

# SARBANES-OXLEY ADVISORY SERVICES

ESSENTIAL SERVICES FOR EFFICIENTLY MAINTAINING COMPLIANCE

Dopkins Sarbanes-Oxley advisors can assist a company to establish and maintain compliance with Section 404 of Sarbanes-Oxley Act of 2002 (SOX) in an efficient and effective manner. With proven experience in helping companies comply with SOX since the law was enacted, our trusted advisors can provide the following SOX assistance:

## INITIAL SOX COMPLIANCE ASSISTANCE

For companies going through the first year of complying with SOX, our advisors will guide management through a top-down process of risk assessment/scoping, establishing documentation, mapping to the COSO principles, performing testing, and designing controls to remediate deficiencies.

## STREAMLINING MANAGEMENT'S SOX ASSESSMENT

We will take a fresh look at your SOX assessment process to implement strategies to reduce the cost of compliance without losing the quality of your assessment. Our advisors will evaluate your risk assessment and scoping to ensure a top-down process is utilized to its fullest extent and that the documentation is adequate. We can also explore where datamining and analysis can be used as an effective tool while reducing costs.

## CONTROL DEFICIENCY REMEDIATION ASSISTANCE

If you have a material weakness or other control deficiencies, we can assist you in designing controls and training staff to remediate the deficiency. Our advisors are always mindful to strike a balance between cost and benefit of control remediation.

## SOX ASSESSMENT CO-SOURCING

Turnover, business acquisition, or other change to the business may cause management to find that they may not have the necessary resources or expertise to perform their SOX assessment. We can find a solution to fit your needs. Our involvement can range from providing an entire SOX team to develop, manage and execute the project under management's oversight, to providing additional resources to assist management in performing specific tasks for the SOX assessment.

## INTERNAL AUDIT SOFTWARE SOLUTIONS

If you are looking for a software solution to manage your SOX assessment and other internal audit needs, RSM's Internal Auditor Assistant is a completely integrated internal audit management software designed to help you conduct, review and manage your Internal Audit activity more efficiently.

## IMPLEMENT A PLAN THAT WORKS FOR YOU

We understand that every company is different. We have the depth of experience to develop a solution that fits your needs while maintaining a cost/benefit balance. We will work with you and your external auditor to ensure successful compliance with SOX.

FOR MORE INFORMATION ABOUT DOPKINS SARBANES-OXLEY ADVISORY SERVICES, PLEASE CONTACT:



### **James A. Krupinski, CPA**

Partner, Assurance Services Group  
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Jim spends a significant amount of his time on risk and internal control assessments, audit management as well as developing and implementing control gap remediation plans. He serves clients from a diverse breadth of industries, including not for profit, healthcare, group self-insurers, construction, service, distribution and manufacturing sectors.



### **Bart F. McGloin, CPA, CFE**

Partner, Assurance Services Group  
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Bart serves as the partner-in-charge of the Firm's Assurance Services Group. He specializes in forensic accounting matters including fraud and embezzlement cases, litigation support services, and fraud prevention techniques.



### **Andrew J. Reading, CPA**

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Andrew concentrates his practice on audit engagements also developed a specialization in internal controls and acquisitions. He has also built a niche practice with emphasis on employee benefit plans. He serves clients in the healthcare, cooperative, not-for-profit and manufacturing industry sectors.