TECHNOLOGY RISK & CONTROLS ADVISORY: FROM COMPLIANCE TO EXECUTION (SOX, SOC & IT CONTROLS)

For finance and audit teams managing complex compliance and assurance demands, entering every audit prepared rather than reactive is the difference between a clean report and a costly remediation cycle. And for organizations that need more than advisory support, we can also provide the skilled execution capacity to get there.

DOES THIS SOUND FAMILIAR?

- Your organization is preparing for an upcoming audit or assessment, but control documentation and supporting evidence are not consistently maintained throughout the year.
- Controls were designed to satisfy auditors, not to reflect how the organization actually operates, and that disconnect shows up in the evidence.
- Ownership of IT general controls is distributed across IT, finance, compliance, and business teams with no clear accountability structure.
- Evidence collection is a manual, last-minute effort that pulls resources away from operations.
- Vendor and subservice organization relationships are not consistently assessed, monitored, or documented.
- Assurance activities are point-in-time and cannot keep pace with agile development, DevOps, and continuous deployment environments.
- Your team has the direction but not the capacity to execute controls work, audit preparation, or compliance program management consistently throughout the year.

These patterns surface consistently across organizations navigating complex compliance and assurance requirements, often driven by the same underlying root cause. Evidence is assembled manually and is inconsistent or difficult to retrieve when auditors ask for it. Policies describe intended operations rather than actual ones. When findings go unresolved, the consequences are direct: qualified opinions, material weaknesses, delayed reports, and resource diversion that disrupts operations.

HOW WE HELP

Vasquez + Company LLP's (Vasquez) Technology Risk and Controls Advisory is a structured advisory engagement, not an audit, designed to surface what auditors will find before fieldwork begins so your team can respond on your terms. Our partners are directly involved throughout, and we begin with a scoping and readiness assessment across SOX, SOC Type I, or SOC Type II, evaluate IT general control documentation and evidence across access management, change management, logging and monitoring, and incident response, and assess the completeness of your vendor and subservice organization risk program. Where gaps are found, we move directly into remediation through policy updates, evidence collection setup, access governance corrections, and control retesting.

For organizations that need execution capacity alongside advisory support, we also provide staff augmentation, placing experienced IT controls and compliance professionals directly within your team to work under your direction. Resources are available on a short-term, long-term, or surge basis and can support controls testing and evidence collection, SOC and SOX program coordination, audit walkthroughs, issue tracking, and ERP controls and access governance. For organizations seeking year-round readiness, we offer continuous compliance support including quarterly monitoring, ongoing evidence management, and coordination with external auditors throughout the full reporting period.

TECHNOLOGY RISK & CONTROLS ADVISORY: FROM COMPLIANCE TO EXECUTION (SOX, SOC & IT CONTROLS)

What You Walk Away With

- A clearly defined scope for your upcoming audit or assessment — before auditors arrive.
- A gap analysis by severity so your leadership, finance, and audit teams know what to address first.
- Audit-quality evidence packages that are organized, complete, and ready for fieldwork.
- Clearly assigned control ownership so accountability is no longer distributed without structure.
- A vendor assurance program demonstrating ongoing oversight, not just a one-time review.
- A remediation roadmap focused on findings most likely to affect your audit opinion or result in a material weakness.
- Skilled execution resources embedded within your team and operating under your direction, available on a short-term, long-term, or surge basis as your needs require.
- A compliance posture that holds up year-round, not one rebuilt at the start of every audit cycle.
- A stronger position of trust with investors, clients, partners, finance committees, and regulators.

Explore our full Technology Services catalog.
*Scan the QR code or visit this **link.***

FOR MORE INFORMATION, CONTACT:

Roger Martinez, CPA
Partner, Audit Practice Leader
O: +1.213.873.1703
M: +1.310.721.1286
ram@vasquezcpa.com

Michelle De Guzman
Director, Technology Services
O: +1.213.873.1788
M: +1.858.828.6385
mdeguzman@vasquezcpa.com

Jason Tagasa
IT Audit Senior Manager
O: +1.213.873.1773
M: +1.747.228.5977
jtagasa@vasquezcpa.com

ABOUT VASQUEZ

Vasquez + Company LLP has over 55 years of experience providing audit, assurance, tax, technology consulting, and advisory services to nonprofit organizations, government entities, and healthcare organizations. We are ranked among the top 1% of accounting firms by the AICPA, with offices across California, Arizona, and Nevada. Our partners are directly involved in every engagement, delivering the depth of a national firm with the hands-on attention your organization deserves.