

## SOX Compliance for an Oil & Gas Client

### Alternate Outcomes of Client Strategies:

- **Extension to correct naming conventions**
- **Cost to maintain processes**
- **Non-compliance with CSOX 404**
- **Fractured organization**

### Benefits:

- ❖ *Process enhancement*
- ❖ *Detailed gap analysis with risk/impact assessments*
- ❖ *Formalized file & data structure*

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### Project Objective

- Sarbanes-Oxley (SOX) compliance initiative to map and re-engineer processes in order to become CSOX 404 compliant

### Known Project Issues:

- Disconnect & friction between cross-functional lines of business across multiple divisions and subsidiaries
- Naming Conventions, file and data structures not pre-established

### Client Strategies

- Outsource mapping and re-engineering management processes for compliance with SOX 404 legislation
- Mandate to map individual business processes across divisions & subsidiaries as unique entities
- Maintain separate and unique process maps for similar processes across the subsidiaries and divisions

### Results

- Project required elongated schedule to accomplish “unique” mapping
- Larger than necessary database for recording processes
- Lack of standardized processes across lines of business

### E2 Solution

- Approach for mapping complex processes over various departments was to host Stakeholder workshops and have each department map out its individual section of the process
- Processes were mapped from beginning to end with input from senior management
- Prepared process narratives capturing the as-is stage
- Facilitated workshops for key stakeholders, to map key processes
- Identified gaps in compliance and non value-adding tasks
- Closed and re-engineered processes excluding non value-adding tasks
- Processes were catalogued in CARDMap for tracking compliance
- E2 identified an issue with naming conventions, file and data structures and worked to correct the issues
- E2 created gap analysis with risk/impact assessments that were critical for Sarbanes-Oxley standards compliance