<b>Are risk assessments created for events?</b>	Yes

**Is there a procedure for reporting accidents, injuries, and incidents?**

Yes

## Event Management

2 flagged, 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

## Legislation and Industry standards

100%

**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

## Completion

**Full Name and Signature of Inspector/Manager**



Fred Atore  
25.05.2023 20:03 PST

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## Media summary

[Emergency Evacuation Plan.pdf](#)