

## SOX Workflow Case Study with TeamTrack



### Just the Facts...

#### Client

A leading Global Life Sciences Company  
Ontario, Canada

#### Problem

Manual evidence generation that generated 10,000 pages of documentation annually

#### Solution

Fyoozhen Consulting information technology evidence generation framework

#### Timeline

Six weeks; including training

#### Results

Project completed on time, on budget and client continues to be happy with the results.

### The Client

**A Leading Global Life Sciences Company  
Ontario, Canada**

### The Challenge

A leading global life sciences company in Ontario, Canada was about to begin their first attempt at meeting the various regulatory requirements of the Sarbanes-Oxley Act. Based on their own evidence output requirements, fyoozhen estimated that the company would generate approximately 10,000 pages of documentation, annually, to support the evidence requirements for Section 404 of the Sarbanes Oxley Act. Like many other publicly traded companies, the logistics of documenting process (and *then* implementing and managing it) was proving to be a challenge.

However, one business unit of the company wanted nothing to do with paper and was determined to define the organization's standard for SOX evidence generation. Understanding the unique challenges of generating evidence through TeamTrack, Serena Software turned to fyoozhen+Consulting, Inc. to provide insight and expertise for the life sciences company's evidence generation strategy. **fyoozhen** implemented an information technology evidence generation workflow framework that would allow the client to deploy *their* standardized processes in TeamTrack while maintaining SOX compliancy.

### fyoozhen's Solution

fyoozhen consultants worked with the information technology and audit staff to gain an understanding of the information technology and control environment and provide a strategy for evidence creation and management. The principal consultant worked with the client's documentation and information technology staff to create automated information technology process workflows that delivered the **appropriate** level of documentation for internal and external audit. Fyoozhen also created reporting to support internal audit, external audit, and the technology staff.

This entire deployment took just six weeks; from the review of the client's documentation to the delivery of the completed workflow and training of the project owners. To control client costs; fyoozhen worked from their offices in southern California and delivered the solution on time, on budget and in person.

### The Result

Following the deployment of twenty-five information technology workflows at this Canadian life sciences company; much has changed for the information technology department. Through this implementation they not only meet their evidence generation requirements for SOX with minimal effort, but they use their SOX implementation as a foundation for other business processes - across all lines of the business. Gaining efficiencies that no one could have predicted at the beginning of the project.

The definitive efficiency numbers have yet to be determined because as a foreign filer; this client has not had their first audit yet. However, it goes without saying that this proactive evidence production environment along with an evidence retention and management strategy will support their audit effort for years to come.

Finally, fyoozhen continues to advise the business unit's technology management team with their compliance efforts as they integrate and grow their process and standards.

This organization will never know the pain of change control on paper or incident management in email. For them, SOX compliancy was just one more deployment in a very busy year.

For more information please contact us.

#### Corporate Headquarters

fyoozhen+Consulting, Inc.  
13101 Washington Boulevard Suite 106  
Los Angeles, CA 90066 USA  
Main: 310-566-7301  
Fax: 310-566-7306  
Email: [info@fyoozhen.com](mailto:info@fyoozhen.com)