



THE ROBERTS COMPANY, LLC

Compliance Services: Accounting, Operations & IT Processes

3394 Holly Oak Lane, Escondido, CA 92027

TEL: 760.550.2160 * FAX 760.839.2160

mailto:robertputrus@therobertsglobal.com

http://www.therobertsglobal.com/

“Signature Authority” Policy, Procedure & Compliance

Project Summary

Company Operations: Design, Manufacturing and Distribution

❑ The Challenge

A worldwide company mandated the development of a corporate “Signature Authorization” policy and procedure for a consistent implementation to all of its subsidiaries.

When committing the company resources, it requires that all company personnel must adhere to the published authorization policy and procedure.

❑ Project Approach to the Policy Development of the “Signature Authority” Requirement

The Roberts Company was hired to design and document policies and procedures for committing the company to legal obligations, financial commitments, and to conduct business transactions.

1. Identify, review and standardize the company types of requisitions.
2. Develop and document company wide authorization for the most common types of commitments and expenditures.
3. Classify the check signers into groups with approval and authority level.

3. Identify the required documents evidencing the compliance with the company “Signature Authorization” policy and procedure.
4. Identify the differences between the “as is” and “to be” “Signature Authorization” policy and procedure.
5. Recommend the “Signature Authorization” approval guidelines for the company CEO, President, Executive Directors, CFO and other senior management personnel.
6. Document and recommend the transaction type approvals for the company Board of Directors.
7. Design and document the required authorization prior to ordering goods and services.
8. Seek management approval for designed and recommended “Signature Authorization” policy.

❑ The Outcome

Establish a company wide “Signature Authorization” policy and procedure for the approval and authorization requirements necessary to commit company funds, obligations, contracts, and assets.

- ✓ Must you comply with and maintain Sarbanes-Oxley Act Section 404?
- ✓ Are you concerned about the Internal Controls within your company?
- ✓ Does your IT function support your company business processes & objectives?
- ✓ Does your company need Fraud Protection Programs?

Our Services Include:

- ❑ Sarbanes-Oxley Act- Section 404 Compliance
- ❑ Corporate Governance and Entity Level Controls
- ❑ Corporate Governance Compliance
- ❑ IT General Controls
- ❑ Fraud Deterrence and Prevention Services
- ❑ ID Theft – Red Flags Rules
- ❑ Information Technology: Policy Development & Compliance
- ❑ Operations Processes: Policy Development & Compliance
- ❑ Accounting Processes: Policy Development & Compliance
- ❑ Corporate Governance: Policy Development & Compliance
- ❑ Application Due Diligence and Testing
- ❑ Gramm-Leach-Bliley Act
- ❑ SAS 70 & SAS 94
- ❑ ISO 17799/27000 Compliance Services