

Customizable Finance Procedures

The Finance Policies and Procedures manual includes 36 prewritten financial policies and procedures templates. Most of these procedures have accompanying forms and records. All procedures are in easily editable Microsoft Word format so that you can easily customize them as per your needs.

Financial Control and Compliance

The finance procedures are based on standard best practice and form the structure of a strong internal control system to help compliance with financial regulations and/or practices like Sarbanes-Oxley, GAAP, PCAOB, SEC etc.

Organized into Five Broad Finance Topics

The procedures and forms are organized into five common financial topics. Where applicable, each procedure is followed by one or more supporting forms.

Complete List of Finance Policies and Procedures:

Finance Administration Procedures

FA1000 Financial Objectives

- 1.0 Financial Objectives Plan
- 2.0 Creating Specific Financial Objectives
- 3.0 Balancing Financial Objectives
- 4.0 Approval and Monitoring of Financial Objectives
- 5.0 Improving Financial Objectives

Forms/Records

FA1000-1 Financial Objectives

FA1010 Management Responsibility

- 1.0 Management Commitment to the Financial Management System
- 2.0 Financial Policy
- 3.0 Planning
- 4.0 Responsibilities, Authority, and Communication
- 5.0 Management Review

Forms/Records

FA1010-1 Sample Management Review Agenda

FA1020 Continuity Planning

- 1.0 Continuity Planning
- 2.0 Implementing the Continuity Plan
- 3.0 Testing the Continuity Plan
- 4.0 Maintaining and Updating the Plan

Forms/Records

FA1020-1 Continuity Plan Worksheet

FA1030 Document Control

- 1.0 Procedure Format
- 2.0 Work Instructions
- 3.0 Forms
- 4.0 Document Approval
- 5.0 Temporary Document Changes
- 6.0 Document Revisions
- 7.0 External Documents
- 8.0 Document Distribution

Forms/Records

- FA1030-1 Document Request
- FA1030-2 Document Control Database

FA1040 Record Control

- 1.0 Identification of Records
- 2.0 Record Generation
- 3.0 Recordkeeping and Traceability
- 4.0 Record Retention and Long-Term Storage
- 5.0 Record Maintenance

Forms/Records

- FA1040-1 Sample Master File Guide Index
- FA1040-2 List of Finance Records
- FA1040-3 Record Retention Guidelines

FA1050 Annual Stockholders' Meetings

- 1.0 Structure of Corporate Authority
- 2.0 Meeting Notification
- 3.0 Conduction Stockholders' Meetings
- 4.0 Stockholder Meeting Review
- 5.0 Stockholder Meeting Improvements

Forms/Records

- FA1050-1 Notice of Shareholders' Meeting
- FA1050-2 Authorization of Proxy to Vote Shares
- FA1050-3 Minutes of Shareholders' Meeting

FA1060 Board of Directors' Meetings

- 1.0 Preparing for the Board of Directors' Meeting
- 2.0 Board Meeting Procedure
- 3.0 Board Meeting Process Review
- 4.0 Board Meeting Process Improvements

Forms/Records

- FA1060-1 Minutes of Board of Directors' Meeting (Sample)

Procedures for Raising Capital

RC1000 Business Plan

- 1.0 Business Plan – Background
- 2.0 Developing the Business Plan
- 3.0 Reviewing and Finalizing the Business Plan
- 4.0 Monitoring the Business Plan

Forms/Records

RC1000-1 Business Plan

RC1010 Capital Plan

- 1.0 Capital Plan – Background
- 2.0 Preparing the Capital Plan
- 3.0 Monitoring the Capital Plan
- 4.0 Improving the Capital Plan

Forms/Records

RC1010-1 Capital Analysis
RC1010-2 Capital Plan Worksheet
RC1010-3 Capital Plan

RC1020 Valuation

- 1.0 Valuation Plan
- 2.0 Valuation
- 3.0 Valuation Review
- 4.0 Reaching Valuation Targets

Forms/Records

RC1020-1 Valuation Plan
RC1020-2 Valuation Improvement Plan
RC1020-3 Valuation History

RC1030 Bank Loans

- 1.0 Assessing Capital Requirements
- 2.0 Preparing the Loan Application
- 3.0 Applying for the Loan
- 4.0 Closing the Loan
- 5.0 Loan Servicing and Reporting
- 6.0 Loan Analysis

Forms/Records

RC1030-1 Loan Application Checklist

RC1040 Stock Offerings

- 1.0 Stock Offering Plan
- 2.0 Executing the Stock Offering
- 3.0 Reviewing the Stock Offering Process

4.0 Improving the Stock Offering Process

Forms/Records

RC1040-1 Stock Offering Plan

RC1050 Debt and Investment

- 1.0 Debt and Investment Plan
- 2.0 Debt and Investment Activities
- 3.0 Debt and Investment Review
- 4.0 Debt and Investment Plan Improvement

Forms/Records

RC1050-1 Debt and Investment Plan
RC1050-2 Debt and Investment Action Log

RC1060 Asset Acquisition

- 1.0 Asset Acquisition Planning
- 2.0 Asset Acquisition
- 3.0 Asset Acquisition Review
- 4.0 Improving the Asset Acquisition Process

Forms/Records

RC1060-1 Asset Acquisition Criteria
RC1060-2 Asset Acquisition Request/Worksheet

RC1070 Leasing

- 1.0 Leasing Plan
- 2.0 Leasing Evaluations
- 3.0 Reviewing Lease Evaluations
- 4.0 Improving the Lease Evaluation Process

Forms/Records

RC1070-1 Lease/Buy Financial Analysis

Treasury Management Procedures

TM1000 Working Capital

- 1.0 Working Capital Plan
- 2.0 Working Capital Performance
- 3.0 Reviewing the Working Capital Plan
- 4.0 Improving the Working Capital Plan

Forms/Records

TM1000-1 Working Capital Plan

TM1010 Cash Management

- 1.0 Cash Management Plan
- 2.0 Cash Management

- 3.0 Reviewing the Cash Management Plan
- 4.0 Improving the Cash Management Plan

Forms/Records

TM1010-1 Cash Management Plan

TM1020 Inventory Management

- 1.0 Inventory Management Overview
- 2.0 Inventory Management Planning
- 3.0 Inventory Management
- 4.0 Reviewing the Inventory Management Plan
- 5.0 Improving Inventory Management

Forms/Records

TM1020-1 Inventory Management Plan

TM1020-2 Inventory Management Results

TM1030 Related Party Transactions

- 1.0 Related Party Transactions Plan
- 2.0 Related Party Transactions
- 3.0 Related Party Transactions Plan Review
- 4.0 Improving the Related Party Transaction Plan

Forms/Records

TM1030-1 Related Party Transaction Policy & Conflict Of Interest Questionnaire

TM1030-2 Related Party Transaction Questionnaire Log

TM1040 Foreign Exchange Management

- 1.0 Foreign Exchange Management Plan
- 2.0 Foreign Exchange Management
- 3.0 Reviewing Foreign Exchange Management
- 4.0 Improving Foreign Exchange Management

Forms/Records

TM1040-1 Foreign Exchange Management Plan

TM1040-2 Foreign Exchange Management Results

TM1050 Managing Bank Relationships

- 1.0 Bank Relationship Plan
- 2.0 Managing Banking Relationships
- 3.0 Reviewing Banking Relationships
- 4.0 Improving Management of Bank Relationships

Forms/Records

TM1050-1 Banking Relationship Contact Management Log

TM1050-2 Bank Meeting Agenda/Minutes

TM1060 Merchant Accounts

- 1.0 Merchant Account Plan
- 2.0 Merchant Account Comparisons
- 3.0 Merchant Account Comparison Review
- 4.0 Merchant Account Improvements

Forms/Records

TM1060-1 Merchant Account Review

TM1070 Letters of Credit

- 1.0 Letter of Credit Plan
- 2.0 Executing a Letter of Credit as a Buyer
- 3.0 Executing a Letter of Credit as a Seller
- 4.0 Reviewing the Letter of Credit Process
- 5.0 Improving the Letter of Credit Process

Forms/Records

TM1070-1 Letter of Credit Checklist

Procedures for Financial Statements

FS1000 Financial Forecasting

- 1.0 Financial Forecasting Plan
- 2.0 Collecting Information for Financial Forecasts
- 3.0 Creating Financial Forecasts
- 4.0 Reviewing and Completing Financial Forecasts
- 5.0 Financial Re-Forecasting
- 6.0 Improving the Financial Forecasting Process

Forms/Records

FS1000-1 Financial Forecast Checklist

FS1010 Financial Reporting

- 1.0 Financial Statement Reporting Plan
- 2.0 Annual Report to Stockholders
- 3.0 Financial Statements for Business Operations
- 4.0 Additional Financial Statement Reporting
- 5.0 Public Company Quarterly Reporting
- 6.0 Public Company Annual Reporting
- 7.0 Improving the Financial Statement Reporting Process

Forms/Records

FS1010-1 Financial Report Checklist

FS1020 Financial Statement Analysis

- 1.0 Financial Statement Analysis Plan
- 2.0 Collect and Calculate Financial Data
- 3.0 Financial Statement Analysis and Reporting

4.0 Improving the Financial Statement Analysis Process

Forms/Records

FS1020-1 Financial Analysis Plan

FS1030 Financial Management Review

- 1.0 Financial Management Plan
- 2.0 Conducting Financial Management Meetings
- 3.0 Reviewing Financial Management
- 4.0 Improving Financial Management

Forms/Records

FS1030-1 Financial Management Plan
FS1030-2 Financial Management Meeting Agenda

FS1040 Financial Restatements

- 1.0 Financial Restatement Plan
- 2.0 Financial Restatements
- 3.0 Reviewing the Financial Restatement Process
- 4.0 Improving the Financial Restatement Process

Forms/Records

FS1040-1 Financial Restatement Checklist

FS1050 Financial Information Release

- 1.0 Financial Statement Release Plan
- 2.0 Financial Information Release
- 3.0 Financial Information Release Review

Forms/Records

FS1050-1 Financial Information Release Log
FS1050-2 Financial Information Request

Internal Control Procedures

AC1000 Sarbanes-Oxley Compliance

- 1.0 Sarbanes-Oxley Act of 2002 (Sox) – Background
- 2.0 SOX Audit Committee Plan
- 3.0 SOX Auditor Plan
- 4.0 Corporate Responsibility Plan
- 5.0 Internal Control System Plan
- 6.0 Completing the SOX Checklist
- 7.0 Improving SOX Compliance

Forms/Records

AC1000-1 Sarbanes-Oxley Compliance Checklist

AC1010 SAS 70 Compliance

- 1.0 SAS 70 Compliance Plan
- 2.0 Creating and Completing a SAS 70 Compliance Checklist
- 3.0 SAS 70 Compliance Checklist Review
- 4.0 SAS 70 Compliance Checklist Improvements

Forms/Records

AC1010-1 SAS 70 Compliance Checklist

AC1020 Risk Assessment

- 1.0 Form a Risk Management Committee
- 2.0 Identify Hazards/Threats
- 3.0 Identify Threat Impact and Likelihood
- 4.0 Determine Risk Levels
- 5.0 Rank Threats
- 6.0 Risk Assessment Review

Forms/Records

AC1020-1 Risk Assessment / Management Worksheet

AC1020-2 Sample Chart of Accounts

AC1020-3 Internal Control Checklist

AC1030 Risk Management

- 1.0 Developing a Risk Management System
- 2.0 Implementing the Risk Management System
- 3.0 Evaluating the Risk Management System
- 4.0 Adapting the Risk Management System

AC1040 External Auditing

- 1.0 External Audits – Background
- 2.0 Planning for an External Audit
- 3.0 Supporting the External Audit
- 4.0 Reviewing External Audit Results
- 5.0 External Audit Follow-Up

Forms/Records

AC1040-1 Corrective Action Plan

AC1050 Internal Auditing

- 1.0 Internal Audit Background
- 2.0 Internal Audit Planning
- 3.0 Conducting the Internal Audit
- 4.0 Internal Audit Reporting
- 5.0 Internal Audit Follow-Up

Forms/Records

AC1050-1 Audit Schedule

AC1050-2 Audit Plan

AC1050-3 Audit Checklist
AC1050-4 Audit Opinion
AC1050-5 Final Audit Report

AC1060 Corrective Action

1.0 Nonconformity Reports
2.0 Initiating Corrective Action
3.0 Investigating the Cause
4.0 Taking Corrective Action
5.0 Preventing Recurrence
6.0 Verification and Closure

Forms/Records

AC1060-1 Nonconformity Report
AC1060-2 Corrective Action Request
AC1060-3 Corrective Action Log