



THE ROBERTS COMPANY, LLC

Compliance Services: IT & Business Processes

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Manufacturing and Distribution Company

CASE STUDY

Product Safety & Testing Program-Internal Controls

❑ The Challenge

The Company recognized that it must have a formal, clear, explicit, and documented product safety program plan outlining the specific steps, procedures, and techniques to be followed in conducting product safety activity during the product design, manufacturing and marketing processes to achieve product safety goals.

❑ Product Safety & Testing Program

The Roberts Company was hired to evaluate and assess the effectiveness of the Company-wide responsibilities in establishing and maintaining policy, procedure, and adequate internal control over *Product Safety and Testing* for the Company.

- ✓ Developed the Company governance for product safety with explicit and documented assignment of individual responsibility for conducting product safety activity.
- ✓ Documented the Company “AS IS” procedures creating a specialized template.
- ✓ *The Roberts Company* developed the process policy that is consistent and in compliance with the U.S. and international product safety related directives or initiatives.
- ✓ Adopted COSO framework in documenting the key controls.

❑ Product Safety and Testing Approach

1. Established specific Control Points within the Company product safety program, where the next steps for the product to move to production will NOT occur without senior management approval.
2. Established company wide responsibility, accountability and ownership to product safety and testing.
3. Ensured that the Company has a clear, explicit, and documented product safety program plan outlining the specific steps, procedures, and techniques to be followed in conducting product safety activity during product design, manufacturing and marketing processes to achieve product safety goals.
4. Ensured that the established product safety of the Company complies with all applicable US and International Regulatory requirements and Industry standards for quality and safety.

❑ The Outcome

1. Recommended implementation steps of product safety and testing.
2. Developed Product Safety policy.
3. Developed Product Safety Procedures.
4. Developed Risk Control Matrix.
5. Performed test of key controls of product safety.

- ✓ 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
- ❑ 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
- ❑ IT Planning and Assessment