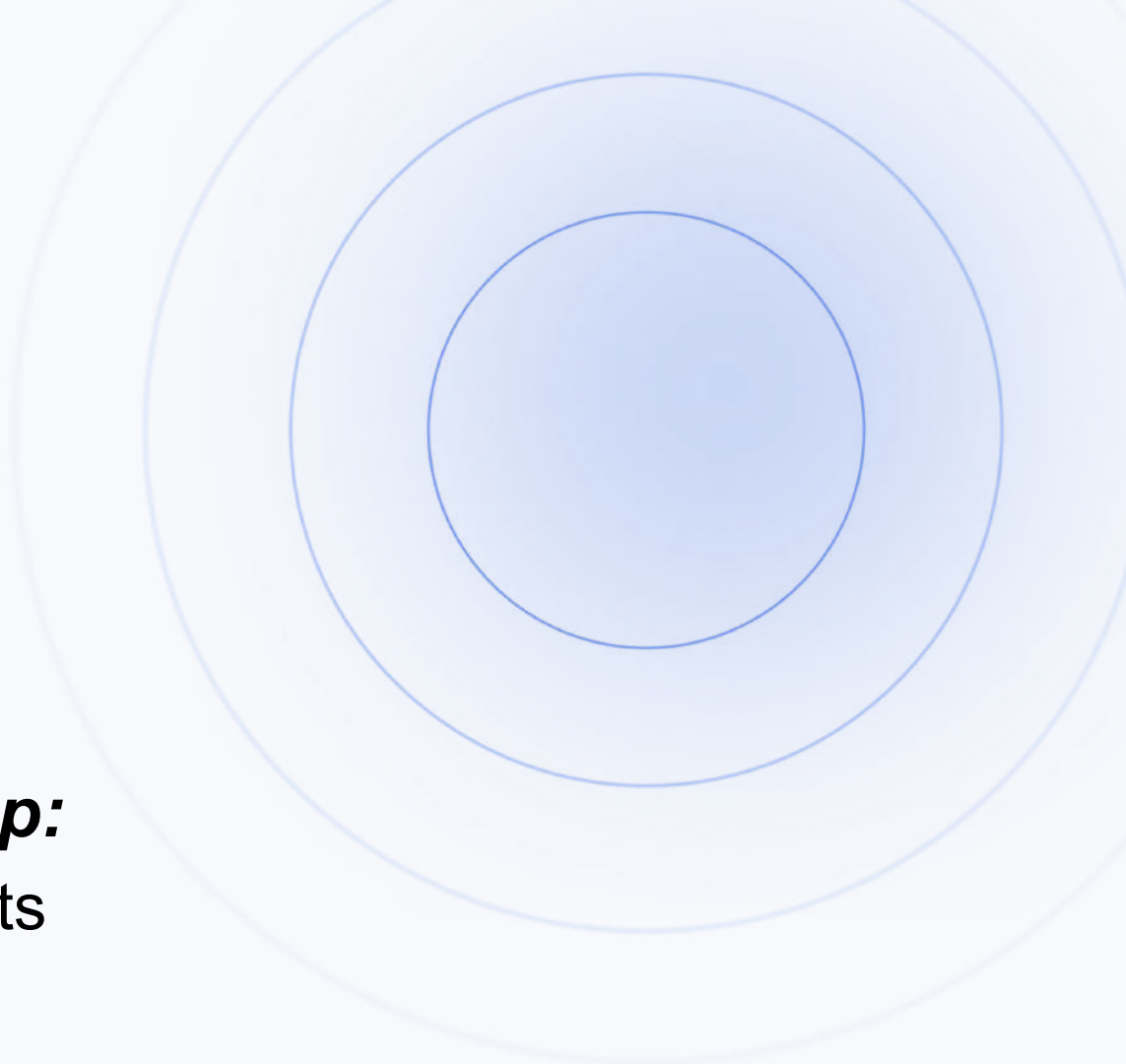




Community Office Hours

# ***SOX Year-End Recap:*** Key Actions and Insights





# Housekeeping Items

- Today's session is recorded and will be posted in the AuditBoard Community
- CPE credits will not be issued today :(
- Live Demos are performed in a Demo Site
- Please use the Zoom Q/A function to submit questions

01



# Introduction

# Presenters



**Alex Loehr**

Enterprise Customer Success Manager,  
AuditBoard

*Former BIG4 IT Auditor (EY & KPMG)*

*With AuditBoard for ~1.5 years*

*Favorite Features: WorkStream & Templates*

# Agenda

- Introduction
- SOX Calendar Recap
- WorkStream Use for YE Tasks
- Other Features
- Q&A & Resources

01

# SOX Calendar Recap

## Poll Question #1

# What's your Year-End (YE)?

- A. 12/31
- B. 09/30
- C. 06/30
- D. 03/31
- E. Other

# SOX Calendar Recap



AuditBoard Features

12/31 YE

V1 09/2024



02

# WorkStream Use for YE Tasks

## Poll Question #2

# Are you currently using WorkStream for your (YE) Procedures?

- A. Yes
- B. No
- C. Unsure
- D. What's WorkStream?!

# WorkStream Use Cases for YE Tasks

- SOC1 & Bridge Letter Requests [COH [link](#)]
- IT Application DB/Server & Location (e.g., on-site vs. SaaS) Confirmation [DEMO]
- General YE PBC Requests [HC [link](#) & [link](#)]
- YE Confirmations on [Subsequent Events](#) post FY-End [DEMO]
- IPE Confirmation & Info Gathering [COH [link](#)]
- Annual Control Testing, e.g. UAR [HC [link](#)]
- Audit Feedback Surveys [HC [link](#)]

- b. Inquire of and discuss with officers and other executives having responsibility for financial and accounting matters (limited where appropriate to major locations) as to:
- (i) Whether any substantial contingent liabilities or commitments existed at the date of the balance sheet being reported on or at the date of inquiry.
  - (ii) Whether there was any significant change in the capital stock, long-term debt, or working capital to the date of inquiry.
  - (iii) The current status of items, in the financial statements being reported on, that were accounted for on the basis of tentative, preliminary, or inconclusive data.
  - (iv) Whether any unusual adjustments had been made during the period from the balance-sheet date to the date of inquiry.
  - (v) Whether there have been any changes in the company's related parties.
  - (vi) Whether there have been any significant new related party transactions.
  - (vii) Whether the company has entered into any significant unusual transactions.



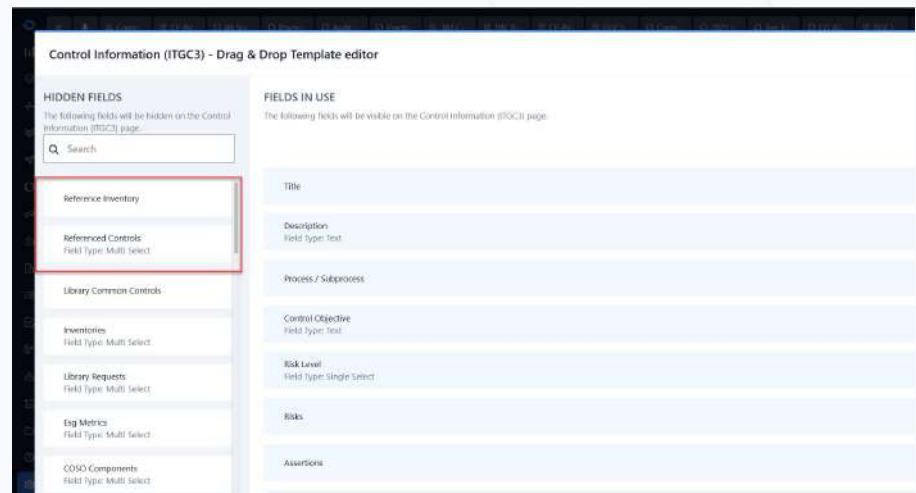
Let's see  
the demo

03

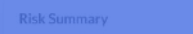
# Other helpful Features

# Other Features

- List Views for quick scoping
- Risk & Control Matrix (RCM)
- [Reference Controls Template](#) Field for IPE and SOC1 CUEC Mapping
- [Review Notes](#) – now available w/ PROF subscription!



ASSESSMENTS			% COMPLETION	RISK	RISK IN ACTIVE ASSESSEMENTS
Total	Open	Complete			
8	1	7	8	169	1



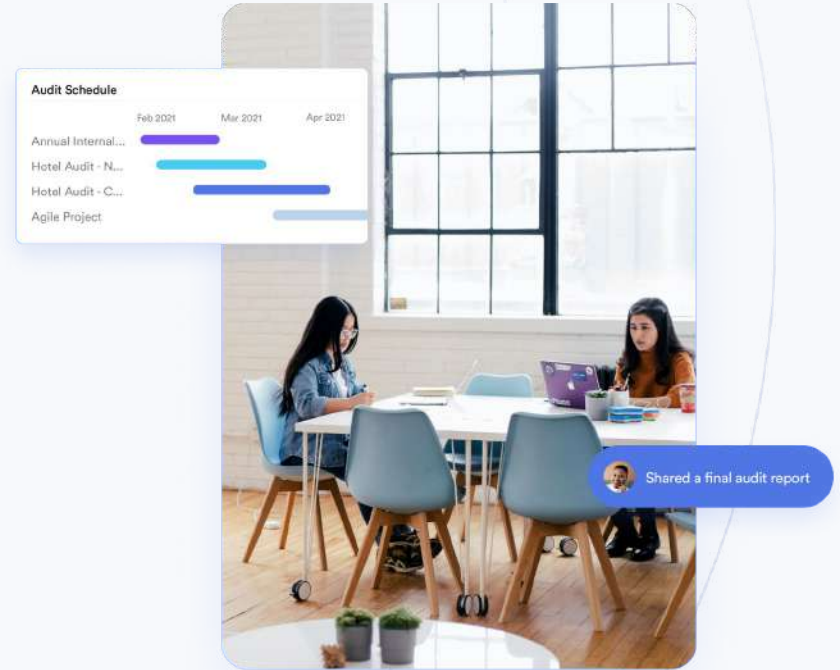
# Let's see the demo

### Top Risks

UID	Risk Category	Risk	Risk Owners	Impact	Likelihood	Inherent Risk Level	Residual Risk Level
R004	Financial	Actual versus budget comparisons are not routinely prepared and analyzed.	Landon Matthews, Jay Li	5.00	5.00	High	High
R079	Information	Failure to create and maintain sufficient and current policies and standards to protect the confidentiality, integrity, and availability of data and IT resources (e.g., hardware, devices, data, and software)	Violet Cooper	5.00	5.00	High	High
R043	Financial	Revenue recognition is not in accordance with US GAAP / financial standards.	Violet Cooper	5.00	5.00	High	High
R106	Strategic	Responsibility for the security program has not been defined.	Landon Matthews, Jay Li	5.00	5.00	High	Medium

# Prior BPW & COH on relevant Topics

- BPW [Recording](#): SOXHUB throughout the FY year / SOX Calendar [PDF](#) (v1)
- COH [Recording](#) & [Templates](#) for SOCI WS & Narrative Usage
- COH [Recording](#) on IPE Setup Options
- Issue Management ([BPW](#))





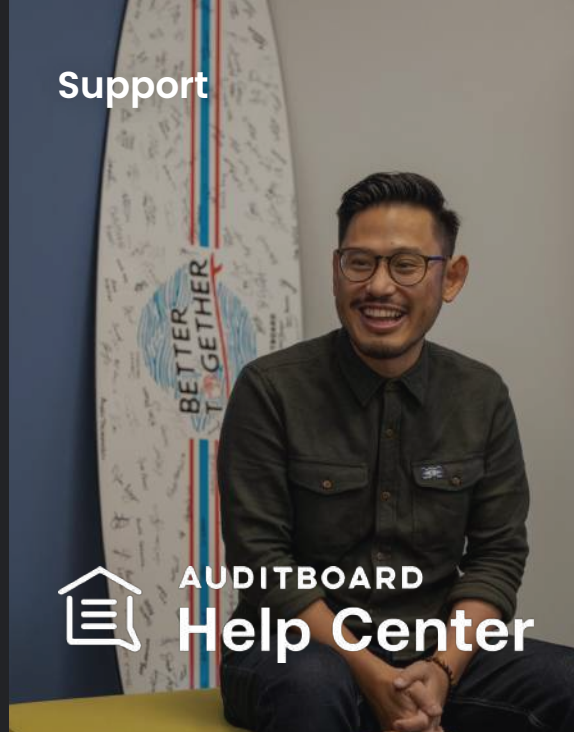
# Customer Resources


Education



 **AUDITBOARD  
Academy**

Support



 **AUDITBOARD  
Help Center**

Webinar Recording will be available  
in the Community *(sent via Email)*

Connection



 **AUDITBOARD  
Community**

# Q&A

SAVE THE DATE

# AUDIT+ BEYOND

NOTIFY ME

October 21-23, 2025

Gaylord Pacific Resort & Convention Center  
San Diego, CA



Thank you.