



Keylight

By NAVEX Global®

SOX Compliance
with Keylight®

Keylight's integrated approach brings efficiency and effectiveness to SOX compliance.

Compliance with the Sarbanes-Oxley Act (SOX) is an accepted responsibility of running a public company in America. Most organizations, having performed this exercise for the better part of 15 years, complete SOX activities using spreadsheets, email and word processing, all maintained in shared drives. However, these tools don't effectively scale or provide workflow capabilities to automate the growing list of disclosures included within SOX requirements, or even facilitate the chain of command sign-offs required.

What if you could change your company's SOX compliance program to be more efficient and effective?

Integrate compliance and audit procedures

The Keylight Platform from Lockpath, streamlines, standardizes and integrates your compliance processes to quickly meet SOX requirements.

Keylight serves as the repository to capture process design and enables organizations to perform process design walkthroughs once and leverage where

Streamline and automate SOX compliance with Keylight's integrated solution

As a preferred SOX compliance solution, Keylight equips you to accomplish compliance activities in less time with more capabilities in management, collaboration, and reporting, as well as generate a greater return on investment. You can:

- Import your risk and control matrix (RACM)
- Store and manage control information (e.g., process, entity-level, IT) and related assertions
- Link processes to risks and risk to controls, then to audit activities
- Bulk distribute assessments to validate control design
- Create/manage testing, as well as archive results, workpapers and evidence
- Manage reviews with process owners
- Collaborate and share data with other regulation compliance owners
- Facilitate remediation and retesting procedures
- Generate control status reports at any time

and when needed. It removes redundant documentation exercises and maps business processes to relevant regulatory compliance requirements. For SOX compliance professionals, it's less work with more results.

The platform enhances the analysis process by enabling

standardized risk scoring and mapping those risks to mitigating control activities. You can identify primary key controls and secondary compensating controls, as well as prioritize mitigating controls with scoring based on the risk of failure to the overall business process. As deficiencies are identified, utilize

Finally, an agile approach to SOX compliance.

Keylight to determine the overall control failure impact by scoring controls and linking control failures to remediation tasks.

With Keylight, you can auto-create audit tasks by linking business processes to relevant regulatory compliance audit requirements. Use or update findings, launch investigations and manage remediation through automated notifications and reminders—all within the platform. It gives back hours of audit preparation time through efficiencies gained.

Keylight's reporting capabilities make it easy to generate reports/dashboards for use by the internal and external audit teams, process owners, and executives. It can be a high-level report that you share, or you can give access to an interactive dashboard with drill-down to supporting detail. Control status? Just run a report. Keylight reporting is a real timesaver, leaving more time for analysis.

An agile approach to SOX compliance

Can your current processes

for SOX compliance manage more stringent requirements? You need a more agile solution that scales to meet today's and tomorrow's needs. That's Keylight. It integrates compliance and audit procedures, reducing SOX time and costs. With Keylight, you get what your company needs—a more efficient and effective SOX compliance program.

To learn more about SOX compliance with Keylight, contact us at 913.601.4800 or email info@lockpath.com.



IRM's role with regulatory compliance

Regulatory compliance requirements like SOX are one area of managing risk to the organization. Integrated risk management gives you a holistic and comprehensive view of risks to your entire organization. Keylight empowers users to manage all types of risk and adapt as needed, helping to create a more agile organization that views risk as a competitive advantage.



About Lockpath

Lockpath is an enterprise software company that helps organizations understand and manage their risk. The company's line of integrated risk management solutions provides companies with the means to efficiently and effectively identify, manage, and monitor risks, for a more agile and resilient business. Lockpath serves a client base of global organizations ranging from small and midsize companies to Fortune 10 enterprises in more than 15 industries. The company is headquartered in Overland Park, Kansas. For more information on Lockpath, visit [Lockpath.com](https://lockpath.com).