Sarbanes-Oxley Training

For Accounting, Finance, Audit and IT Professionals

soxinstitute
a division of the grc group

SOX Institute and GRC Institute

Founded just months after the SOX Act came into being, the Institutes have become the *de facto* standard providers of SOX and GRC training and certification programs around the globe. With a presence on three continents and members from five continents, the Group is one of the largest SOX and GRC communities.

As members of the GRC Group of companies (visit: www.grcg.com), the Institutes and their affiliates are known in the industry for providing research, education and advice in:

- Sarbanes-Oxley (SOX) and related regulations
- Governance, Risk Mgt. and Compliance (GRC)
- IS/IT Governance, Risk, Compliance (IS/IT-GRC)

About Our Certification Training

Our new SOX, GRC, and IT-GRC certification training programs are:

- Current and comprehensive, and continuously improved
- Real-world and "hands-on" based on real-world projects
- Designed to deliver on real ROI (Return on Investment)
- An opportunity to network with likeminded individuals
- Delivered by highly-trained instructors from the industry
- Based on world-class course materials and case-studies
- Focused on making you and the company more effective
- Turnkey training exceeding the satisfaction benchmarks
- Accredited and endorsed by many industry associations

SOX Institute's Sarbanes-Oxley Certification Training program is one of the most comprehensive SOX training programs in the world, and is the only approved prerequisite for CSOX professional certification.

It is offered in the following industry-standard best-practice formats:
- Five-Day *Comprehensive SOX Boot Camp* (36 class hours)
- Three-Day *SOX Section 404 Boot Camp* (Days 2-4 of 5-day)
- 36-Hours Textbook/Online (12 PDU's; 3.6 CEU's; 36 CPD's)

The following chart shows "continuing education credits" for classes:

	NASBA CPE's	ProjMgmt PDU's	INDUSTRY CEU's	INDUSTRY CPE/CPD's
Five-Day	36	16	3.6	36
Three-Day	24	8	2.4	24

In addition to student workbooks, attendees of Classrooms receive:
- One textbook for Three-Day; Two Textbooks for Five-Day
- One study-guide (~100 questions) [for the SOX 404 exam]
- One printed set of SOX 404 templates [plus a copy on CD]

Registrants in the online or textbook+study-guide self-study receive:
- Two textbooks (each ~ 300 pages) [one text for each exam]
- Two study-guides (100 questions each) [one for each exam]

How to Get SOX Certified

SOX Institute offers two levels of (individual) SOX certifications which recognize your knowledge of and/or experience with SOX:
- SOXBase-level (Certified in Sarbanes-Oxley or CSOX®)
- SOXPro-level (Certified SOX Professional, or CSOXP®)

Requirements for SOXBase™:
- A minimum of 16 hours' SOX Institute's training above, and
- Current membership of SOX Institute (the GRC Group), and
- *Either*: One 'SOX 404' multiple-choice open-textbook exam proctored by a class facilitator if attending the class training. *Or*: Two multiple-choice open-textbook exams proctored by a supervisor at work if taking self-study (online or textbook).

Requirements for SOXPro™:
- An active, valid and current SOXBase-level certification, and
- An average of at least 1,200 hours of SOX/related experience in the prior 3 years as verifiable by 2 professional references.

Maintaining Certifications:
- Annual membership of SOX Institute (the GRC Group) and
- Experience requirements specified above for SOXPro-level.

5-DAY COMPREHENSIVE SOX BOOTCAMP TRAINING
Nasba Delivery Method: Group-live (5-day classroom)
Prescribed Audience: For Professionals and Executives

DAY 1: Fundamentals of Sarbanes-Oxley (8 CPE/CPD)
Program level: Basic. *Preparation/prerequisite:* None.

Objective: Broad-based introduction to the legislation's key tenets, as well as industry-accepted frameworks and principles such as COSO, COBIT, ITIL and ISO.

Agenda: Effectively broken out into ~2-hour segments, Day One is an interactive seminar-style presentation on SOX and its frameworks.

The timings are approximate and may vary depending on classroom discussion. The day is divided into four approximately 2-hour quarters.

Quarter 1: Introduction to Sarbanes-Oxley including:
- History and impact of the legislation
- Events that have led up to the Act
- The role of the SEC and PCAOB
- Sustaining cost-effective compliance

Quarter 2: Key Sections and Titles of SOX such as:
- Audit Committees, Auditor Independence
- CEO/CFO Responsibility and Certification
- Financial Disclosures, Internal Controls
- Conflicts of Interest, Codes of Conduct
- Whistleblower Protection, Corporate Fraud
- White-Collar Crime Penalties, and more

Quarter 3: Introduction to COSO ERM Components:
- Internal Environment
- Objective Setting
- Event Identification
- Risk Assessment
- Risk Response
- Control Activities
- Info/Communication
- Monitoring
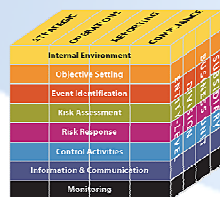
Quarter 4: Introduction to Specialized Frameworks:
- Control Objectives for IT (COBIT)
- IT Infrastructure Library (ITIL)
- International Standards (ISO)
- Auditing Standards (AS)

DAY 2: SOX Section **404** Documentation (8 CPE/CPD)
Program Level: Basic. *Prep/Pre-reqs:* None required.

Objective: Gain practical hands-on experience with SOX Section 404 documentation of internal controls based on COSO and IT templates provided on CD.

Agenda: Using hands-on case-studies and classroom exercises, the day is spent learning best practices for COSO/IT internal control documentation including:
- Adequacy of Existing Documentation
- Entity-Level Policies and Procedures
- Activity-Level Control Procedures
- IT/Infrastructure Control Policies
- Automated Compliance Tools
- Working with Independent Auditors

DAY 3: SOX Section **404** Control Testing (8 CPE/CPD)
Program Level: Intermediate. *Prep/Pre-reqs:* None.

Objective: This builds upon the documentation that is completed on Day Two, and is again hands-on and practical covering both Entity- and Activity-Level:
- Overview of Audit/Testing Techniques
- Auditing Control Effectiveness
- Assessing Control Design Adequacy
- Activity-Level Operating Effectiveness
- Documenting Test Procedures and Results

DAY 4: SOX Sec **404** Project Management: 8 CPE/CPD
Program Level: Advanced. *Prep/Pre-reqs:* None.

Objective: Understand the "big-picture" of SOX 404 compliance wrapping up Days 2 and 3, and including:
- Project Scoping for Entity and Activity
- Identifying Significant Accounts
- Project Lifecycle Management
- Structuring the Project Team
- Documenting Planning Decisions
- Sustaining Cost-Effective Compliance

DAY 5: SOX Review (4 CPE/CPD) Certification Exam
Program Level: Update. *Prep/Pre-reqs:* None required.

Objective: Review of key aspects covered in Days 1-4 in preparation for the SOX Certification Examination.
- Some centers proctor exam onsite on final day for training packages that include examination
- Bring your own laptops, or arrange for a rental

To register or bring our programs to your company call us at 1.888.WHY.GRCG or email us at email@grcg.com.
Required Notice: For refund/complaint/cancellation policy visit www.grcg.com, or contact us via phone or email.