

INTERNAL CONTROL DOCUMENTATION

Entity:	XXXX A Savings Bank XXXX
Subsidiary or Division:	
Balance Sheet Date:	

Prepared:	
Approved:	
Partner:	

General

This form assists us in:

- Gaining an understanding of internal control at the entity level to plan the audit and to determine the nature, timing and extent of our audit procedures;
- Identifying and evaluating the design of the entity-level controls important to the audit;
- Determining whether the entity-level controls important to the audit have been implemented;
- Assessing the effectiveness of internal control at the entity level; and
- Summarizing the procedures performed and information considered in identifying the risks of material misstatement due to fraud.

We also are required to obtain information about internal control at the individual application/process level to plan the audit (e.g., make our combined inherent and control risk assessments) and to determine the nature, timing, and extent of our audit procedures.

The information we obtain and document in this form also is useful in evaluating entity-level controls in connection with engagements to report on internal control over financial reporting (e.g., Section 404 of the Sarbanes-Oxley Act of 2002, FDICIA).

4. The form includes a Table of Contents that has hyperlinks to each applicable section. Also, hyperlinks back to the Table of Contents or to other specific sections within Parts 1 and 2 are included within the form. After using a hyperlink, you may return to the point of origin by selecting the back arrow key on the Microsoft Word toolbar. These hyperlinks provide the engagement team the ability to copy, paste, and edit information from the detailed sections within Parts 1 and 2 to the Conclusion on the Effectiveness of Internal Control at the Entity Level and the Summary of Observations and Identified Fraud Risks. In addition, the hyperlinks will facilitate review of the information in the form.

Instructions for Completing the Internal Control Document

1. Many sections of the form require the engagement team to document observations based on a list of factors to consider. It is not necessary to provide a response for each factor. Rather, the list of factors is intended to be thought-provoking so that the engagement team can apply its collective knowledge of the entity in tailoring an appropriate response for the applicable section.
2. We document our consideration of the components of internal control at the entity level in Part 1 of the form. The responses provided should include relevant observations (whether positive or negative) based on the Factors to Consider. Accordingly, a response of "none" or "not applicable" is not appropriate for this section within Part 1. We also identify the entity-level controls important to the audit and determine whether those controls have been properly designed and implemented in Part 1. Responses within Part 1 should be sufficient to support our Conclusion on the Effectiveness of Internal Control at the Entity Level. Any response within Part 1 that is indicative of a potential fraud risk also is included in the Summary of Observations and Identified Fraud Risks.
3. Part 2 is used to document sources of information available specific to our identification of the risks of material misstatement due to fraud. Responses in Part 2 that are indicative of a potential fraud risk are included in the Summary of Observations and Identified Fraud Risks.

Internal Control Document
3

Contents

[Conclusion on the Effectiveness of Internal Control at the Entity Level](#)

[Summary of Observations and Identified Fraud Risks](#)

[Summary of Identified Fraud Risks and Planned Responses](#)

Part 1 – [Understanding Entity-Level Controls](#)

1.1 [Control Environment](#)

- a. [Integrity and Ethical Values, and the Behavior of Key Executives](#)
- b. [Management's Control Consciousness and Operating Style](#)
- c. [Management's Commitment to Competence](#)
- d. [Board of Directors and/or Audit Committee, Participation in Governance and Oversight](#)
- e. [Organizational Structure and Assignment of Authority and Responsibility](#)
- f. [Human Resource Policies and Practices](#)

1.2 [Risk Assessment](#)

1.3 [Control Activities, Information and Communication](#)

1.4 [Monitoring](#)

Part 2 – [Identifying Potential Risks of Material Misstatement Due to Fraud](#)

2.1 [Engagement Team Discussion\(s\)](#)

2.2 [Risk Factors Relating to Fraudulent Financial Reporting](#)

2.3 [Risk Factors Relating to Misappropriation of Assets](#)

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Rosina Ehmman



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Table of Contents Documenting Internal Controls Sample

1. Understanding the eBook Documenting Internal Controls Sample
 - The Rise of Digital Reading Documenting Internal Controls Sample
 - Advantages of eBooks Over Traditional Books
2. Identifying Documenting Internal Controls Sample
 - Exploring Different Genres
 - Considering Fiction vs. Non-Fiction
 - Determining Your Reading Goals
3. Choosing the Right eBook Platform
 - Popular eBook Platforms
 - Features to Look for in an Documenting Internal Controls Sample
 - User-Friendly Interface
4. Exploring eBook Recommendations from Documenting Internal Controls Sample
 - Personalized Recommendations
 - Documenting Internal Controls Sample User Reviews and Ratings
 - Documenting Internal Controls Sample and Bestseller Lists
5. Accessing Documenting Internal Controls Sample Free and Paid eBooks
 - Documenting Internal Controls Sample Public Domain eBooks
 - Documenting Internal Controls Sample eBook Subscription Services

- Documenting Internal Controls Sample Budget-Friendly Options
- 6. Navigating Documenting Internal Controls Sample eBook Formats
 - ePub, PDF, MOBI, and More
 - Documenting Internal Controls Sample Compatibility with Devices
 - Documenting Internal Controls Sample Enhanced eBook Features
- 7. Enhancing Your Reading Experience
 - Adjustable Fonts and Text Sizes of Documenting Internal Controls Sample
 - Highlighting and Note-Taking Documenting Internal Controls Sample
 - Interactive Elements Documenting Internal Controls Sample
- 8. Staying Engaged with Documenting Internal Controls Sample
 - Joining Online Reading Communities
 - Participating in Virtual Book Clubs
 - Following Authors and Publishers Documenting Internal Controls Sample
- 9. Balancing eBooks and Physical Books Documenting Internal Controls Sample
 - Benefits of a Digital Library
 - Creating a Diverse Reading Collection Documenting Internal Controls Sample
- 10. Overcoming Reading Challenges
 - Dealing with Digital Eye Strain
 - Minimizing Distractions
 - Managing Screen Time
- 11. Cultivating a Reading Routine Documenting Internal Controls Sample
 - Setting Reading Goals Documenting Internal Controls Sample
 - Carving Out Dedicated Reading Time
- 12. Sourcing Reliable Information of Documenting Internal Controls Sample
 - Fact-Checking eBook Content of Documenting Internal Controls Sample
 - Distinguishing Credible Sources
- 13. Promoting Lifelong Learning
 - Utilizing eBooks for Skill Development
 - Exploring Educational eBooks
- 14. Embracing eBook Trends

- Integration of Multimedia Elements
- Interactive and Gamified eBooks

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