



September 23, 2021

# IT & DA Audit Team Meeting - September

# Agenda

## **General Updates**

Lynn Atkin

## **September Birthdays and Work Anniversaries**

## **Auditboard Techniques/Observations**

Ronald Roy / Jason Nazare

## **Methodology & IT Audit Best Practices**

Ronald Roy

## **Colleague Azure AD Synchronization/Unily Logon**

Saicharan Sirangi

## **2021 Engagement Survey Focus Areas**

Ronald Roy

## **Open Forum**

Team

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# General Updates

Lynn Atkin

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# September Birthdays

**Daniel Benner- *September 9th***

**Michael Fritz – *September 13th***



A bright yellow background decorated with colorful confetti and streamers. The streamers are made of paper and are twisted into loops. The confetti consists of small, irregular pieces of paper in various colors including red, blue, green, black, and white.

# September Work Anniversaries

Eric Baba – 7 Years - 9/3/2014

Sol Vazquez – 7 years – 9/29/2014



## **CVS Fun Facts Thursday**





# Did you know?

1. CVS's Photo Center Prints more than 4 million passport photos every year
2. There are more than 9,600 CVS Pharmacy locations scattered across 49 states and Washington DC, Puerto Rico, and Brazil
3. CVS serves more than 5 million customers every day
4. CVS was the first major retailer to go smoke free – it ended all tobacco product sales in stores on Sept 3, 2014
5. 76% of the US population lives within five miles of a CVS Pharmacy



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# **Auditboard Techniques/Observation**

**Ronald Roy / Jason Nazare**

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# Discussion Points

- *Data Requests & Client Communications*
- *MAP Follow Through and Communication*
- *Q & A*





**CVS Fun Facts  
Thursday**



# Did you know?

- 6. Nail polish was the bestselling beauty product at CVS Pharmacy in 2014, with 21 million units sold
- 7. Nearly one in four people in the US have an ExtraCare Card
- 8. Many CVS stores have coupon Kiosks– Take advantage of them!
- 9. CVS Pharmacy Fills or manages more than 1.9 billion prescriptions every year.
- 10. The CVS Health Brand is the top-selling brand at CVS Pharmacy.



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# **Methodology & IT Audit Best Practices**

**Ronald Roy**

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# Discussion Points

- *Kick-off Deck*
- *Audit Report*
  - *Distribution list*
  - *Due Dates*
- *Q & A*



# Methodology Best Practices

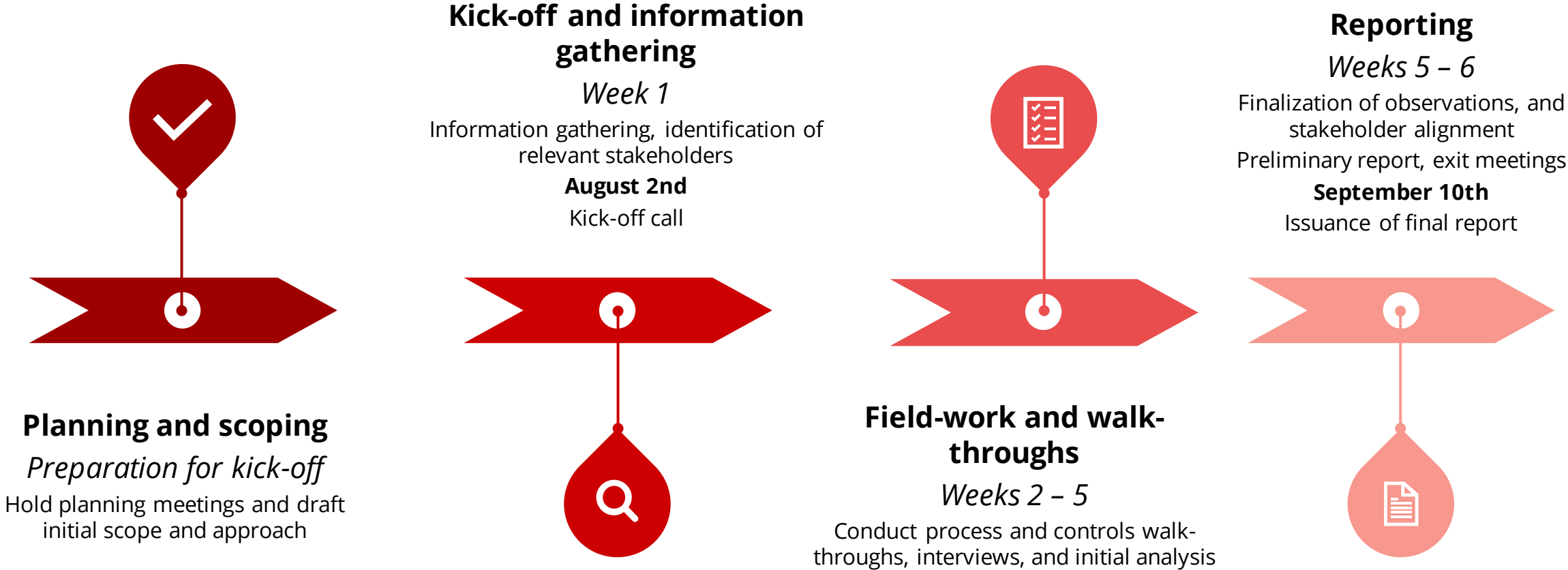
## Kickoff Deck

- **Use Core Template – with updates**
- **Executive Summary & Scope Objective Slides – a must**
- **Timeline Slide**
- **Due Date Terminology**

## Reports

- **Distribution List**
- **Due Dates**

# Audit Timeline



# Standard Terminology

## Ratings & Management Action Plan

The rating of findings drives the timing of remediation and also the level of management that is responsible for developing and implementing action plans.

<b>High</b>	The identified risk requires the immediate attention of department and senior management to prevent the process from becoming ineffective, and an agreed-upon action plan for resolution is needed.
<b>Medium</b>	The identified risk requires the near-term attention of the responsible manager. There should be an agreed-upon action plan for its resolution.
<b>Low</b>	The identified risk does not warrant immediate attention; however, there should be an agreed-upon action plan for ultimate resolution.
<b>Deficiency</b>	If SOX related, rating categories will be assessed as Deficiency, Significant Deficiency, or Material Weakness.

*Note: While the audit will focus on the objectives previously noted, IA has a responsibility to assess any additional risks identified during the audit, and report any issues identified. Where applicable, issues will also be evaluated against requirements for Sarbanes-Oxley or other regulatory standards.*

Each Management Action Plan requires a Due Date and Remediation Date which is tracked by IA.

<b>Due Date</b>	Reflects the date when Responsible Parties / Management will complete the agreed upon Action Plan, which includes sending data to Internal Audit to validate remediation efforts.
<b>Remediation Date</b>	Reflects the date when Internal Audit will have validated the implemented Management Action Plan effectively closed the issue.



# Distribution List – Methodology Current State

## **VII. DISTRIBUTION LIST** *[ordered alphabetically, with the exception of Karen Lynch]*

*[Executive Leadership Team (ELT) includes Karen Lynch, followed alphabetically by applicable ELT Members only (i.e. her direct reports). All other Executives should be included within their applicable Business Area. Due to segregation of duties and firewall requirements, Jon Roberts should only be included on CVS Reports and Daniel Finke only on Aetna Reports]*

*[Eva Boratto, Tom Moriarty, David Falkowski, Jim Clark, John Maroney, and the applicable SVP/CFO and Legal contact for the Business Area under audit are to be included on each report. Additional contacts may be included as deemed necessary within the Business Area. EY partner, Mike Fischer, should be included on each non-ACP Report.]*

### **Executive Leadership Team**

**Karen Lynch** *[CEO, President]*

**Eva Boratto** *[CFO, EVP]*

**David Falkowski** *[CCO, EVP]*

**Tom Moriarty** *[CHSO, EVP]*

### **Finance**

**Jim Clark** *[SVP, Controller and CAO]*

**John Maroney** *[Exec Dir, ERM – remove for ACP]*

*[Respective Business Unit CFO]*

### **Compliance**

*[Respective Business Compliance Office, VP]*

### **Legal**

**Flossie Crisp** *[Retail (including Omnicare and MC)]*

**Sara Hankins** *[PBM (including Coram, specialty)]*

**Betsy Ferguson** *[Transformation, controlled substances, and any audits related to investigations and litigation]*

**Charlie Klippel/Andrea Boado** *[Aetna]*

**Brenna Jordan, Colleen McIntosh** *[Safety, environmental and real estate]*

**Anna Shimanek** *[IT, in addition to the applicable segment Legal contact, above]*

**[Business Area]** *[Include applicable departments]*

### **Internal Audit**

**David Horst**

### **External Audit** *[Remove for ACP]*

**Allison Capprini**

**Tom Derkacs**

**Mike Fischer**

**Ryan Murphy**

# Distribution List – Methodology Current State

## VII. DISTRIBUTION LIST

### Executive Leadership Team

Karen Lynch  
David Falkowski  
Shawn Guertin  
Neela Montgomery  
Tom Moriarty  
Jon Roberts

### Office of the CIO

Roshan Navagamuwa

### Finance

Jim Clark  
John Maroney  
Carol DeNale

### Compliance

Tom Pawlik

### Legal

Anna Shimanek

### Enterprise Technology Products

Mary Buckley  
Lisa Larsen  
Olivia Lawson

### Internal Audit

Lynn Atkin  
David Chavez  
Tyrell Jarrett  
Ashish Joshi  
Jason Nazare  
Aerozona Obiadazie  
Ron Roy  
Moriah Striegel  
Sol Vazquez

### External Audit

Allison Capprini  
Tom Derkacs  
Mike Fischer  
Ryan Murphy

# Report Due Dates

## Current Template

### Management Action Plan:

*[Include management's action plan to remediate the finding and specific actions, and if applicable, completion dates].*

**Remediation Owner:** *[Name]*,  
*[Title]*

**Remediation Due Date:** *[Month Day, Year]*

## Revised Until Template Update – Dates Align with AuditBoard Fields

### Management Action Plan:

The CDR Provisioning process will be re-evaluated to ensure key controls are created and/or revised to mitigate the risk of unauthorized users allowed to continue to have CDR access. A formal manual review process will be provisioned until an automated process can be put in place.

**Remediation Owner:** Lisa Larsen  
Director Enterprise Systems

**Due Date:** December 31, 2021  
**Remediation Date:** January 8, 2022

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**Feedback / Questions**

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# Colleague Azure AD Synchronization/Unily Logon

Saicharan Sirangi

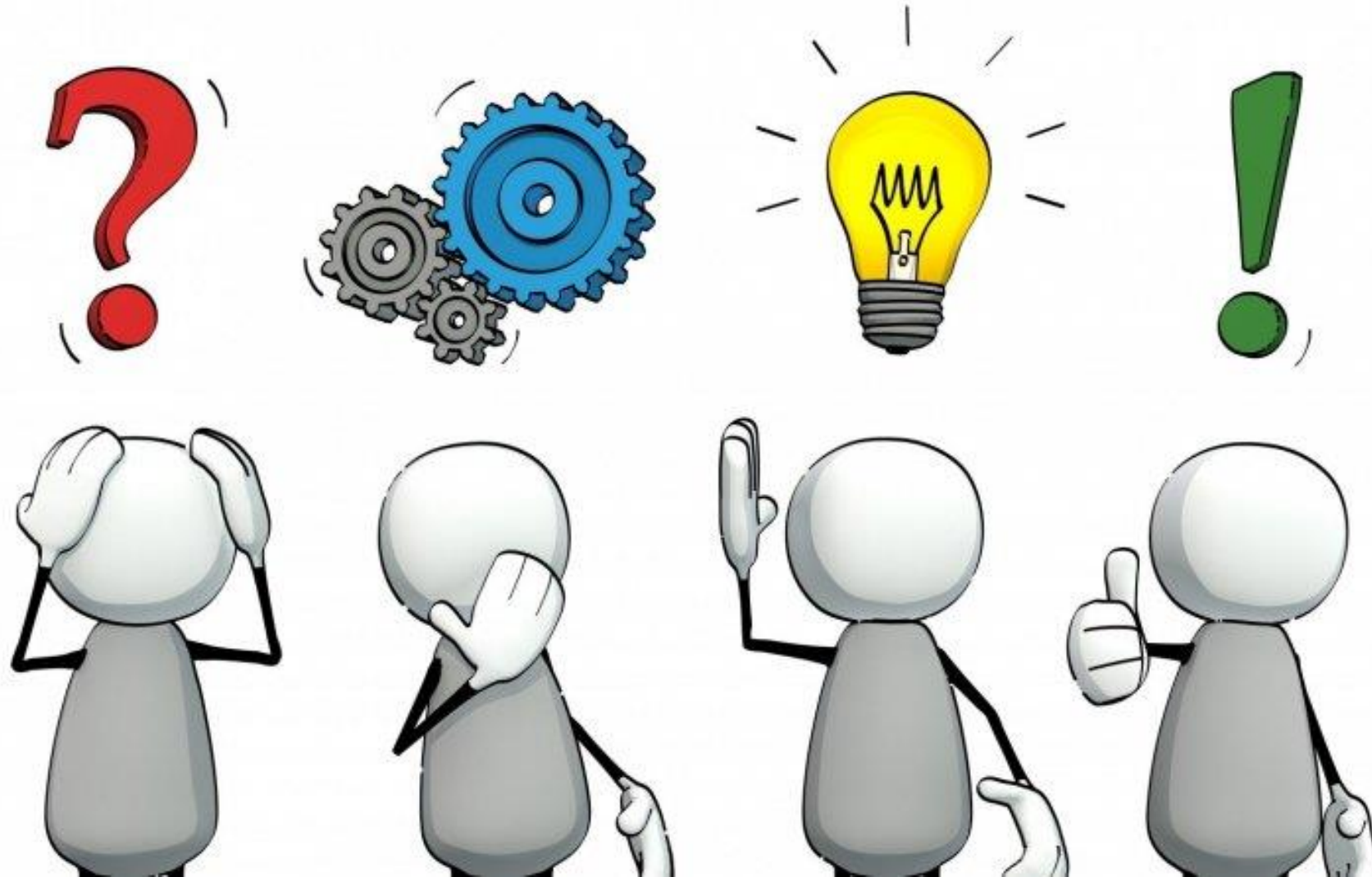
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**Live Demonstration**

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# Q & A



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# **2021 Engagement Survey Focus Areas**

**Ronald Roy**

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# The Engagement Priority

*"To create a 'one company' culture that fosters cross-enterprise collaboration and a customer-first mindset, we must first deliver on our commitment to our colleagues — to be an employer of choice by providing advancement, development and training opportunities for all employees."*

Karen Lynch, CEO

## Purpose of this Report

**Highly engaged colleagues bring their personal best, achieve stronger business results and grow their career with us. The Colleague Engagement Survey is critical to our success in two ways:**

- It enables colleagues to communicate directly to managers and senior leadership about their work experience in a confidential manner
- Results describe the general health of our organization and provide actionable feedback for leaders to build and maintain engagement

## Keys to Successfully Driving Engagement through Action

### It's a team activity

- Let team members identify priority items to act on
- Invite team members to take the lead on planning or activities

### Leverage available resources

- Use the Perceptyx dashboard (or SPR-provided) action planning resources and enter your plans into the systems

### Follow up regularly all year long

- Use the Perceptyx dashboard action planning tool to monitor and track actions
- Revisit action plans and results with your team throughout the year, linking activities and initiatives back to their feedback



### Step 1

Review results on your own, then share results with your team



### Step 2

As a team, identify 1-3 priorities to build engagement

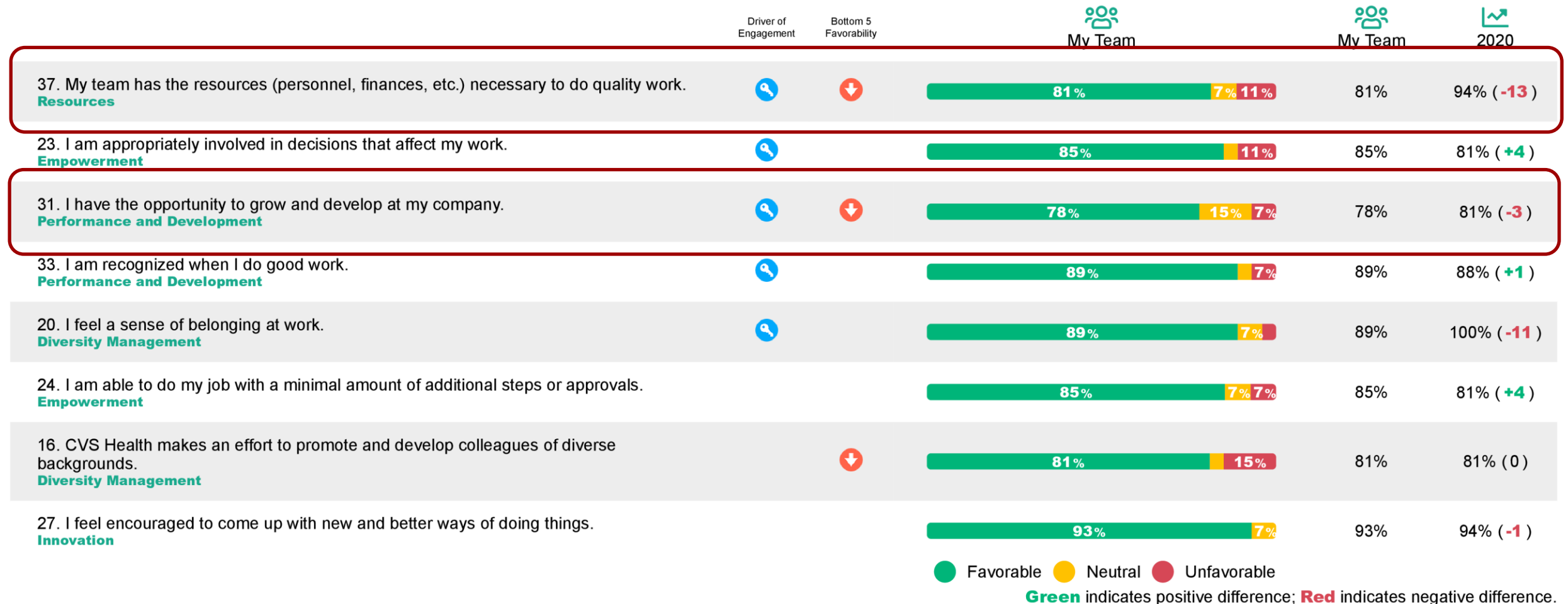


### Step 3

Take meaningful action and follow up along the way

# Taking Action: Items to Consider

As you think about what items to take action on, consider the biggest drivers of engagement, items that dropped the most year over year and the preferences of your team members, especially those items that generate the most discussion during your feedback discussion.



# Step 3: Taking Action – Project Team Assignments

Executive Sponsor: Lynn Atkin

Performance & Development	Resources
31. I have the opportunity to grow and develop at my company.	37. My team has the resources (personnel, finances, etc.) necessary to do quality work.
Team Leaders: Ron Roy / Eric Baba	Team Leaders: Sol Vazquez / Michael Fritz
Ashish Joshi Biven Patel Daniel Benner Michael Bavasso Monika Godara Prateek Kapoor Saurabh Saxena Seun Mafi TerriAnn Quiambao Tyrell Jarrett	Daniel Rodrigues Eric Mata Jason Nazare Joe Rocha Luz Oquendo Lynn Atkin Matthew Colville Michael Fritz Moriah Striegel Saicharan Sirangi

# Develop Engagement Action Plans

## Role of the Leader

- Clearly define an action plan, document and share the plan with the team
- Ensure clarity of follow-up measures, timelines and accountability

Facilitating the Meeting

Plan SMART Goals for Priorities

Create Engagement Action Plans

- **Have the team address the following questions to identify solutions:**

- What is happening that shouldn't?
- What isn't happening that should?
- What aspects of the priority are within our control?
- Refer back to the action planning tips and tools in the online dashboard and this guidebook.

- **Begin with the following questions to clarify priorities:**

- What strengths, if leveraged, will result in the highest payoff for our team?
- What opportunities, if addressed, will have the highest payoff for our team?
- Keep goals SMART (Specific, Measurable, Actionable, Realistic, Trackable).

- **Then:**

- Establish accountability and identify resources to support the action steps.
- Determine timelines for completion.
- Set criteria for follow up to measure successes along the way.

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**Feedback / Questions**

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# Open Forum

**“Hope this slide finds you in good spirits.”**

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# Open Forum

- **What's the best piece of advice you have ever been given?**
- **Would you rather be the funniest or smartest person in the room and why?**
- **If you had the choice to live anywhere else in the world, where would it be?**
- **If you could eliminate one thing from your daily routine, what would it be and why?**
- **If you could choose your age forever, what age would you choose and why?**

