

# aCkTiF Solutions

## Corporate Governance **Risk Management Compliance**

### Questionnaire

*Have you addressed the following issues?*

#### **A: / Employee Policies & Procedures**

<b>Item</b>	<b>Yes</b>	<b>No</b>	<b>Comments</b>
Pre Employment Screening			
Pre Business Screening			
Employee Disclosure Policy			
Employee Contracts			
Employee Position Descriptions			
Employee Induction Program			
Employee Code of Conduct/Practice including sanctions			

#### **B: / Fraud Control Policy**

<b>Item</b>	<b>Yes</b>	<b>No</b>	<b>Comments</b>
Organisational Fraud Control Policy			
Fraud Definition			
Defined Reportable Conduct			
Fraud Reporting Guidelines			
Local Fraud Action Plan			
Segregation of Duties			
Defined Responsibilities			
Internal Controls			
EFT or Cheque Payment			
Signatories / Authorisation			
Fraud Indicator Check List			
Cross-check Credit References for Account Customers			
Disclosure “ <i>Hotline</i> ” Reporting Mechanism for Employees			
Secure Disposal of Confidential Material – Shredders etc			
Audit Committee			

#### **C: / Employee Training**

<b>Item</b>	<b>Yes</b>	<b>No</b>	<b>Comments</b>
Induction Program			
Code of Conduct			
Fraud Control Prevention & Awareness			

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## D: / Information Technology

Item	Yes	No	Comments
Audit of software and licences – current and authorised			
Audit of IT Access Levels & Passwords			
Internet and E-Mail Access / Usage Policies			
Off-site Storage of “back-ups”			

## E: / Manuals, Forms & Checklists

Item	Yes	No	Comments
Fraud Control Plan			
Employee Induction Manual			
Corporate Governance Checklist			
Risk Assessment Checklist			
Compliance Checklist			

**This Questionnaire has been prepared with particular reference, but not limited to the obligations contained in the following:**

1.	Australian Standard AS8000 –AS8004 <ul style="list-style-type: none"><li>i. Good Governance Principles AS8000-2003</li><li>ii. Fraud and Corruption Control AS8001-2003</li><li>iii. Organisational Codes of Conduct AS8002-2003</li><li>iv. Corporate Social Responsibility AS8003-2003</li><li>v. Whistle Blower Protection Programs for Entities AS8004-2003</li></ul>
2.	Corporate Law Reform Program (“CLERP 9”).
3.	Australian Stock Exchange Corporate Governance Council - “Principles of Good Governance and Best Practice Recommendations” March 2003.
4.	Australian Audit Standard AUS 210
5.	Corporations Act 2001 (Commonwealth)

Your details:

Name

Position

Company

Telephone

Email address

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