



# Legal Compliance Audit Checklist

Ri Beet Inc. - HQ / Amita Iseut / 19 Jan 2024

**Complete**

Score	84.5 / 86 (98.26%)	Flagged items	1	Actions	1
<b>Client / Site</b>	Ri Beet Inc. - HQ				
<b>Location</b>	California, USA (36.778261, -119.4179324)				
<b>Conducted on</b>	19 Jan 2024 09:26 PST				
<b>Prepared by</b>	Amita Iseut				

**Flagged items & Actions**

1 flagged, 1 action

Flagged items

1 flagged, 1 action

Legal Compliance Audit / Corporations and Governance

**Review Board of Directors and committee minutes**

Non-Compliant

Minutes have been forgotten lately.

**To do** | Priority: Medium | Due: 26 Jan 2024 09:31 PST | Created by: SafetyCulture Staff

Investigate why meeting minutes are not being documented

Other actions

0 actions

<b>Legal Compliance Audit</b>	1 flagged, 1 action, 84.5 / 86 (98.26%)
Form of Organization	
<b>If a form of organization has not been selected, review and discuss advantages/disadvantages of various forms of organization (e.g., corporation, limited liability company)</b>	N/A
Corporations and Governance	1 flagged, 1 action, 6.5 / 8 (81.25%)
<b>Review Articles/Certificate of Incorporation and Bylaws</b>	Compliant
<b>Review Board of Directors committee structure and committee charters</b>	Partially Compliant
Structure and committee charts are reviewed regularly except last year when it was missed out on.	
<b>Review Board of Directors and committee minutes</b>	Non-Compliant
Minutes have been forgotten lately.	
<b>To do</b>   Priority: Medium   Due: 26 Jan 2024 09:31 PST   Created by: SafetyCulture Staff	
Investigate why meeting minutes are not being documented	
<b>Review corporate structure, including affiliates and joint ventures</b>	Compliant
<b>Verify that state corporate filings, including annual reports, have been made</b>	Compliant
<b>Review whether corporate registration and/or filings should be undertaken in other jurisdictions</b>	Compliant
<b>Review governance-related policies, including conflicts and ethics</b>	Compliant
<b>Review insurance coverage</b>	Compliant
Federal Tax Law Compliance	11 / 11 (100%)
<b>Tax-exempt status, including IRS determination letter</b>	Compliant
<b>Form 990 compliance and preparation for 2010 filing requirements</b>	Compliant
<b>Communications with the IRS</b>	Compliant
<b>Political campaign activities</b>	Compliant

<b>Lobbying</b>	Compliant
<b>Unrelated business income</b>	Compliant
<b>Related organizations and their activities</b>	Compliant
<b>Excess benefit transactions</b>	Compliant
<b>Rebuttable presumption</b>	Compliant
<b>Automatic excess benefits</b>	Compliant
<b>Public vs. private foundation status</b>	Compliant
Other Federal Regulatory Compliance	8 / 8 (100%)
<b>Foreign Corrupt Practices Act</b>	Compliant
<b>U.S. trade controls</b>	Compliant
<b>Export controls</b>	Compliant
<b>Economic sanctions</b>	Compliant
<b>Anti-terrorism</b>	Compliant
<b>Government grants and contracts</b>	Compliant
<b>Lobbying registration and disclosure; Byrd Amendment likely referenced in grants</b>	Compliant
<b>Foreign bank accounts</b>	Compliant
State and Local Tax	4 / 4 (100%)
<b>State tax-exempt determination letter and tax filings</b>	Compliant
<b>Unrelated business income</b>	Compliant
<b>Sales, privilege, excise, franchise taxes</b>	Compliant
<b>Employment taxes and workers compensation</b>	Compliant
Fundraising and Access to Capital	5 / 5 (100%)
<b>State fundraising registration and reporting</b>	Compliant
<b>Planned gift activities -- charitable gift annuities, split</b>	Compliant

<b>interest trusts</b>	
<b>Internet solicitations</b>	Compliant
<b>Federal tax law substantiation requirements</b>	Compliant
<b>Access to loans and equity investments, including program related investments</b>	Compliant
Website and Internet	9 / 9 (100%)
<b>Review website; review procedures for content monitoring</b>	Compliant
<b>Determine whether domain names infringe on another organization's trademarks or servicemarks</b>	Compliant
<b>Use of trademarks</b>	Compliant
<b>Third party content</b>	Compliant
<b>Consents for use of content and website links</b>	Compliant
<b>Privacy policy and confidential information</b>	Compliant
<b>Charitable solicitations</b>	Compliant
<b>Compliance with IRS lobbying and political campaign activity rules</b>	Compliant
<b>Review policy for links to/from other sites</b>	Compliant
Intellectual Property	6 / 6 (100%)
<b>Verify status of trademarks, trade names, domain names, and copyrights</b>	Compliant
<b>Determine whether other proprietary information should be protected</b>	Compliant
<b>Review policies and third party agreements relating to non-disclosure of confidential information and ownership of intellectual property created by employees and contractors</b>	Compliant
<b>Review procedures for maintaining confidentiality of trade secrets</b>	Compliant
<b>Review licenses, contracts and other agreements relating to intellectual property and computer software to which the organization is a party or a third party beneficiary</b>	Compliant

<b>Grants likely to have IP provisions that would include provisions re allocation of rights and requirements for protection of rights.</b>	Compliant
Document Retention Policies	4 / 4 (100%)
<b>Should the organization have a retention policy?</b>	Compliant
<b>Review existing policy for both hard copy and electronic documents</b>	Compliant
<b>Check grants for document retention requirements and then check policy for conformance.</b>	Compliant
<b>Verify the existence of a policy against altering, destroying, or concealing documents in the event of an anticipated or known government audit or investigation</b>	Compliant
Communications	1 / 1 (100%)
<b>Review policies re public statements and speaking to the media</b>	Compliant
Human Resources and Employee Benefits	16 / 16 (100%)
<b>Review employee manuals, handbooks and policies</b>	Compliant
<b>Review whether individuals are properly classified as employees and independent contractors</b>	Compliant
<b>Review compliance with federal requirements for documentation of citizenship of employees</b>	Compliant
<b>Review compliance with federal and state laws prohibiting various forms of discrimination</b>	Compliant
<b>Review job application form, standard job posting and recruiting materials</b>	Compliant
<b>Review employment contracts and letter agreements</b>	Compliant
<b>Review procedures and practices for use of temporary workers</b>	Compliant
<b>Review procedures and practices for terminating employees</b>	Compliant
<b>Review FLSA compliance issues</b>	Compliant
<b>Review compliance with Family and Medical Leave Act</b>	Compliant

<b>Review existing tax qualified benefit plans</b>	Compliant
<b>Review non-qualified deferred compensation plans</b>	Compliant
<b>Review fringe benefits</b>	Compliant
<b>Review severance plans or policies</b>	Compliant
<b>Verify filing of all IRS/DOL forms</b>	Compliant
<b>Review recordkeeping for EEO/AAP compliance</b>	Compliant
Leases	3 / 3 (100%)
<b>If organization planning to lease space, guidance on key issues</b>	Compliant
<b>If organization has entered into a lease, review to determine compliance with its provisions</b>	Compliant
<b>Consider option provisions and dates for exercise</b>	Compliant
Contracts	5 / 5 (100%)
<b>Review significant contracts and schedule notification of contract renewal dates</b>	Compliant
<b>Verify compliance with representations and warranties</b>	Compliant
<b>Determine policy for internal contract review, external review by counsel, execution of contracts</b>	Compliant
<b>Determine whether there are contracts with related parties and whether there was compliance with procedures for disclosing conflicts of interest</b>	Compliant
<b>Determine whether there are business relationships not covered by a written agreement</b>	Compliant
Financial	4 / 4 (100%)
<b>Review internal/external audit procedures</b>	Compliant
<b>Review management letter for the last three independent audit cycles</b>	Compliant
<b>Review internal control procedures</b>	Compliant
<b>Review audited financial statements for last three cycles</b>	Compliant

## Lawsuits

**Existing or threatened lawsuits**

N/A

Legal Barriers

2 / 2 (100%)

**Legal barriers that affect day-to-day operations**

Compliant

**Consider other legal barriers, including barriers to growth and success**

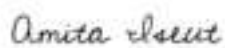
Compliant

Completion

### Comments/Recommendations

Discuss why meeting minutes are not being recorded. It is still important to have them.

### Full Name and Signature of Auditor



Amita Iseut  
19 Jan 2024 12:08 PST