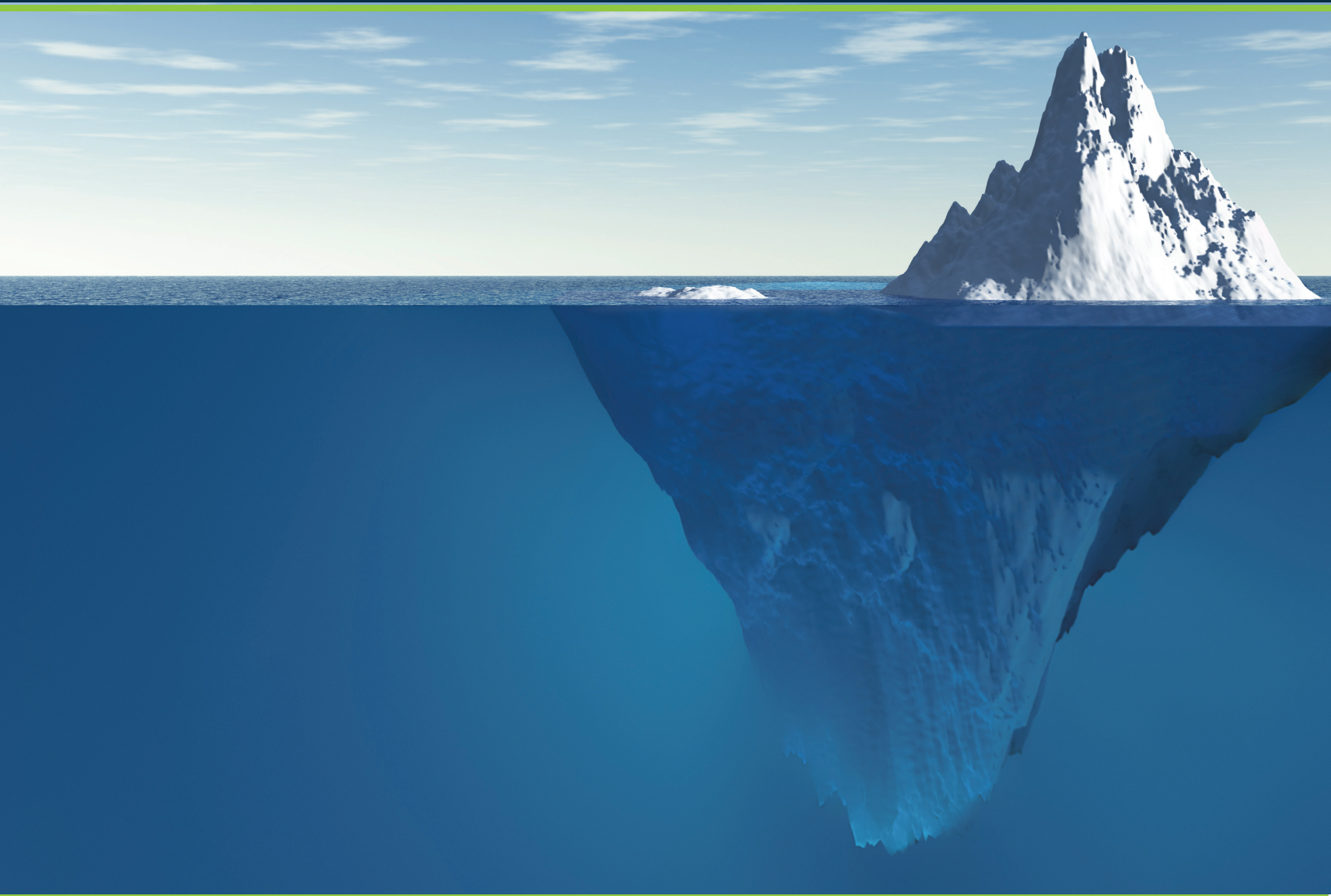


INTERNAL CONTROL ADVISORY SERVICES

TOOLS TO MITIGATE RISK FROM ALL PERSPECTIVES



**Proactive services to help
business clients achieve
their organizational goals.**

INTERNAL CONTROL ADVISORY SERVICES

A sound system of internal controls is essential to managing the risks that confront an organization on a daily basis. Effective internal control helps mitigate the risk that errors or fraud affecting an organization's finances may occur, and increase the likelihood that errors or fraud will be detected timely if they do occur. For many organizations, internal controls can make the difference between achieving objectives and missing them.

THE PROBLEM

Many organizations approach the management of internal controls on an ad hoc basis, reacting to gaps as they become evident, rather than proactively identifying and mitigating gaps before they lead to problems. A formal internal control assessment process helps ensure that all gaps are identified and mitigated, not just the ones that happen to get noticed.

QUESTIONS FOR YOU

- Are you interested in optimizing your control environment?
- Would stakeholders value feedback regarding the maturity of your control environment and opportunities to improve?
- Are you interested in reducing redundant, manual and other non-value activities existing within your control environment?
- Are you comfortable that the landscape of fraud risks are appropriately identified and mitigated?
- Have you considered evaluating if the controls implemented are operating as designed?

WHO NEEDS THESE SERVICES?

Dopkins Risk Advisory professionals have extensive experience in providing consulting services to clients from a wide range of industries, including manufacturing, not-for-profits, and health care. Dopkins professionals have assisted several public companies with SOX implementation, and have led similar projects for private companies interested in achieving SOX-like internal control environments.

INTERNAL CONTROL ADVISORY SERVICES

OUR SOLUTION

Dopkins offers a variety of services to help organizations assess, design, and implement internal control systems. Our services can include any or all of the following phases of our proven methodology:

PHASE I – Preparation of Entity Wide Risk Assessment

- Work with management to identify significant risks and process areas.
- Facilitate fraud risk assessment.
- Identify relevant IT applications.

PHASE II – Assess Control Design Effectiveness

- Document the process and identify key controls.
- Assist in remediation of any internal control deficiencies.

PHASE III – Assess Control Operating Effectiveness

- Perform testing to determine if controls are working effectively.
- Assist in correcting any control failures.

PHASE IV – Monitor Ongoing Effectiveness

- Identify training needs and develop a plan/performance ongoing testing of controls.

BENEFITS TO OUR CLIENTS

As an organization changes and grows, its internal controls must also evolve. Our process leverages best in class industry resources to ensure that your internal controls continue to be designed and operating effectively. We can design an internal control assessment to your specifications. Whether it's performing any entity-wide evaluation of internal controls or evaluating specific processes, our solution will be tailored to meet your needs.

YOUR INTERNAL CONTROL ADVISORY SERVICES TEAM



Brendan P. Brady, CPA, CVA

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Brendan dedicates his practice to working closely with clients to provide solutions for operational improvements. He leads assurance engagements as well as internal control projects in a wide range of industries, with particular emphasis on manufacturing and family owned businesses. He also serves as a leader in the Firm's employee benefit plan audit practice.



James A. Krupinski, CPA

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Jim spends a significant amount of his time on risk and internal control assessments, audit management as well as developing and implementing control gap remediation plans. He serves clients from diverse breadth of industries, including not for profit, healthcare, group self-insurers, construction, service, distribution and manufacturing sectors.



Andrew J. Reading, CPA

Partner, Assurance Services
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Andrew concentrates his practice on audit engagements also developed a specialization in internal controls and acquisitions. He has also built a niche practice with emphasis on employee benefit plans. He serves clients in the healthcare, cooperative, not-for-profit and manufacturing industry sectors.



INDUSTRIES SERVED:

- Auto Dealerships
- Charities and Tax Exempt Organizations
- Construction
- Employee Benefit Plans
- Financial Services
- Family Owned Businesses
- Food and Agri-Business
- Health Care/Medical Industry
- Insurance Companies
- Information Technology Security
- Life Sciences
- Manufacturing/Wholesale Distribution
- Real Estate Developers
- Wineries, Craft Beer and Spirits