

Report Title: Plan Details

Run Date and Time: 2024-06-12 15:13:31 Pacific Daylight Time

Run by: System Administrator

Table name: sn_audit_advanced_plan

Plan

Number:	PLN0020001	State:	Approved
Name:	Q3 Audit Plan	Substate:	
Timeframe:	Quarter	Plan with:	Basic planning capabilities
Start date:	2024-06-13	Type:	Internal Audit Plan
End date:	2024-09-13	Approvers:	Steven Cruz-Alba
Owning group:		Approved by:	Steven Cruz-Alba
Owner:	System Administrator	Approved on:	2024-06-12 15:12:45

Description:

This plan is to help provide a roadmap for the execution of our internal audit for the 3rd quarter of the year 2024

Objectives:

Audit Plan for Q3 2024

Introduction:

This audit plan outlines the scope, objectives, and approach for the Q3 2024 audit cycle. The plan is designed to ensure that the organization's governance, risk, and compliance (GRC) framework is effective and operating as intended.

Audit Objectives:

- Assess the design and operating effectiveness of internal controls
- Evaluate compliance with laws, regulations, and industry standards
- Identify and assess risks that could impact the organization's objectives
- Provide recommendations for improvement

Audit Scope:

- Financial processes and controls
- IT security and data privacy
- Compliance with regulatory requirements (e.g., HIPAA, SOC 2)
- Operational processes and internal controls
- Risk management processes

Audit Approach:

- Risk-based approach to identify high-risk areas
- Process flow documentation and walk-throughs

Control testing and evaluation

Interviews with personnel and management

Review of policies, procedures, and documentation

Audit Schedule:

Week 1-2: Financial processes and controls

Week 3-4: IT security and data privacy

Week 5-6: Compliance with regulatory requirements

Week 7-8: Operational processes and internal controls

Week 9-10: Risk management processes

Deliverables:

Audit report highlighting findings and recommendations

Audit summary presentation for management and the Board of Directors

Action plan for remediation and improvement

Responsibilities:

Audit team: Conduct audit procedures and document findings

Management: Provide support and access to personnel and documentation

Audit committee: Review and approve audit plan and report

Timeline:

July 1 - September 30, 2024

This audit plan is designed to provide assurance that the organization's GRC framework is effective and operating as intended. The plan is flexible and may be adjusted as needed to address emerging risks or changes in the organization's operations.

Expenses and Resources			
Budgeted expenses:	\$10,000.00	Budgeted resources:	
Planned expenses:	\$500.00	Planned resources:	4 Hours
Actual expenses:	\$0.00	Actual resources:	0 Seconds
Expense notes:	This fund will be used for miscellaneous logistics for the completion of this audit roadmap: transport, lodging, feedings, etc	Resource notes:	Investigations, sending out questionnaires, and collating audit results.

Activity

Work notes:

Additional comments:

Settings

Functional domain:

Related List Title:

Engagement List

Table name:

sn_audit_engagement

Query Condition:

Parent plan = Q3 Audit Plan

Sort Order:

Number in ascending order

4 Engagements

Engagement	Engagement lead	State	Fieldwork planned start	Fieldwork planned end	Fieldwork complete (%)	Actual expenses
Hiring & Training Review ENG0000121	Allan Schwantd	Scope	2024-12-21 17:02:03	2025-02-09 17:02:03	0	\$0.00
HR Department Review ENG0000223	Bert Schadle	Validate	2020-08-24 21:41:14	2020-08-26 15:36:45	0	\$0.00
Employee Hiring Review ENG0020002	Allan Schwantd	Validate	2024-06-19 23:40:44	2024-06-20 23:40:44	100	\$0.00
NIST Cybersecurity Audit ENG0020123	Bert Schadle	Validate	2021-05-02 03:00:00	2021-08-30 03:00:00	0	\$0.00