

SOX Expert TaskMap Edition

SOX Compliance Made Easy



Corporate governance, risk management and Sarbanes Oxley (SOX) made easy.

For companies that are just getting started with Sarbanes Oxley implementation, or for those companies that wish to improve their GRC efforts, this combined software and Best Practice package offers an ideal solution.

Our software package is simple, clear and concise. It will eliminate the guess work, establish key controls, mitigate risk and lower compliance costs.

Get started today using our GRC Best Practices Software today.

SOX Compliance Made Easy

- Simple, clear and concise software
- Most effective solution to lower your SOX compliance cost
- Risk Control Matrix and assessment automatically created
- SOX Best Practice maps for over 55 detailed business sub-processes
- Automated generation of Process Maps with controls at risk for SOX Compliance
- Eliminates the guess work, establishes key controls, mitigates risk and lowers overall compliance costs
- Shorten audit and compliance cycles

Who Is Using TaskMap or SOX Expert?

More than 850 organizations rely on TaskMap or SOX Expert to communicate and improve business processes. Here are a few of them:

- **Utilities:** Progress Energy, American Electric Power, Kansas Power and Light, Alstom Power
- **Manufacturing:** Lockheed Martin, Chrysler, W. L. Gore, Raytheon Aircraft Co, Kellogg, American Axe, IDEX Corporation, Pano-Cap (Canada), ABB, Standard Motor Products
- **Financial:** Fidelity Investments, Bank of America, FiServ, Texas State Auditors, Pennsylvania Insurance Department, Northwestern Mutual, CTX Mortgage, Citizens Property Insurance, New York Mortgage Trust, New York Mercantile Exchange
- **Healthcare:** SourceOne Healthcare Technologies, Bristol-Myers Squibb, Cardinal Health, Takeda Pharmaceuticals, Mayo Clinic, Beckman Coulter, Abbot Laboratories, Hoffman-La Roche, CompOne
- **Government and Education:** Australian SEC, California Department of Transportation, City of Anaheim (CA), City of Fontana (CA), City of Cote Saint-Luc (QC), City of Stamford (CT), Defense Information Systems Agency, Delaware Technical & Community College, Essex Police (UK), Florida Department of Health, State of Georgia, NASA, US Department of Justice, US Army, US Navy, US Air Force
- **Transportation:** Overseas Shipholding Group
- **Technology:** eRoomssystem Technologies

System Requirements

- TaskMap Professional Edition runs with Windows XP, Windows Vista and Windows 7
- TaskMap Professional Edition requires Visio 2007 Professional, or Visio 2010 Professional or Premium
- SOX Expert requires Microsoft Excel XP (2002) or later

Contact Information

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SOX Expert TaskMap® Edition

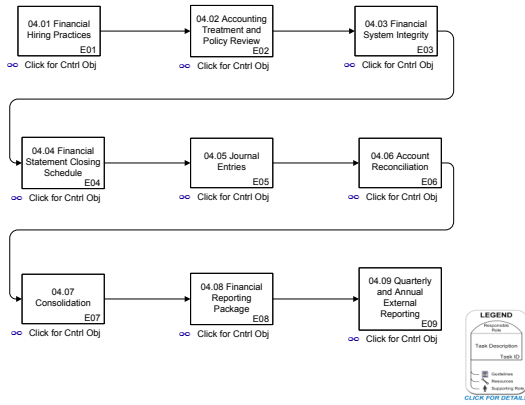
Features

Benefits

- TaskMap Process Mapping Software uses six drawing shapes
- Complete set of Best Practice maps for 10 critical Sarbanes Oxley (SOX) business processes
- Automated creation of Risk Control Matrices of your internal controls over Financial reporting
- Risk Assessment database of business processes for more than 800 suggested controls grouped by over 55 sub-processes
- Automated generation of process maps with controls at risk for SOX compliance
- Hyperlinked process maps for simple navigation to next process or sub-process
- Business rules and process map validation
- Hyperlinking and web publishing
- Save as Microsoft Project
- Save as Microsoft PowerPoint
- Create a project folder
- User-defined fields
- Customize role names
- Enhanced email hyperlinks
- Individual and enterprise licensing
- Data visualization
- Anyone can understand a TaskMap® instantly
- Quickly determine if there are any major weaknesses in your business processes. Contains everything you need to start your SOX compliance work.
- Provides a comprehensive, visual presentation that allows for clear organization of risks and controls
- Eliminates the guess work, establishes key controls, mitigates risk and lowers overall compliance costs
- Identify risks levels and actions necessary to reduce or mitigate their severity. Provides management with a visual representation of overall SOX compliance efforts at the process level
- Relationships between processes established based on Best Practices
- Built in QA function for all users
- Up-to-date, accurate information for all users
- Instantly turn your SOX compliance requirements into a MS Project file
- Distribute and present SOX processes to everyone
- Manages all project files in single folder
- Create custom applications without programming in TaskMap 4 Professional
- Reflects your precise organization structure
- Predefine recipients and text of email messages
- Affordable and IT-friendly management options
- See key data represented graphically for easier analysis and decision making

Sample SOX Expert TaskMap Edition Process Flow

Financial Close Reporting Process → Click to Return to GRC Mngmnt Process → A00



TaskMap

1. Navigate through TaskMap process maps to the selected Sub process

Best Practices Business Process Control Activities

Row	Process	Sub-Process	Control #	Control Objective	Control Objective Brief Description	Select this Control Activity	Control Activity Short Description
284	04 Financial Close Reporting Process	04.01 Consolidation	04.01.01	Intercompany balances confirmed	The intercompany balances must be confirmed with an appropriate entity via financial confirmation must be reconciled to the company's financial ledger system and verified daily if possible.	Yes	All of all primary sales is prepared at each entry. The intercompany sales is prepared as part of the consolidation process.
285	04 Financial Close Reporting Process	04.01 Consolidation	04.01.02	Intercompany balances confirmed	Each entry prepares a profit in inventory calculation based upon transfer pricing and cost information. All profit in inventory is determined as part of the consolidation process.	Yes	Each entry prepares a profit in inventory calculation based upon transfer pricing and cost information. All profit in inventory is determined as part of the consolidation process.
286	04 Financial Close Reporting Process	04.01 Consolidation	04.01.03	Intercompany balances confirmed	Each entry prepares a profit in inventory calculation based upon transfer pricing and cost information. All profit in inventory is determined as part of the consolidation process.	Yes	All consolidation and elimination entries are balanced.
287	04 Financial Close Reporting Process	04.01 Consolidation	04.01.04	Intercompany accounts eliminated	The Accountant Control is responsible for removal of intercompany transactions and properly eliminate an adjustment to complete the consolidation.	Yes	All consolidation and elimination entries are balanced.
288	04 Financial Close Reporting Process	04.01 Consolidation	04.01.05	Intercompany accounts eliminated	The Accountant Control is responsible for removal of intercompany transactions and properly eliminate an adjustment to complete the consolidation.	Yes	All consolidation and elimination entries are balanced.
289	04 Financial Close Reporting Process	04.01 Consolidation	04.01.06	Intercompany accounts eliminated	The Accountant Control is responsible for removal of intercompany transactions and properly eliminate an adjustment to complete the consolidation.	Yes	All consolidation and elimination entries are balanced.
290	04 Financial Close Reporting Process	04.01 Consolidation	04.01.07	Intercompany balances confirmed	The Accountant Control ensures that all balances are eliminated from the Financial Consolidation system. This consolidation is reviewed by the Controller and Assistant Controller's review of the consolidated financial statements prior to the release to the general ledger system. The review is supported by input by the Controller and Assistant Controller to ensure correct input entered to the consolidation system.	Yes	Using a % of controls of all entries is maintained. Not using % is taken for intercompany balances confirmed as entry. This being a particularly reviewed by the large department.
291	04 Financial Close Reporting Process	04.01 Consolidation	04.01.08	Intercompany balances confirmed	A consolidation review system is utilized. This review is performed for each entry of the general ledger data to the consolidation system data.	Yes	A consolidation review system is utilized. This review is performed for each entry of the general ledger data to the consolidation system data.

2. Select process controls from list of suggested controls. When complete click the Create Risk Control Matrix button (RCM)

TaskMap Capture Worksheet © 2007 Harvard Computing Group, Inc.

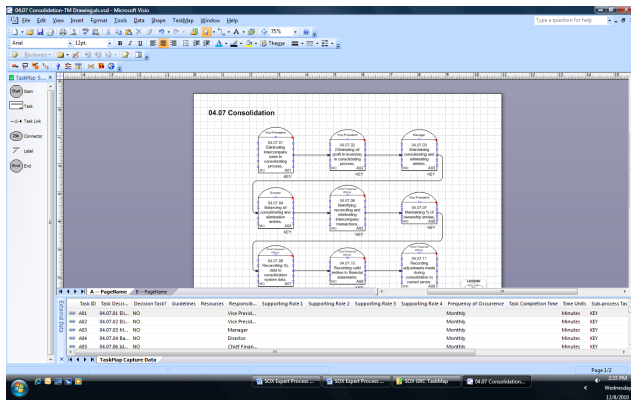
Task ID	A01	A02	A03	A04	A05	A06
Task Description	04.07.01 Eliminating intercompany sales in consolidating process.	04.07.02 Eliminating all profit in inventory in consolidating process.	04.07.03 Maintaining consolidating and eliminating entries.	04.07.04 Balancing all consolidating and eliminating entries.	04.07.05 Identifying, reconciling and eliminating intercompany transactions.	04.07.07 Maintaining % of ownership entries.
Decision Task?	NO	NO	NO	NO	NO	NO
Guideline 1						
Guideline 2						
Guideline 3						
Guideline 4						
Guideline 5						
Resource 1						
Resource 2						
Resource 3						
Resource 4						
Resource 5						
Supporting Role 1	Vice President	Vice President	Manager	Director	Chief Financial Officer	Vice President
Supporting Role 2						
Supporting Role 3						
Supporting Role 4						
Frequency of Occurrence	Monthly	Monthly	Monthly	Monthly	Monthly	Monthly
Task Completion Time	Minutes	Minutes	Minutes	Minutes	Minutes	Minutes
Time Unit	Minutes	Minutes	Minutes	Minutes	Minutes	Minutes
Sub-process Task ID	KEY	KEY	KEY	KEY	KEY	KEY
Notes	Yes	Yes	Yes	Yes	Yes	Yes
Risk Number						
Control Number						
User-defined Number						
User-defined Text	04.07.01	04.07.02	04.07.03	04.07.04	04.07.05	04.07.07

Risk Control Matrix (RCM) Business Process 04 Financial Close Reporting Process Business Subprocess 04.07 Consolidation

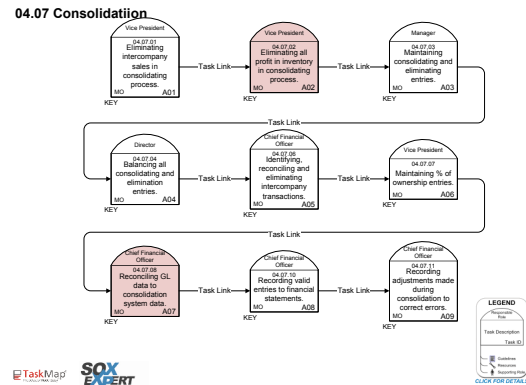
Control #	Design Objective	Assertion	Risk	Control Objective	Control Activity Short Description	How often? Applicable	Type of Control	SOX Control Level	Effective Date	Control Frequency	Control Method
04.01.01	Yes	C, V, A	High	Intercompany balances confirmed	All of intercompany sales is prepared at each entry. The intercompany sales and eliminated as part of the consolidation process.	Financial	KEY	1-Jan-10	Monthly	Manual	Manual
04.01.02	Yes	B, C, V, A	High	Intercompany balances confirmed	Each entry prepares a profit in inventory calculation based upon transfer pricing and cost information. All profit in inventory is determined as part of the consolidation process.	Financial	KEY	1-Jan-10	Monthly	Manual	Manual
04.01.03	Yes	B, C, V, A	High	Intercompany balances confirmed	All of consolidation and eliminating entries are balanced.	Financial	KEY	1-Jan-10	Monthly	Manual	Manual
04.01.04	Yes	V, A	High	Intercompany balances confirmed	All consolidation and elimination entries are balanced.	Financial	KEY	1-Jan-10	Monthly	Manual	Manual
04.01.05	Yes	B, C, V, A	High	Intercompany accounts eliminated	All intercompany transactions and balances are identified, reconciled, and appropriately eliminated as consolidation in the appropriate consolidation system.	Financial	KEY	1-Jan-10	Monthly	Manual	Manual
04.01.06	Yes	B, C, V, A	High	Intercompany accounts eliminated	Using a % of ownership of all entries is maintained. This being the basis for intercompany balances confirmed as entry. This being a particularly reviewed by the large department.	Financial	KEY	1-Jan-10	Monthly	Manual	Manual
04.01.07	Yes	B, C, V, A	High	Intercompany balances confirmed	A consolidation review system is utilized. This review is performed for each entry of the general ledger data to the consolidation system data.	Financial	KEY	1-Jan-10	Monthly	Manual	Manual
04.01.08	Yes	B, C, V, A	High	Intercompany balances confirmed	A consolidation review system is utilized. This review is performed for each entry of the general ledger data to the consolidation system data.	Financial	KEY	1-Jan-10	Monthly	Manual	Manual

4. The TaskMap Capture Template is automatically created from the RCM

3. SOX Expert template automatically creates the RCM. When complete click the Create TaskMap Upload file button



5. Open TaskMap and click on Link to TaskMap Capture



6. Auto link tasks to create TaskMap process map with selected controls