

# SARBANES-OXLEY (SOX) COMPLIANCE AUDIT: REVIEWS FINANCIAL REPORTING AND CONTROL PROCESSES TO ENSURE COMPLIANCE WITH SOX REGULATIONS

*"Ensuring Compliance with SOX Regulations through Robust Financial Auditing Practices"*

## Schedule

Date	Venue	Fees (Face-to-Face)
08 - 12 Jun 2026	London, UK	USD 3495 per delegate

► **Available delivery methods:** Face-to-Face & Online Training

## Introduction

The Sarbanes-Oxley (SOX) Act imposes strict regulations on financial reporting and internal controls for publicly traded companies. This training program focuses on auditing the financial reporting processes and internal controls in accordance with SOX requirements. Participants will learn the principles behind SOX compliance and how to effectively assess and audit financial reporting controls. The course combines theoretical knowledge with practical audit techniques and real-world case studies to equip participants with the skills necessary for conducting SOX compliance audits.

## Objectives

By the end of this course, participants will be able to:

- Understand the core provisions of the Sarbanes-Oxley Act (SOX) and its impact on financial reporting
- Conduct internal control assessments for SOX compliance
- Review financial reporting processes to ensure accuracy and regulatory adherence
- Assess the effectiveness of financial audits and controls
- Identify areas of risk and provide recommendations for remediation

## Why Attend

- Gain in-depth knowledge of SOX compliance and its importance for financial reporting
- Learn how to conduct SOX audits to assess the effectiveness of internal controls
- Improve your ability to assess financial reporting processes for compliance with SOX regulations
- Understand the practical steps involved in conducting a comprehensive SOX audit
- Learn how to apply SOX guidelines in real-world audit scenarios

## Target Audience

This program is designed for:

- IT Auditors and Internal Auditors
- Compliance and Risk Managers
- Financial Reporting Officers
- SOX Compliance Consultants
- Financial Controllers and CFOs

## Individual Benefits

Key competencies that will be developed include:

- In-depth knowledge of the Sarbanes-Oxley Act and its compliance requirements
- Skills to assess financial reporting processes and internal controls
- Ability to identify and address risks in financial reporting systems
- Expertise in conducting SOX audits and preparing compliance reports
- Understanding of the role of auditors in ensuring accurate and compliant financial reporting

## Organizational Benefits

Upon completing the training course, participants will demonstrate:

- Enhanced ability to ensure SOX compliance across financial operations
- Improved internal control systems and financial reporting accuracy
- Stronger alignment with regulatory requirements and industry standards
- More effective identification and mitigation of financial reporting risks
- Greater resilience to audits and regulatory scrutiny

## Instructional Methodology

The course follows a blended learning approach combining theory with practice:

- Strategy Briefings - Overview of the Sarbanes-Oxley Act, financial reporting requirements, and audit practices
- Case Studies - Real-world examples of SOX compliance audits and best practices
- Workshops - Hands-on exercises to audit financial reporting and internal controls
- Peer Exchange - Group discussions on SOX audit challenges and strategies
- Tools - Templates for SOX audit planning, internal control assessments, and reporting

## MAWA EVENTS

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## Course Outline

**Training Hours:** 7:30 AM – 3:30 PM **Daily Format:** 3–4 Learning Modules | Coffee Breaks: 09:30 & 11:15 | Lunch Buffet: 01:00 – 02:00

### Day 1: Introduction to SOX Compliance and Financial Reporting – 07:30–15:30

- Module 1: Overview of the Sarbanes-Oxley Act – 07:30–09:30 Understanding the objectives and scope of the SOX Act Key provisions of SOX related to financial reporting and internal controls The role of auditors in SOX compliance
- Module 2: Financial Reporting Standards – 09:45–11:15 Financial reporting requirements under SOX The importance of accurate financial statements for SOX compliance Auditing financial reports for accuracy and completeness
- Module 3: Internal Control Frameworks – 11:30–01:00 Overview of internal control frameworks (COSO, COBIT) Understanding the relationship between SOX compliance and internal controls How to audit internal control systems
- Module 4: Workshop – SOX Compliance Assessment – 02:00–03:30 Group exercise to assess a financial reporting process for SOX compliance

### Day 2: Auditing Internal Controls and Financial Reporting Processes – 07:30–15:30

- Module 1: Assessing Internal Controls – 07:30–09:30 Key internal controls related to financial reporting How to assess the design and implementation of internal controls Identifying control deficiencies in financial reporting processes
- Module 2: SOX Section 404 Compliance – 09:45–11:15 Understanding the requirements of SOX Section 404 How to evaluate the effectiveness of internal controls over financial reporting Auditing Section 404 compliance
- Module 3: Auditing Financial Systems – 11:30–01:00 Auditing financial systems for SOX compliance Identifying weaknesses in financial reporting systems Techniques for reviewing financial system security and accuracy
- Module 4: Workshop – Internal Controls Audit – 02:00–03:30 Hands-on exercise to audit internal controls for financial reporting

### Day 3: Risk Assessment and Compliance Documentation – 07:30–15:30

- Module 1: Conducting Risk Assessments – 07:30–09:30 Identifying and evaluating risks in financial reporting processes Using risk assessment tools and techniques Auditing for risk factors that impact financial reporting accuracy
- Module 2: Documentation and Reporting – 09:45–11:15 How to document audit findings and compliance with SOX Writing effective SOX audit reports and recommendations Communicating findings to management and stakeholders
- Module 3: Compliance Testing – 11:30–01:00 Testing controls and compliance with SOX regulations Sampling and testing methods for financial reporting audits Understanding the testing requirements of SOX Section 404
- Module 4: Workshop – Risk Assessment and Documentation – 02:00–03:30 Group exercise to assess risk and document audit findings

### Day 4: Addressing SOX Compliance Gaps and Weaknesses – 07:30–15:30

- Module 1: Identifying Compliance Gaps – 07:30–09:30 How to detect gaps in financial reporting and control processes Techniques for identifying internal control weaknesses Addressing SOX compliance deficiencies
- Module 2: Remediation Strategies – 09:45–11:15 Designing corrective actions to address compliance gaps Implementing remediation strategies for financial reporting and controls Tracking and reporting on remediation progress
- Module 3: Continuous Monitoring and Reporting – 11:30–01:00 The role of continuous monitoring in SOX compliance Tools for monitoring financial systems and internal controls Reporting to senior management and external auditors
- Module 4: Workshop – Remediation and Continuous Monitoring – 02:00–03:30 Group task to develop remediation strategies and continuous monitoring plans

### Day 5: Final Audit and Certification – 07:30–15:30

- Module 1: Final Audit Preparation – 07:30–09:30 Preparing for a final SOX audit and review Final audit checklist and documentation Finalizing audit reports and recommendations
- Module 2: Presenting Audit Results – 09:45–11:15 How to present SOX audit results to management and stakeholders Communicating audit findings and remediation plans Managing stakeholder expectations and responses
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- Module 3: Case Study and Group Presentations – 11:30–01:00 Final case study to present SOX audit findings and remediation plans
- Module 4: Feedback and Certification – 02:00–03:30 Course review and feedback collection Distribution of certificates of completion

### Certification

Participants will receive a Certificate of Completion in Sarbanes-Oxley (SOX) Compliance Audit, validating their ability to assess and audit financial reporting processes and internal controls in compliance with SOX regulations.

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