



Internal Control Checklist

Raul Kilback

Complete

Score	22 / 24 (91.67%)	Flagged items	2	Actions	1
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Prepared by

Raul Kilback

Conducted on

04.11.2024 09:00 PST

Location

1017 NE Seward Ave, Topeka, KS
66616, USA
(39.0586584, -95.6556767)

Flagged items & Actions

2 flagged, 1 action

Flagged items

2 flagged, 1 action

Operational Efficiency

Are workflows standardized to minimize redundancy and inefficiency?

No

Warehouse workflows have already been submitted for review but have not been finalized. We will prioritize the process of disposing used boxes through reselling to reuse facilities.

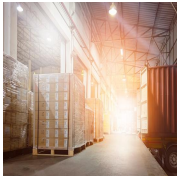


Photo 1

IT Security and Controls

Are backups of critical data performed regularly?

No

Data backup for the previous has not been done since Mary Smith has been on maternity leave.

To do | Assignee: Latte Norwich | Priority: High | Due: 06.11.2024 15:48 PST | Created by: SafetyCulture Staff

Backup of Critical Data

Hi Norwich, kindly do the October data backup by Wednesday and do the backups for the succeeding months until Mary comes back from her maternity leave

Other actions

0 actions

Governance and Leadership	4 / 4 (100%)
Are roles and responsibilities for internal controls clearly defined and documented?	Yes
Does the board or senior management actively oversee internal control processes?	Yes
Are ethical standards and policies communicated across all levels of the organization? For reference, please see our company's internal ethical principles. Topeka Manufacturing Co (Ethical Standards and Policies).pdf	Yes
Is there a documented process for reviewing and updating internal controls regularly?	Yes

Financial Reporting and Accuracy

4 / 4 (100%)

Are financial statements reviewed for accuracy and completeness before finalization?

Yes

Are reconciliations of accounts performed regularly?

Yes

Is access to financial systems restricted to authorized personnel?

Yes

Are periodic audits conducted to verify financial data integrity?

Yes

Operational Efficiency

1 flagged, 3 / 4 (75%)

Are workflows standardized to minimize redundancy and inefficiency?

No

Warehouse workflows have already been submitted for review but have not been finalized. We will prioritize the process of disposing used boxes through reselling to reuse facilities.



Photo 1

Are performance metrics monitored and evaluated against objectives?

Yes

Is there a process for identifying and addressing bottlenecks in operations?

Yes

Are technology and tools regularly updated to improve operational efficiency?

Yes

Risk Management	4 / 4 (100%)
Are risk assessments conducted at least annually?	Yes
Are controls in place to mitigate high-priority risks?	Yes
Is a contingency plan in place to address unexpected risks? For reference, please see attached BCP. Topeka Manufacturing Co (Business Contingency Plan).pdf	Yes
Are employees trained on identifying and managing risks?	Yes

Compliance and Regulatory Adherence

4 / 4 (100%)

Are all applicable regulations and standards identified and documented?

Yes

Are compliance reviews conducted regularly?

Yes

Is there a reporting mechanism for non-compliance incidents?

Yes

Are compliance policies updated in response to regulatory changes?

Yes

IT Security and Controls

1 flagged, 1 action, 3 / 4 (75%)

Are IT systems protected with up-to-date security measures?

Yes

Are backups of critical data performed regularly?

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Backup of Critical Data

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Are access controls implemented to safeguard sensitive information?

Yes

Is there a cyber security response plan in place?

Yes

Sign-off

Internal Control Review Facilitator Name

Alysa Harvey

Alysa Harvey
22.11.2024 15:49 PST

Designation of the Facilitator

Chief Risk Officer

Summary of Review Findings and Comments (attach file if needed)

Hi Raul, thank you for working on this. See my attached feedback. Thanks.

[Alysa Harvey \(Internal Control Feedback\).pdf](#)

Date of Next Review

06.01.2025 09:00 PST

Media summary



Photo 1

File summary

[Topeka Manufacturing Co \(Ethical Standards and Policies\).pdf](#)

[Topeka Manufacturing Co \(Business Contingency Plan\).pdf](#)

[Alysa Harvey \(Internal Control Feedback\).pdf](#)