

IT Process Development and Controls for SOX [case study]

Project Mission and Background

\$1B large contact center outsourcer handling 40 MM calls annually, was concerned about compliance with the Sarbanes-Oxley act, within the IT organization. Normal business processes were SOX-compliant; however, little consideration had been given to the IT group. Continued non-compliance would likely cost the company several large customers, due to those customers' business requirements to comply with SOX financial and process controls – whether the processes were internal to the company or provided through an outsourcer, like our client.

Challenges

Traditional external audits confirmed the need for improved documentation and controls over IT processes. Corporate controls standards were clearly understood outside of IT; however, IT project management and operations were focused on supporting end-client service level agreements, while SOX-type controls were normally considered a lesser concern.

The Solution

Lewis & Fowler was engaged to review project management methods, IT processes and associated controls, then to develop a plan to satisfy SOX issues. We developed and executed an aggressive project plan that met compliance deadlines:

- IT processes were documented, analyzed for controls issues, and modified to meet requirements; most internal processes were previously undocumented and delivered in an ad hoc manner.
- Scheduling, tracking and reporting processes were revised, enabling IT leadership to shift resources to address critical areas of non-compliance.

Benefits

Partnering with Lewis & Fowler, our client achieved compliance deadlines in a rational, organized manner with minimal impact on the IT and business organizations. We quickly mobilized resources with technical, project management and controls expertise, that met the short time frames of this effort. We brought objective knowledge to the table, while allowing the IT organization to focus on their primary role of providing high service levels to the business. In turn, the business was able to avoid any loss of customers due to SOX non-compliance.

About Us

Lewis & Fowler is a professional consulting firm focused on delivering business impacting results to corporations throughout the United States.



- + Large contact center outsourcer.
- + Needed to bring internal IT controls processes into alignment with Sarbanes-Oxley compliance.
- + Enabled the organization to achieve their compliance deadlines while avoiding any loss of customers.