



SOX COMPLIANCE CHECKLIST

This checklist is meant to help guide you through the SOX Compliance tasks and deliverables during the year. For more information on SOX Compliance, [request a consultation](#).

PLANNING

WALKTHROUGHS & DOCUMENTATION

TEST OF DESIGN

TEST OF OPERATING EFFECTIVENESS

REMEDIATION

CONCLUSION & EVALUATION

1

PLANNING

- ◀ Perform annual risk assessment. This can be performed internally or by partnering with internal audit or a service provider
- ◀ Assess materiality thresholds and accounts
- ◀ Update business processes for any changes
- ◀ Identify new controls for new processes
- ◀ Update risk control matrix

2

WALKTHROUGHS & DOCUMENTATION

- ◀ Participate in scheduled walkthroughs with auditors
- ◀ Provide support to parties updating documentation (e.g. narratives, flowcharts, etc.)
- ◀ Evaluate segregation of duties (SOD) and identify compensating controls

3

TEST OF DESIGN

- ◀ Respond to requests from internal and external auditors for a 'Sample of One' supporting evidence
- ◀ Respond to follow ups for test of design
- ◀ Create Management Action Plan for logged issues or exceptions with assistance from internal audit

4

TEST OF OPERATING EFFECTIVENESS

- < Respond to population requests from internal and external auditors
- < Respond to sample requests
- < Respond to follow ups for test of operating effectiveness
- < Create Management Action Plan for logged issues or exceptions

5

REMEDIATION

- < Verify issue log for outstanding issues
- < Approve remediation plans
- < Implement remediation measures

6

CONCLUSION & EVALUATION

- < Re-evaluate risk assessment and compare to Phase 1
- < Review presentation of results and findings with your internal audit provider
- < Review results and key findings with Audit Committee

Bridgepoint has been entrenched in the world of SOX since its inception. We have a deep understanding of the complexity and expectations of planning and delivering SOX readiness and compliance services. We also understand the importance of collaborative relationships with client teams, audit committees and external auditors. If you have questions or are struggling to navigate the world of SOX Compliance, [request a consultation](#).

WHY CHOOSE BRIDGEPOINT



QUALITY OF PEOPLE:

Our team of experts include CPAs, CISAs, CISSPs and PMPs, with significant industry experience and technical expertise.



HIGH-TOUCH AND COLLABORATIVE:

Hands-on in both strategy and execution to support your team's success every step of the way.



BREADTH OF EXPERTISE:

Broad experiences and knowledge of multiple enterprise systems and technologies.

READY TO GET STARTED?

CONTACT US TO LEARN HOW WE CAN HELP YOU ACHIEVE YOUR BUSINESS GOALS.

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