

Reduce risk by identifying SOC 1 gaps early.

SOC 1 Readiness Assessment



CDW's SOC 1 Readiness Assessment delivers strategic value by helping your organization anticipate and resolve potential audit issues before the formal examination begins. CDW's experienced risk and compliance professionals work closely with your team to uncover control gaps, process inefficiencies and documentation shortfalls, offering practical recommendations that align with industry standards. By clearly defining audit scope, control objectives and evidence expectations, we ensure your teams are fully prepared, minimizing surprises and setting the stage for a smoother, more successful audit. Choosing CDW means gaining a partner who not only increases your likelihood of achieving an unqualified SOC 1 report but also strengthens your overall compliance posture, builds client confidence and improves audit readiness across the board.

SOC 1 Readiness Assessment can help you achieve:



**Operational
Efficiencies**



**Cost
Reduction**



**Reduced
Risk**

Finding the Right Solution

At CDW, we leverage a proven, structured methodology to deliver comprehensive SOC 1 Readiness Assessments that set our clients up for success. Our approach is designed to proactively identify control gaps, clarify process documentation and reduce the risk of audit-related surprises. By partnering closely with your team, we help enhance and validate the internal controls relevant to financial reporting, ensuring your organization is well-positioned for a smooth audit experience.

Below, we outline the key steps typically involved in our Readiness Assessment process:

- **Understanding your environment:** Information gathering to identify which processes, systems and teams are in scope. What parts of the business affect the clients' financial reporting?
- **Reviewing existing controls:** Evaluate the controls that are already in place — such as access to financial systems, change management and processing of financial transactions.
- **Identifying gaps:** Assess the design and implementation of existing controls to identify deficiencies, undocumented procedures or informal practices that could pose challenges during a formal SOC 1 examination.
- **Providing recommendations:** Provide clear, actionable steps to fix any gaps. Implementing stronger password rules, keeping better records or formalizing approval processes.
- **Educating your team:** Help the client understand what's expected in a SOC 1 report and what evidence they'll need to provide when the real audit begins.

CDW's full lifecycle of Services can support your organization no matter where you are on your journey



Design



Orchestrate



Manage



On-Premises



On-Journey



Cloud-Based

WHY CONDUCT A SOC 1 READINESS ASSESSMENT?

A SOC 1 Readiness Assessment serves as a preparatory step prior to a formal SOC 1 examination. Your clients or their financial auditors commonly request a SOC 1 report when your organization delivers services such as payroll, billing, claims processing, or other back-office operations that may affect their financial reporting. This report demonstrates that your internal controls (including policies, procedures, and systems designed to manage risk) function effectively to safeguard clients' financial information. Due to the rigorous and comprehensive nature of a SOC 1 audit, many organizations opt to conduct a readiness assessment beforehand to ensure they meet all necessary requirements.

CDW's SOC 1 Readiness Assessment helps organizations proactively prepare for a successful audit by:

- Identifying control gaps, process inefficiencies and documentation shortfalls.
- Getting actionable, standard-aligned recommendations.
- Defining audit scope, control objectives, and evidence expectations.
- Reducing surprises and improving overall audit readiness.
- Strengthening compliance posture and building client confidence.
- Increasing the likelihood of receiving an unqualified SOC 1 report.

To learn more, contact your CDW Account Team or call 800.800.4239.

