

Change Management Audit Findings

Summary of Audit Findings

The following audit trail records were analyzed against change tickets based on the change management SLA:

Audit Trail Record 0

- **Date/Time:** 2024-01-14 09:30:00
- **Component Modified:** UserAccessModule
- **Modified By User:** USER001
- **Verification Results:** Audit trail record date is found with the authorized user: USER001; however - it might be a change management violation as there were no change tickets found that satisfy the change management SLA.

Audit Trail Record 1

- **Date/Time:** 2024-01-15 04:20:00
- **Component Modified:** SecuritySettings
- **Modified By User:** USER004
- **Verification Results:** Audit trail record date is found with the authorized user: USER004; however - it might be a change management violation as there were no change tickets found that satisfy the change management SLA.

Audit Trail Record 2

- **Date/Time:** 2024-01-19 11:45:00
- **Component Modified:** DatabaseConfig
- **Modified By User:** USER002
- **Verification Results:** Audit trail record relies on change ticket: CHG003 and was carried out by the authorized user: USER002

Audit Trail Record 3

- **Date/Time:** 2024-01-16 18:30:00
- **Component Modified:** NetworkSettings
- **Modified By User:** USER007
- **Verification Results:** Audit trail record relies on change ticket: CHG004 and was carried out by the authorized user: USER007

Audit Trail Record 4

- **Date/Time:** 2024-01-17 11:15:00
- **Component Modified:** APIEndpoints
- **Modified By User:** USER003
- **Verification Results:** Audit trail record relies on change ticket: CHG005 and was carried out by the authorized user: USER003

Audit Trail Record 5

- **Date/Time:** 2024-01-17 17:40:00
- **Component Modified:** LoggingSystem
- **Modified By User:** USER005
- **Verification Results:** Audit trail record relies on change ticket: CHG006 and was carried out by the authorized user: USER005

Audit Trail Record 6

- **Date/Time:** 2024-10-18 09:00:00
- **Component Modified:** UserInterface
- **Modified By User:** USER008
- **Verification Results:** Audit trail record date is found with the authorized user: USER008; however - it might be a change management violation as there were no change tickets found that satisfy the change management SLA.

Audit Trail Record 7

- **Date/Time:** 2024-01-18 23:25:00
- **Component Modified:** BackupSystem
- **Modified By User:** USER006
- **Verification Results:** Audit trail record relies on change ticket: CHG008 and was carried out by the authorized user: USER006

Audit Trail Record 8

- **Date/Time:** 2024-02-19 11:30:00
- **Component Modified:** AuthModule
- **Modified By User:** USER001
- **Verification Results:** Audit trail record date is found with the authorized user: USER001; however - it might be a change management violation as there were no change tickets found that satisfy the change management SLA.

Audit Trail Record 9

- **Date/Time:** 2024-01-19 06:15:00
- **Component Modified:** ReportingEngine
- **Modified By User:** USER004
- **Verification Results:** Audit trail record date is found with the authorized user: USER004; however - it might be a change management violation as there were no change tickets found that satisfy the change management SLA.

Audit Trail Record 10

- **Date/Time:** 2024-01-20 11:45:00
- **Component Modified:** DataProcessor
- **Modified By User:** USER009

- **Verification Results:** Audit trail record date is found linked to change ticket: CHG011, however the change was carried out by the unauthorized user: USER009 - while it should have been carried out by: USER002

Audit Trail Record 11

- **Date/Time:** 2024-01-20 19:20:00
- **Component Modified:** SecurityModule
- **Modified By User:** USER002
- **Verification Results:** Audit trail record date is found linked to change ticket: CHG012, however the change was carried out by the unauthorized user: USER002 - while it should have been carried out by: USER005

Audit Trail Record 12

- **Date/Time:** 2024-01-21 10:15:00
- **Component Modified:** ConfigSettings
- **Modified By User:** USER005
- **Verification Results:** Audit trail record date is found linked to change ticket: CHG013, however the change was carried out by the unauthorized user: USER005 - while it should have been carried out by: USER007

Audit Trail Record 13

- **Date/Time:** 2024-01-21 19:50:00
- **Component Modified:** UserManagement
- **Modified By User:** USER003
- **Verification Results:** Audit trail record relies on change ticket: CHG014 and was carried out by the authorized user: USER003

Audit Trail Record 14

- **Date/Time:** 2024-01-29 10:30:00
- **Component Modified:** APIGateway
- **Modified By User:** USER007
- **Verification Results:** Could not find any change ticket that is related to this audit trail record.

Audit Trail Record 15

- **Date/Time:** 2024-01-22 15:45:00
- **Component Modified:** DatabaseIndex
- **Modified By User:** USER001
- **Verification Results:** Could not find any change ticket that is related to this audit trail record.

Audit Trail Record 16

- **Date/Time:** 2024-01-23 09:45:00
- **Component Modified:** AccessControl

- **Modified By User:** USER006
- **Verification Results:** Could not find any change ticket that is related to this audit trail record.

Audit Trail Record 17

- **Date/Time:** 2024-01-23 14:30:00
- **Component Modified:** SystemCore
- **Modified By User:** USER004
- **Verification Results:** Could not find any change ticket that is related to this audit trail record.

Audit Trail Record 18

- **Date/Time:** 2024-01-24 11:00:00
- **Component Modified:** LogAnalyzer
- **Modified By User:** USER008
- **Verification Results:** Could not find any change ticket that is related to this audit trail record.

Audit Trail Record 19

- **Date/Time:** 2024-01-24 16:00:00
- **Component Modified:** WebService
- **Modified By User:** USER002
- **Verification Results:** Could not find any change ticket that is related to this audit trail record.

Recommendations

1. **Immediate Review:** Audit trail records with potential change management violations (Audit Trail Records 0, 1, 6, 8, 9, 10, 11, 12, 14, 15, 16, 17, 18, 19) should be reviewed and re-approved by authorized personnel.
2. **Process Improvement:** Consider enhancing the change management process to ensure all changes are properly documented and approved.
3. **Periodic Reviews:** Conduct periodic reviews of audit trail records to ensure compliance with change management policies.

Conclusion

This report highlights audit trail records that may violate change management policies and those that comply with the authorized change management process. Immediate action is required to address non-compliant records and ensure future compliance. ““