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CERTIFIED SARBANES-OXLEY PROFESSIONAL TM

CSOP TM

**Fully Accredited
By:**

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CPD
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PROGRAM OVERVIEW



After a series of corporate scandals such as the Enron scandal, where the bankrupted company had overvalued its energy contracts and used several complex accounting manoeuvres to mislead investors, the Sarbanes-Oxley Act (SOX) was passed to re-establish investor trust in financial markets by addressing loopholes that had previously permitted public companies to mislead investors. The law has been successful in creating ethical business practices and good governance through internal controls, reports and disclosures. Many organizations are moving beyond literal compliance by developing internal reforms and adopting policies and practices to expose weaknesses and deficiencies.

This Certified Sarbanes-Oxley Professional (CSOP™) program is designed to empower professionals with the knowledge and skills necessary to master Sarbanes-Oxley compliance policies and requirements. Through this program, participants will gain a comprehensive understanding of **SOX's key provisions, including the latest updates and critical sections of the Act, and learn how to develop a SOX compliant program** that ensures integrity and accountability across their organization's internal control, financial reporting, and risk management systems. Utilizing the **COSO Framework**, attendees will also gain the ability to **identify internal control deficiencies** within their organization, and implement a robust **internal control framework** that guarantees overall compliance with the SOX act.

In additional, participants will master the key elements of the **SOX auditing process** and learn how to ensure financial statements are fully compliant with the SOX act. This program will cover all the **documentation required for a SOX program**, including the formats, flowcharts, and risk matrix needed to ensure compliance. You will also gain a strong understanding on **ethical considerations, corporate governance**, and the role of the board of directors in ensuring SOX compliance.

By the end of the program and upon passing the Chartered exam, you will have earned the **Certified Sarbanes-Oxley Professional (CSOP™)** designation which you can use to demonstrate your professional credentials and track record in building a Sarbanes-Oxley compliant framework.

Globally demanded and recognized, this designation is an industry-recognized trademarked charter developed by the **Chartered Institute of Professional Certifications** and has lifelong validity. It's also fully certified and independently accredited by CPD as conforming to Continuing Professional Principles.

ACCREDITATIONS



4.8



4.6



KEY SKILLS YOU WILL GAIN

From This Program



**SOX FRAMEWORK
COMPLIANCE FRAMEWORK
KEY PROVISIONS AND LATEST UPDATES OF SOX
CRITICAL SECTIONS OF SOX ACT**

**SOX COMPLIANT AUDIT PROCESS
RISK ASSESSMENT
GOVERNANCE AND ETHICS
COSO INTERNAL CONTROL FRAMEWORK**

**FINANCE AUDITING
ENTERPRISE RISK MANAGEMENT (ERM)
PCAOB
FINANCIAL REPORTING**

**BUSINESS CONTINUITY
FRAUD ANALYSIS
COSO ENTERPRISE RISK MANAGEMENT
FRAMEWORK
SOX TESTING**

**IDENTIFYING CONTROL DEFICIENCIES
IMPROVING INTERNAL CONTROL**

YOUR FACULTY DIRECTOR



Eva María López Fernández

Certified Internal Audit & Risk Management Expert and Mentor of the Technical Commissions of Institute of Internal Auditors

Eva María López Fernández is a global certified internal audit and risk management expert, with more than twenty years' experience in **leading and developing Internal Audit functions and implementing Internal Control (including SOX compliance programs) and Enterprise Risk Management frameworks**. She has an impeccable record of leading and implementing Internal Control and Risk Management frameworks in IBEX and NASDAQ-listed companies, fulfilling Sarbanes-Oxley Act requirements. She also holds several prestigious certifications, including **CIA (Certified Internal Auditor)**, **CRMA (Certification in Risk Management Assurance)**, and **COSO (Committee of Sponsoring Organizations of the Tradeway Commission)**. In addition to her work as an internal auditor, she has served as a **member of the Technical Commissions at IIA-Spain**, providing valuable content in the issuance of documents related to current issues in the profession. Her passion for internal auditing has led her to teach seminars on the topic, as well as contribute content to positioning documents on hot topics in the field.

Besides that, she is currently **collaborating with the Internal Audit Foundation**, helping professionals in internal auditing to be knowledgeable about emerging issues and relevant investigations, as well as being a mentor in an Emerging Leaders Mentoring Program sponsored by the Global Institute of Internal Auditors.

OUR PARTICIPANTS

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Life is our life's work

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PROGRAM AGENDA



MODULE 1 - HISTORY AND OVERVIEW OF SOX

- Lesson 1 - Overview: History Of SOX
- Lesson 2 - Who Does SOX Compliance Apply To?
- Lesson 3 - Enforcement And Penalties Of Non-Compliance
- Lesson 4 - Related Organizations
- Lesson 5 - Business Case

MODULE 2 - CRITICAL SECTIONS AND COMPONENTS OF SOX

- Lesson 1 - Corporate Governance Objectives Of SOX
- Lesson 2 - Critical Sections Of Sarbanes-Oxley Act
- Lesson 3 - Key Features Of Sarbanes-Oxley Act Of 2002
- Lesson 4 - SOX Audit Requirements

MODULE 3 - TYPES OF SOX PROGRAM OPERATING MODELS

- Lesson 1 - Three Line Model Of IIA
- Lesson 2 - SOX Program Operating Models

MODULE 4 - SECTION 302 OF SARBANES-OXLEY ACT

- Lesson 1 - Legal Requirements For Complying With Section 302 Of SOX
- Lesson 2 - Minimum Accounting Tests

MODULE 5 - SCOPE OF SECTION 404

- Lesson 1 - Definition Of Detailed Scope For Section 404
- Lesson 2 - Significant Accounts And Disclosures
- Lesson 3 - Business Case On Scope Of Section 404

MODULE 6 - HOW TO DEFINE A RISK AND CONTROL MATRIX?

- Lesson 1 - Risk And Control Matrix
- Lesson 2 - Business Case On Risk And Control Matrix

MODULE 7 - HOW TO PERFORM A CONTROL TESTING?

- Lesson 1 - What Is A Control?
- Lesson 2 - Identifying Key Controls Within Business Process
- Lesson 3 - Identifying Key ITGCs
- Lesson 4 - Entity Level Controls

PROGRAM AGENDA

Lesson 5 - Controls Performed By Third Party Organizations
Lesson 6 - Management Review Controls
Lesson 7 - Types Of Audit Tests
Lesson 8 - Types Of Internal Control Weaknesses

MODULE 8 - FRAUD RISK ASSESSMENT

Lesson 1 - Segregation Of Duties
Lesson 2 - Ways To Prevent SOD Conflicts
Lesson 3 - Restricted Access & Fraud Risk Management
Lesson 4 - Whistleblower Channels
Lesson 5 - Roles & Responsibilities
Lesson 6 - Business Case - Segregation Of Duties Matrix

MODULE 9 - ASSESSMENT RESULTS

Lesson 1 - Assessing Deficiencies
Lesson 2 - Engagement Communications
Lesson 3 - Approving And Distributing Reports

MODULE 10 - CONCLUSION - SOX READINESS & PITFALLS TO AVOID

Lesson 1 - Conclusions
Lesson 2 - Business Case - Checklist Of Compliance With SOX Act

EXAMINATION



YOUR CHARTER DESIGNATION



Chartered Institute of Professional Certification's programs are unique as they provide you with professional charter designation and mark that can be used across your lifetime once you have completed our programs.

Earning the **Certified Sarbanes-Oxley Professional (CSOP™) designation** after completing the program and passing the exam is a professional achievement that can enhance your resume, CV, and other professional credentials. The **CSOP™** certification is a global trademark and industry-recognized, with lifelong validity. Holding this certification demonstrates a high level of expertise in **Sarbanes-Oxley compliance** and can be a valuable asset for professionals looking to advance their careers in finance, accounting, or corporate governance. The Sarbanes-Oxley Act is a constantly evolving area of compliance, attending a CSOP™ program ensures that professionals stay up-to-date on the latest developments and best practices.

Globally demanded and recognized, the CSOP™ designation will help you to distinguish your Sarbanes-Oxley skillset and establish you as an expert in **administering strong internal controls and SOX compliance, making you more attractive to employers in the field.**

ABOUT US

49,525

Business Leaders Have
Attained Their Chartered
Certifications Since 2009

390

Certified and Fully
Accredited Programs

87%

Chartered Leaders Have
Reported Career Promotions
and Enhancements

Chartered Institute of Professional Certifications

All of Chartered Institute of Professional Certifications programs are fully accredited programs. The professional charters and designations are trademarked credentials that can only be used by professionals who have completed and passed our accredited program. It is also independently accredited by CPD as adhering to the highest standards of continuing professional principles.

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CONTACT US TODAY

We Thank You for Your Ongoing Support
of Our Programs

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