

Business Process Survey

Operational Functions

1. Do you have a written business plan?
2. Are the appropriate parts of that plan conveyed to employees, customers, and vendors?
3. Do you have a marketing plan?
4. Do you have an annual budget?
5. Do you have a rolling forecast?
6. Are you putting your time into high-value activities?
7. Do you receive executive scoreboard information from your managers and departments?
8. Do you have a reliable sounding board for executive-level ideas?
9. Do you have a written disaster recovery plan covering all operations?
10. Have you ever tested that disaster recovery plan?
11. Do you have a succession plan in place for all key personnel?
12. Do you have “Key Man” insurance?
13. Do you feel your company and operations are adequately insured?
14. Do you review your corporate insurance annually?
15. Do you hold internal audits over key functions?
16. Have you ever filed a corporate bankruptcy?
17. Have you ever had a DEQ or EPA audit or inspection?
18. Have you prepared information or premises for a DEQ or EPA inspection?
19. Do you prepare corporate documentation regularly throughout the year?
20. Do you have outside members on your board of directors?
21. Do you regard your corporate attorney as a key business partner?
22. Do you regard your corporate CPA as a key business partner?

Financial Functions

23. When do you receive financial statements?
24. Are you confident those statements are reliable?
25. Do you have a reliable method to provide interim reports to convert from financial to tax reporting with enough time to react before taxes are due?
26. Are you current with corporate income taxes?
27. Are you current with payroll taxes?
28. Do your financial statements support your borrowing needs?
29. Does your cash flow adequately cover your needs and allow you to pay vendors on time?
30. Do you have a reasonable profit compared to industry standards?
31. Do feel overhead expenses are appropriate?
32. Are your accounting functions appropriately spread over multiple personnel?
33. Do you have an annual audit or review prepared?
34. Have you ever received a qualified audit?



Information Technology Functions

35. Do spam and viruses interfere with operations?
36. As part of your disaster recovery plan, do you have a goal recovery time?
37. Have you tested and successfully met your goal recovery time?
38. How often do you have unplanned downtime on your systems and network?
39. Is your system response time appropriate for all personnel?
40. Do you complete a ROI calculation for all IT purchases?
41. Do you keep a system change log?
42. Is system access information documented and stored securely?
43. Is your system security strong?
44. Do you have a service pack schedule in place?
45. Do you have an information retention and destruction policy in place?
46. Do you have a rotating replacement policy on hardware?
47. Do you have system alerts and notification processes in place?
48. Do you have redundant backup hardware, procedures, and personnel?
49. Do you have appropriate safeguards in place to prevent the loading of rogue software and programs?
50. Do you have a corporate policy in place regarding the loading, accessing, and sending of rogue software, graphics, and programs?

Marketing and Sales Functions

51. Have you established a consistent, distinctive, and ever-present corporate brand?
52. Do you conduct a consistent marketing program?
53. Do you conduct a public relations program?
54. Do you participate in industry organizations?
55. Do you survey customer satisfaction consistently?
56. Does your accounting and information system adequately calculate commissions?
57. Do you have sales measurement statistics?
58. Do you have marketing program effectiveness measurement?
59. Do you use a Customer Relationship Management system?
60. Do you have appropriate Internet presence?
61. Have you identified “cash cow” products?
62. Do you have a product innovation process?

Purchasing and Production Functions

63. Do you carry inventory?
64. Do you think inventory levels are appropriate?
65. Do you have obsolete inventory in storage?
66. Do you utilize a requisition system?
67. Do you utilize a purchase order system?
68. Do you have adequate security over high-value inventory?
69. Do you do cycle counting or periodic inventory counts?
70. Do you obtain W-9 information from vendors before making payments?
71. Do you verify W-9 information annually?

Confidential



Personnel and Human Resource Functions

72. Do you have a Human Resource director or department?
73. Do you have an HR system?
74. Do you have a corporate employee policy manual?
75. Do you have current state and federal labor law information?
76. Do you outsource your payroll preparation?
77. Does your payroll contractor ever fail to meet deadlines?
78. Do you have adequate labor law information posted?
79. Do your employee benefits adequately support retention of personnel?
80. Have you ever requested or received a fire inspection of your premises?
81. Have you ever requested or received an OSHA inspection of your premises?
82. Are your SUTA and Workers Compensation rates appropriate for your industry?
83. Have you ever had an OSHA violation filed against you?
84. Do you have appropriate policies in place regarding harassment and discrimination?
85. Do you have appropriate policies in place for verifying social security numbers and I-9 information?

Research and Development Functions

86. Do you monitor economic and industry changes?
87. Do you budget for research and development?