

Strategy for the SOX Audit



1-Day Intense Training Workshop aimed at Information Technology Departments Preparing for the Sarbanes-Oxley Audit.

Course Dates:

April 17, 2007

Location:

The Radian Group
40 Shuman Blvd, Suite 201
Naperville, IL 60563

Course Fee:

\$695 USD

Field of Study:

IT Compliance and Auditing

Who Should Attend:

- IT Security Officers
- IT Management
- Finance Officers
- Internal Auditors
- Chief Security Officers

Program Level: Intermediate

Prerequisites: None

Adv. Preparations: None

Delivery Method: Lecture/Group

Workshop Duration:

6 Hours (CEUs available)

[Sign Up Now!](#)

For more information regarding refunds, complaints and program cancellation policies, please contact our offices at: 630-305-7100



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**IT Compliance /
Information Security
Education Services**

Course Description

This Workshop explores the impact of the Sarbanes Oxley legislation on control issues in information technology for Small and Medium sized Businesses (SMB). It provides information and tools to assist in the planning and preparation of the IT Department's participation of an Internal and/or External Audit as it relates to internal controls over financial reporting for the SMB market.

Learning Objectives

Upon Completion of this Workshop, Participants will understand:

- Origins of the Sarbanes Oxley Act (SOX)
- Overview of Key Sections and Impact on IT (302, 404, 409 and 906)
- Improve your understanding of the issues raised by SOX, which resulted in SEC rules that affect or are affected by the Information Technology function within your organization.
- Broaden your understanding of IT control issues that impact the overall control assessment of the organization.
- Defining the Scope of the external audit
- Introduction of IT Frameworks and their role in IT General Control Assessment
- Mitigating Risks
- Mapping your Internal Controls
- Understanding Reporting Requirements

Student Take-Away

- Diagrams and Worksheets of Internal Controls and Discovered Obstacles
- Gap Reporting - base on historical account Remediation
- Sample Scope Worksheet
- BOOK: "IT Controls Objectives for Sarbanes-Oxley" - IT Governance Institute®

Feedback and Testimonials

"Truly Informative, a good workshop for the IT Professional - with great Instructors that were knowledgeable on the subject and presented it well." - *Student of Northwestern Graduate Studies*

"Having attended this workshop, I feel I will be able to discuss intelligently with Management the necessary steps needed by IT to be prepared for the SOX Audit." - *Director of IT Services*

Workshop Agenda

A.M. SESSION

Overview of the Sarbanes-Oxley Act

- Understanding Sarbanes-Oxley (SOX 101)
- Who Needs to Worry about SOX?
- Focus on Financial Business Goals
- Discussion of Obstacles / Milestones
- Discussion of Lessons Learned
- How being compliant will make your Department and Corporation more efficient

What are Internal Controls as they Pertain to the SOX Audit?

- Definitions of Internal Controls
- Introduction of Frameworks available for assessing IT Controls
- Understanding RISK in Information Technology
- Mapping your existing IT Controls and Section 404
- Aligning IT Controls for SOX to other Federally Mandated Requirements

SOX Audit Preparation / Reporting

- Real-Time Disclosure Laws (Section 409)
- Audit Preparation
- Creation of Scope for the Internal Audit - to Protect IT and the Corporation
- Setting up a Communication Plan
- Defining Gaps and Dashboarding

P.M. SESSION

Relevant Business Case Walk-Thru

- Study of a pre-SOX Audit Business Case
- Apply Information used in the A.M. Session
- Strategize for their SOX Audit Preparations

Group Study and Application of AM Session

- Use the Mappings and Scope from the AM Session
- Create your own SOX Audit Preparation Matrix
- Identify your corporations Gaps
- Develop an Audit Scope
- Utilize your IT Bill of Rights

Alignment with your Business Objectives

- Create a Communication Matrix
- How to Present IT's Ideas and Requirements to the Board of Directors