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"In the new age of philanthropy, donors expect charities to be models of accountability and transparency...Internal controls: Guidance

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for Private,  
Government, and  
Nonprofit Entities is a  
must read for CEOs  
and CFOs who want  
to gain a clear  
understanding of cost-  
effective ways to  
implement the  
controls necessary to  
protect their  
organizations." -  
Elizabeth Myatt, Chief  
Executive Officer,

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"If you were looking for the silver bullet to understand and audit internal controls, you just found it. This book will prove invaluable in planning the audit internal controls, you just found it. This book will prove invaluable in planning the audit

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because it specifically covers COSO and the new AICPA risk assessment auditing standards. " - George I. Victor, CPA, Partner in Charge of Quality Control, Holtz Rubenstein Reminick LLP "Author Lyn Graham gives practical, easy-to-understand guidance for documenting

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internal controls. I recommend this book for both my clients and our staff. It is very useful for auditors and clients alike." - David E. Adams, CPA, Partner, Geffen Mesher & Company

"This book is an essential guide...and provides very practical advice about what to do (and what

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not to do) in making an investment in internal controls. The author's extensive experience as an audit firm partner and standard-setter are evident in the details provided. I also recommend this book to teaches of auditing and systems, as it provides a useful background to...how

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internal controls really  
should work in today's  
business

environment." - Jean

C. Bedard, CPA, PhD,

Timothy B. Harbert

Professor of

Accountancy, Bentley

College

This book proposes a

Throughput Model

that draws from

computer science,

economic and

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psychology literatures to model perceptual and judgmental processes whereby biometrics might be used to reduce risks to a company's internal control. The book also discusses challenges in employing biometric technology and pinpoints avenues for future research.



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Biometrics is the examination of measurable biological characteristics. In organizational security, biometrics refers to tools that rely on measurable physical and behavioral characteristics that can be automatically checked. The

Throughput Modeling

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process enables organizations to employ trust systems in assisting transactions that are motivated by ethical considerations.

Auditing systems are by far based on trust. Concepts of ethics and trust are aided by the employment of biometrics technology, which

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enhances the transactions between individuals and organizations in an internal control environment. Issues pertaining to sustainability are also examined with the assistance of the Throughput Model. Finally, this book examines the potential use of an

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internal control  
biometrics system to  
lessen threats to  
identification and  
verification  
procedures. This book  
proposes an  
"Throughput Model  
framework" that  
considers both  
exposure and  
information risks as  
fundamental factors in  
classifying

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applications and organizational processes that might be candidates for the type of internal control biometrics system that biometrics can offer.

Audit Engagement Strategy (Driving Audit Value, Vol. III) the best practice guide for implementing a value-

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added internal audit engagement strategy Follow the strategic principles and become successful in achieving the objectives of the audit engagements. Apply the fundamental success principles described in this book and your audit engagements will generate the desired

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added value. drs.

Hans Beumer has a Master degree in Business Economics and was educated and trained as Dutch CPA, CIA, CISA, CRMA and CFE.

Hans is a long-time Internal Audit, External Audit and Finance Management professional. During his 28 years' career,

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he was CAE for 16 years at the head offices of global operating companies, worked 6 years in public accounting and held other positions such as CFO. During the last 10 years, he published 4 books and 8 articles on the topic of best practice internal auditing.

The GAAS Guide

*Page 16/202*



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describes the  
Template  
engagement  
standards, practices  
and procedures in use  
today--including  
Statements on  
Auditing Standards  
(SASs) and their  
Interpretations,  
Statements on  
Standards for  
Attestation  
Engagements  
(SSAEs) and their

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Interpretations, and  
Statements on  
Standards on  
Accounting and  
Review Services  
(SSARSs) and their  
Interpretations and  
their relationship to  
the PCAOB's  
standards.

Concepts,  
Methodologies, Tools  
and Applications  
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Internal Control Over

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*and making contract  
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each standard along  
with dozens of  
detailed examples •  
Discussion of the  
Federal Acquisition  
Regulation and  
significant regulatory  
issues that affect*

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Standards*

*As Tribal Gaming  
technology evolves  
in the United States,  
Tribal Councils,  
Tribal Casino  
Executives, Tribal  
Gaming Authorities,  
and Tribal IT  
Operations will  
experience changes  
in the Minimum*

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*Internal Control*

*Standards for*

*Information*

*Technology (MICS*

*IT) requirements.*

*This book offers a*

*proactive approach*

*in understanding IT*

*Standards, Tribal IT*

*Organizational*

*Models, and*

*preparedness for*

*Tribal gaming IT*



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*regulatory changes.*

*The Author's goal for this book is to strengthen Tribal long-term economic development and investment in their IT environment (governance, "peopleware", hardware, software, and "knowledgeware").*

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*This comprehensive volume - containing 27 chapters and contributions from six continents - presents and discusses key principles, perspectives, and practices of social learning in the context of sustainability. Social*

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*learning is explored  
from a range of  
fields challenged by  
sustainability  
including:  
organizational  
learning,  
environmental  
management and  
corporate social  
responsibility; multi-  
stakeholder  
governance;*

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*education, learning  
and educational  
psychology; multiple  
land-use and  
integrated rural  
development; and  
consumerism and  
critical consumer  
education. An entire  
section of the book  
is devoted to a  
number of reflective  
case studies of*

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*people,  
organizations and  
communities using  
forms of social  
learning in moving  
towards  
sustainability.*

*Fed. gov't. grant  
awards to state and  
local gov'ts. and  
nonprofit org. have  
risen from \$7 billion  
in 1960 to \$500*

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*billion in FY 2009.  
The auditing of fed.  
awards is a key  
accountability  
mechanism over the  
proper use of fed.  
funding. An audit  
report in June 2007  
raised significant  
concerns about the  
quality of single  
audits and made  
recommend. aimed*

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*at improving the quality of those audits. This report:*

- (1) determines whether the fed. oversight structure is adequate to monitor the efficiency and effectiveness of the single audit process;*
- (2) identify potential changes that can be made to the single*

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*audit process and relevant guidance to improve accountability for fed. grant awards; and (3) determine the current status of actions being taken to address recommend. Illus. Documentation and Testing Under the New COSO*



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*Framework*

*Electronic Health  
Records*

*An Audit and  
Internal Control  
Guide*

*Opportunities Exist  
to Improve the  
Single Audit Process  
and Oversight*

*Audit and  
Accounting Manual  
The Principles and*

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*Practice of Auditing  
Government*

*Auditing Standards -  
2018 Revision*

***This book  
offers a  
comprehensive,  
up-to-date  
presentation of  
the tasks and  
challenges  
facing internal  
audit. It***

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***presents the  
Audit Roadmap,  
the process  
model of  
internal  
auditing  
developed at  
SAP® which  
describes all  
stages of an  
audit. Coverage  
provides  
information on***

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**issues such as  
the**

**identification  
of audit**

**fields, the**

**annual audit**

**planning, the**

**organization**

**and execution**

**of audits as**

**well as**

**reporting and**

**follow-up. The**

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**handbook also discusses management-related subjects.**

**Separate chapters are dedicated to special topics like IT or SOX audits.**

**"This multi-volume reference**

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**examines**

**critical issues  
and emerging  
trends in  
global  
business, with  
topics ranging  
from managing  
new information  
technology in  
global business  
operations to  
ethics and**

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**communication s  
strategies" - -Pro**

**vided by  
publisher.**

**Discusses the  
control  
deficiencies  
that**

**collectively  
represented the  
material**

**weakness in the  
FDIC's internal**

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***control over  
financial  
reporting  
related to its  
loss-share  
estimation  
process. It  
also discusses  
other internal  
control issues  
identified  
during a 2009  
audit. Although***



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*not all of  
these issues  
were discussed  
in the 2009  
report on the  
results of  
their 2009  
financial  
statement  
audit, they all  
warrant FDIC  
management's  
attention and*

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**correction.**

***This report  
also provides  
14***

***recommendations  
to address the  
internal  
control issues  
identified  
during the 2009  
audit. The  
report also  
provides the***

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*status of  
recommendations  
from prior  
audits made to  
address  
previously  
identified  
internal  
control issues.  
Illus. This is  
a print on  
demand edition  
of an*

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*important, hard-to-find report. This report on the uses of and accountability for ARRA funds in selected states and localities focuses on the \$48 billion provided to the Dept. of*

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***Transport.  
(DoT) to invest  
in transport.  
infrastructure.  
It also  
examines the  
quality of  
recipients'  
reports about  
the jobs  
created and  
retained with  
ARRA transport.***

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***funds. This report addresses the: (1) status, use, and outcomes of ARRA transport. funding nationwide and in selected states; (2) actions taken by federal,***

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*state, and  
other agencies  
to monitor and  
ensure  
accountability  
for those  
funds; (3)  
changes in the  
quality of jobs  
data reported  
by ARRA  
recipients of  
transport.*

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***funds over  
time; and (4)  
challenges  
faced and  
lessons learned  
from DoT and  
recipients.  
Charts and  
tables. This is  
a print on  
demand report.  
Re-Thinking  
Organic Food***



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*and Farming in  
a Changing  
World  
Internal  
Controls  
SOC for Supply  
Chain  
Audit  
Engagement  
Strategy  
(Driving Audit  
Value, Vol.  
III): The Best*

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Strategy Guide  
for Maximising  
the Added Value  
of the Internal  
Audit  
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Practices in  
the New  
Paradigm  
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**Guidance on  
Designing  
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Control Plans  
Could Enhance  
Oversight of  
Disaster  
Funding :  
Report to  
Congressional  
Committees ;  
Contact, Beryl  
H. Davis**

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**Internal and external forces such as globalization, global interconnectivity, automation, and other technological advancements are making today's supply chains highly sophisticated and complex. For organizations that produce,**

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**manufacture or  
distribute products,  
there's often a high  
level of  
interdependence and  
connectivity with  
their suppliers and  
their customers and  
business partners.  
Although the  
interconnectedness  
of these  
organizations can be**

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**beneficial (increased revenues, expanded market opportunities, and cost reduction), the ability of organizations to meet their goals is often increasingly dependent on events, processes, and controls that are not visible and are often**

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**beyond their control**

**– such as a**

**supplier's controls.**

**That's why the**

**demand for**

**transparency in**

**supply chains is now**

**higher than ever**

**before, and why this**

**is the perfect time for**

**you to help**

**organizations assess**

**their supply chain**

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**risks, evaluate the system controls within their manufacturing, production, or distribution systems, and communicate their supply chain management efforts to those with whom they do business. Accountants and financial managers**



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**can also increase the  
credibility of the  
supply chain  
information  
communicated by the  
organization by  
providing an opinion  
on the  
organization's  
supply chain efforts.  
This guide enables  
the accountant and  
financial manager to**

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**examine and report  
on the description of  
a system for  
manufacturing,  
producing and  
distributing goods as  
well as on the  
controls within that  
system using a  
dynamic, proactive,  
and agile approach.  
It will show how to  
conduct this**

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**examination in  
Template**

**accordance with the  
attestation  
standards. The guide  
may also be helpful  
when providing  
readiness  
assessments to  
clients, who are not  
quite ready for an  
examination level  
service and need help  
to get there. The**

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**guide also includes excerpts from the two distinct, but complementary sets of criteria developed by the AICPA to assist practitioners with SOC for Supply Chain engagements: the description criteria and the 2017 trust services criteria.**

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**Dear readers,  
Although it is well-  
known that  
confidentiality,  
integrity and  
availability are high  
level objectives of  
information security,  
much of the attention  
in the security arena  
has been devoted to  
the confidentiality  
and availability**

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**aspects of security.**

**IFIP TC-II Working  
Group 11.5 has been  
charged with  
exploring the area of  
the integrity  
objective within  
information security  
and the relationship  
between integrity in  
information systems  
and the overall  
internal control**

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**systems that are  
established in  
organizations to  
support the  
corporate  
governance codes. In  
this collection you  
will not only find the  
papers that have  
been presented  
during the first  
working conference  
dedicated to the**

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**subject (section A)  
but also some of the  
papers that have  
formed the basis for  
the current activities  
of this working  
group (section B).  
Finally some  
information about  
IFIP TC-II and its  
working groups is  
included (section C).  
This first working**



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**conference is the start for an ongoing dialog between the information security specialists and the internal control specialists so that both may work more effectively together to assist in creating effective business systems in the future.**

**Deliver increased**

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**value by embedding  
quality into internal  
audit activities**

**Internal Audit  
Quality: Developing  
a Quality Assurance  
and Improvement  
Program is a  
comprehensive and  
authoritative guide  
to better practice  
internal auditing.**

**Written by a global**

*Page 66/202*

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**expert in audit**

**quality, this guide is  
the first to provide  
complete coverage of  
the elements that  
comprise an effective  
internal audit quality  
assurance and  
improvement  
program. Readers  
will find practical  
solutions for  
monitoring and**

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measuring internal  
audit performance  
drawn from The  
IIA's International  
Standards for the  
Professional Practice  
of Internal Auditing,  
and complemented  
by advice and case  
studies from leading  
audit practitioners  
from five different  
continents. Major

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**corporate and  
financial collapses  
over the past decade  
have challenged the  
value of internal  
audit. With an  
increased focus on  
internal audit's role  
in good governance,  
management is  
increasingly  
demanding that  
internal audit**

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**provides assurance of the quality of its own activities. The IIA standards provide a framework for audit quality in the form of mandatory guidance . Recent research indicates that the majority of internal audit functions do not fully comply with**

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**the standards and, as a result, are not servicing the needs of their organizations as well as they might.**

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**Quality offers a roadmap to internal audit quality, providing readers the guidance they need to: Embed quality into all**

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**elements of internal  
audit from strategic  
and operational  
planning down to  
day-to-day tasks**

**Create well-defined  
internal audit  
programs and  
procedures**

**Independently self-  
assess internal audit  
quality and  
performance**



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**Conform with the IIA standards and better practice**  
**Provide assurance over internal audit efficiency and effectiveness**  
**Deliver value by meeting stakeholder expectations**  
**As a key component of good governance, internal audit is on the rise.**

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**The days of  
retrospective,  
compliance-focused  
auditing is a thing of  
the past.**

**Organizations expect  
more of internal  
audit, and many  
internal audit  
activities are  
accepting the  
challenge. Rather  
than relying on audit**

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**supervision and external assessments, modern auditors are embedding quality into audit activities to create effective programs. For the auditor looking to distinguish themselves as leading edge, Internal Audit Quality provides the guidance that**

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**enables the right  
work, at the right  
time, in the right  
way.**

**This key resource is  
often referred to as  
the "Green Book".**

**Federal  
policymakers and  
program managers  
are continually  
seeking ways to  
better achieve**

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**agencies' missions and program results, in other words, they are seeking ways to improve accountability. A key factor in helping achieve such outcomes and minimize operational problems is to implement appropriate internal**

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**control. Effective internal control also helps in managing change to cope with shifting environments and evolving demands and priorities. As programs change and as agencies strive to improve operational processes and implement new**

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**technological  
developments,  
management must  
continually assess  
and evaluate its  
internal control to  
assure that the  
control activities  
being used are  
effective and  
updated when  
necessary. The  
Federal Managers'**

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**Financial Integrity Act of 1982 (FMFIA) requires the General Accounting Office (GAO) to issue standards for internal control in government. The standards provide the overall framework for establishing and maintaining internal**



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**control and for  
identifying and  
addressing major  
performance and  
management  
challenges, and areas  
at greatest risk of  
fraud, waste, abuse  
and mismanagement.  
This report explores  
the Five Standards  
for Internal Control  
as identified by GAO**

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**for policymakers and  
program managers: -  
Control  
Environment - Risk  
Assessment - Control  
Activities -  
Information and  
Communications -  
Monitoring These  
standards apply to  
all aspects of an  
agency's operations:  
programmatic,**

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**financial, and  
compliance.**

**However, they are  
not intended to limit  
or interfere with  
duly granted  
authority related to  
developing  
legislation, rule-  
making, or other  
discretionary policy-  
making in an agency.  
These standards**

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**provide a general framework. In implementing these standards, management is responsible for developing the detailed policies, procedures, and practices to fit their agency's operations and to ensure that they are built into**

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**and an integral part  
of operations. Other  
related products:**

**Government**

**Auditing Standards:**

**2011 Revision**

**(Yellow Book)**

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Revenue Options can  
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and Economic  
Outlook: 2016 to  
2026 can be found**

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**Management Report  
Guidance for  
Private,  
Government, and  
Nonprofit Entities  
Internal Audit  
Quality  
Tribal Gaming  
Minimum Internal  
Controls for**

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Relief

Integrity and  
Internal Control in  
Information Systems  
Internal Controls  
Policies and  
Procedures

Praise for Internal  
Control Strategies A  
Mid to Small



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"Internal Control Strategies is an excellent field guide for the implementation and maintenance of efficient and effective internal control systems.

The book provides a practical approach to interpreting

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guidance from oversight agencies and integrating it with industry practice in a real-world environment. This handbook is an essential tool for managers and professionals going through the day-to-day struggle of managing auditor

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expectations and  
Template  
permitting business  
to proceed in the  
most efficient  
manner." -Michael  
Rodriguez, former  
senior manager of  
finance, Qualcomm  
Incorporated  
"Internal Control  
Strategies is the  
clearest path  
forward for middle-

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market SEC  
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registrants and their  
independent  
registered public  
accounting firms as  
they streamline the  
SOX 404  
compliance process  
in 2008 and  
beyond." -Stephen  
G. Austin, MBA,  
CPA, Managing  
Firm

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Partner, Swenson  
Advisors, LLP,

Regional PCAOB  
Accounting Firm

"Clearly written and  
practical, Internal  
Control Strategies is  
a must-read for  
every chief audit,  
finance, or  
compliance  
executive." -Jeff

Miller, Partner-in-

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Charge, Business  
Risk Services, Squar,  
Milner, Peterson,  
Miranda &  
Williamson, LLP "As  
a CFO of small to  
mid-sized publicly  
traded and privately  
held companies, one  
is usually faced with  
the challenge of  
developing and  
implementing the

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right levels of internal controls and compliance within the restrictions of limited financial and human resources. Internal Control Strategies presents the relevant topics in a clear and concise manner, allowing the reader

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Accountability for Funds Provided by the Disaster Relief Appropriations Act, directed federal agencies to provide a description of incremental risks they identified for Sandy disaster relief funding as well as an internal control

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strategy for mitigating these risks. Each of the 19 agencies responsible for the 61 programs receiving funds under the act submitted an internal control plan with specific program details using a template



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provided by OMB. Agencies' plans ranged from providing most of the required information to not providing any information on certain programs. For example, each of the 61 programs was required to

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the oversight of Sandy disaster funding, addressing internal controls, improper payments protocol, and unexpended grant funds. However, several weaknesses limited its effectiveness in providing a

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comprehensive oversight mechanism for these funds. Specifically, the guidance (1) focused on the identification of incremental risks without adequate linkages to demonstrate that

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known risks had been adequately addressed, (2) provided agencies with significant flexibility without requirements for documentation or criteria for claiming exceptions, and (3) resulted in certain agencies developing

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their internal control plans at the same time that funds needed to be quickly distributed. GAO found that OMB guidance: 1) Asked agencies to focus on mitigating incremental risk, so the resulting plans did not provide

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comprehensive information on all known risks and internal controls that may affect the programs that received funding. Linking the additional risks identified in the plans to the complete set of

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known risks and related internal controls can help agency management and Congress to provide effective oversight of the funds. 2) Allowed agencies significant flexibility in deciding whether they needed to



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design additional internal controls, and did not provide specific criteria for agencies to claim exemptions from requirements. GAO found that some agencies did not discuss certain additional internal controls in their

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plans, despite having identified incremental risks. 3) Did not require agencies to document their rationales for not including additional internal controls in their plans. As a result, it was not apparent from the

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internal control plans the extent to which the agencies considered the need for these additional internal controls. 4) Was developed and issued in a short time frame in response to the act. By the time that the agencies submitted

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their internal control plans on March 31, 2013, they reported that they had already obligated approximately \$4.6 billion. Standard internal control guidance for disaster funding could help ensure

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fundamental cash  
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of cash flows using  
both the direct and  
indirect method of  
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information.

Identify when investing and financing cash flows can be reported net.

Identify cash flow transactions as operating, investing, or financing.

Indicate how to present and disclose



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