

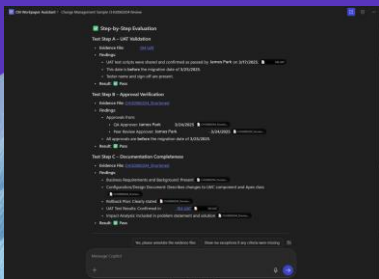
SOX Change Management Testing Agent

Solution Overview

Produces audit-ready, tabular outputs showing testing, approvals, sequencing, and policy alignment, and automatically ticks and ties workpapers to the source evidence reviewed.

It introduces **two AI agents** that automate core audit activities:

- Attribute Extraction Agent
 - Ingests ticket data
 - Extracts required compliance attributes such as tester name, approval name, and dates Structures results into a standardized audit table
 - Pre-populates pass/fail logic based on rules
- Evidence Annotation (Tick Marking) Agent
 - Identifies extracted fields directly within source evidence
 - Applies visual markers (e.g., boxes, labels)
 - Shows exactly where each attribute was validated



Business Use Case

Auditors must manually review tickets across multiple ticketing systems to validate testing, approvals, and timing relative to deployment. Auditors are required validate evidence and document attributes in spreadsheets for SOX workpapers. Inconsistent ticket formats increase effort and risk of inconsistency, as auditors must open, scan, annotate, save, and reconcile evidence for each sample. These manual steps limit scalability and reduce time available for judgment-based analysis of SOX exceptions.

Benefits

- Reduces SOX testing time by automating manual evidence review, tick-and-tie, and workpaper documentation activities.
- Improves audit efficiency and helps contain SOX compliance costs without increasing headcount.
- Standardizes testing across ticketing systems, improving consistency, accuracy, and audit quality.
- Strengthens SOX defensibility through clearer traceability between source evidence and workpapers.
- Enhances auditor experience by eliminating low-value administrative work and enabling greater focus on higher-risk exceptions and professional judgment.
- Enables scalable SOX testing as change volumes increase.

Key Results

850 hours

Annual time savings

\$185K

Annual cost savings

Technology

- Copilot Studio
- M365
- Bing Chat

Time taken

Launched in 1-3 months