



Virtual SOX Compliance

Instructor: [Bob Benoit](#)

Product ID: 700405

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Description

Using technology and local administrative talent we can gather backup documents, scan, upload and observe access controls. Virtual SOX is one of the first open doors to effective and efficient sox compliance pathway.

The concept of performing a Section 404 effort completely remote requires us to have a very different paradigm shift. How could we possibly test the design and operating effectiveness of a company from afar, never mind completely remotely? The key reason is that SOX compliance is a management self assessment. It is not an independent audit. Therefore other members of management can participate in the project as long as their objectivity is not impaired. Using technology and local administrative talent we can gather backup documents, scan, upload and observe access controls. Virtual SOX is one of the first open doors to effective and efficient sox compliance pathway.

Areas Covered in the seminar:

- Use of simple and affordable technology tools
- Top-down risk-based approach to SOX compliance
- Communication tools
- Data collection and management tools
- Project management
- Process level, activity level and information technology controls
- Spreadsheets commonly used for evaluating the design and test of controls
- Risk Management Alerts and Issue Management Workflow
- Security
- Data Analysis
- Lessons learned

Who Will Benefit:

- SOX Analysts
- SOX consultants
- Internal auditors
- External auditors
- CPAs
- CFOs
- Controllers
- VP Finance
- CIOs
- Chief Compliance Officers
- Programmers and Analysts
- IT staff
- IT consultants

Instructor Profile:

Bob Benoit, is the president of Lord & Benoit, LLC, a firm focusing on SOX compliance for small to mid-sized public companies. In addition to his position with Lord & Benoit, Bob serves on the COSO Monitoring Project Task Force and the AICPA Peer Review Acceptance Board in MA. He is the author of the Lord & Benoit Reports, which have been referenced by the SEC, PCAOB, Wall Street Journal, Business Week, all Big 4 firms and over 100 newspapers, magazines, legal, educational and trade journals. Bob is also the first evaluator to use the 2006 COSO Guidance for Smaller Public Companies, and the inventor of several affordable SOX frameworks which can be downloaded from the SEC and PCAOB websites or at www.Section404.org.