SOX107

Sarbanes-Oxley Guide for Finance and Information Technology Professionals- 20 hours

Objectives

Sarbanes-Oxley Guide for Finance and Information Technology Professionals features:

- Key aspects and important components of the Sarbanes-Oxley Act
- A methodology to achieve SOX compliancy for your company
- A road map to compliance, including checklists, worksheets, and project plans
- The business and technology implications and resource requirements for compliance
- The future of SOX and its impact on corporate America and the world

Course Outline

Chapter 1 – Scope and Assessment of the Act

After completing Chapter 1, you should comprehend the following:

1. Integrity
2. Independence
3. Proper oversight
4. Accountability
5. Strong internal controls
6. Transparency
7. Deterrence
8. Corporate process management

Chapter 2 – Internal Controls

After completing Chapter 2, you should comprehend the following:

1. Components of internal control
2. Purpose of internal control
3. Developing an internal control system

Chapter 3 – Control Environment

After completing Chapter 3, you should comprehend the following:

1. Risk assessment
2. Information and communication
3. Monitoring

Chapter 4 – Material Weakness

After completing Chapter 4, you should comprehend the following:

1. Specific internal controls to evaluate
2. Disclosure committee

Chapter 5 – Implementing Sarbanes-Oxley: What does Compliance Look Like?

After completing Chapter 5, you should comprehend the following:

1. Time line
2. Checklists
3. Reporting, documentation, and archiving
4. Disclosure

Chapter 6 – Technology Implications

After completing Chapter 6, you should comprehend the following:

1. Storage systems
2. IT solutions
3. Changes in IT management

Chapter 7 – Sarbanes-Oxley Related Bodies

After completing Chapter 7, you should comprehend the following:

1. Public company accounting oversight board
2. Committee of sponsoring organizations
3. Securities and Exchange Commission
4. Financial Accounting Standards Board

Chapter 8 – Opportunities and Challenges Created by Sarbanes-Oxley

After completing Chapter 8, you should comprehend the following:

1. Opportunities
2. Challenges

Chapter 9 – Summary for the CFO

After completing Chapter 9, you should comprehend the following:

1. Changes to corporate governance
2. Catalyst for improvement

Chapter 10 – Impact of Sarbanes-Oxley

After completing Chapter 10, you should comprehend the following:

1. Impact on the enterprise, the CEO, and the CFO
2. Impact of Sarbanes-Oxley on corporate management systems
3. Impact of Sarbanes-Oxley on the technology infrastructure

Chapter 11 – Technologies Affected by Sarbanes-Oxley: From Sarbanes-Oxley to SOCKET

After completing Chapter 11, you should comprehend the following:

1. Separate vender hype from reality
2. Sarbanes-Oxley compliance as an IT project

3. Perspective on Sarbanes-Oxley goals
4. Steps for Sarbanes-Oxley compliance
5. Sarbanes-Oxley and the SEC

Chapter 12 – Enterprise Technology Ecosystem

After completing Chapter 12, you should comprehend the following:

1. Organic IT architecture
2. Ecosystem and Sarbanes-Oxley

Chapter 13 – Implementing the SOCKET Methodology

After completing Chapter 13, you should comprehend the following:

1. Species or components of the enterprise technology ecosystem
2. COSO framework
3. SOCKET technologies
4. Transactional systems: ERP,SCM,CRM
5. Analytical and reporting systems
6. Data warehousing

Chapter 14 – SOCKET and Enterprise Information Management

After completing Chapter 14, you should comprehend the following:

1. Document management and Sarbanes-Oxley
2. Document security
3. Communication and networking

Chapter 15 – The Process

After completing Chapter 15, you should comprehend the following:

1. Introduction to the process
2. Strategic (top-down) approach
3. Tactical (bottom-up) approach
4. Monitoring the audit team
5. Implementation process: reengineering for Sarbanes-Oxley compliance
6. Beyond Sarbanes-Oxley: From SOCKET to success ecosystem