Assignment -1

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Collaborative Environment Processes 1 – INFO8930

Doug Ferrier

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# Checklist for the pending audit

Auditing in the It industry is done to evaluate the policies, technology enhancement ,financing , risk management and many more that belong to IT systems to ensure that business goals are achieved, and integrity of data is maintained.

1. Are there any specific guidelines given to the employees about their job roles?
2. Is there any software to keep track of the performance of the employees?
3. Are all the rules and regulations are being followed as per government norms?
4. Is there any maintenance team to keep the system updated up to date?
5. Is there any scope for the expansion of the business according to future needs?
6. Are there any predefined SOP’s for the employee to be followed while responding to the issues?
7. Are there any ways to manage during downtime of the production and increase the profit of the organization by getting rid of labour cost?
8. The processing time for recovery of data from the backup system?
9. Is there secure access to internet connectivity with firewalls and intrusion prevention system installed?
10. Are all the IT tickets raised visible to every employee and is there timely manner update about the status of the ticket raised ?
11. Are there any strategies involved to keep the organization be in the business competition?

# Questionnaire for the audit document

Questionnaire is the set of the question to be addressed while auditing the document to analyze the needs of the group of people.

1. Are their any predefined policies to solve the problem that occur in the system?
2. Is the document written in understandable manner?
3. Does the company have the knowledge centre to learn for the employees?
4. Is the performance of the system being good enough to work on the process ?
5. Is the mission and vision statement are clearly addressed in the documentation ?
6. How the confidential data of the organization is protected from unwanted

Malwares?

1. How are the training session for the knowledge base is conducted?
2. Is there any place so that employees will know about the changes or update in the company ?
3. Can the documents be accessed outside the organization environment ?
4. How is the effective communication between the employees is maintained in the organization?

# Audit Scoping Email Template

SUBJECT: [VSN-CS] [Information System Document Audit] Audit: [25-05-2020]

TO: [Audit Management]

CC: [IT External Compliance Committee], [CEO],

[Audit Management],

We are actively preparing for our upcoming information system document audit on 25-05-2020. Prior to the audit, we would like to clarify a few scoping items to ensure our efforts are properly focused. We would also like to clarify any ambiguous items prior to the audit to save everyone’s time and effort during the engagement. If you would be able to fill in the missing information below by 31-05-2020, it would be greatly appreciated:

**Audit Objective**

There are some objectives needed to be achieved by auditing this document.

1. To find out the process gap to improve the production in the organization.
2. To understand the financial position of the company and future feasibility to extend the production according to business needs.
3. To assess the security measures are effective and followed the government norms.

**Audit Scope and Approach**

The scope of this audit includes an assessment of information system document. Specifically, this review will include:

* E-commerce customer service
* Security Compliance Norms
* May-25-2020 to May-31-2020

**Audit Methodology**

The areas that are being reviewed are strategic business planning, organizational structure, production performance, risk assessment from VSN-CS.To audit there is a requirement for the prototype model of the enterprise.

To assist you with your pre-audit work, we would like to share some pertinent information regarding our organization:

VSN is Supermarket chain located all over North America. It has various branches and departments for operating the business. IT help desk team help ecommerce applications and IT requirements of the company. To improve the performance of the organization, IT help desk team has various requirements like solving the IT issues raised by employees of the organization from various department such as Sales and Marketing, HR, IT.

In order to login portal everyone is required to enter username and password along with onetime password generated at that time.

We are excited to work with you during the audit and are looking forward to the opportunity to improve our security compliance and optimize our current processes and procedures. Please do not hesitate to contact me should you require any additional information or if you would like a walkthrough of our facility prior to the audit. We feel that we can expedite the audit process and enhance the time you spend at our organization with proper scoping.

We are looking forward to working with you during the audit.

Kind Regards,

Kartik Velede

# Audit Guide

**Audit Outline**

* VSN-CS
* Kartik Velede
* Information System Document
* Strategic Business Planning, Organizational Structure, Production Performance, Risk Assessment
* May-25-2020
* May-31-2020

**Introduction**

Auditing is done on document provided by the VSN-CS company where in document includes the steps taken to build the intranet site for the organization and the how data is moved from local to cloud platform.

**Audit Scope**

The auditors will be reviewing:

* Documents specifically related customer service department of the organization

The following items are outside the scope of this audit and will not be examined:

* Documents of other departments

**Audit Objective**

The objective of this audit is to reduce organizational risk, improve compliance, and find beneficial remediation to findings.

1. To find out the process gap to improve the production in the organization.
2. To understand the financial position of the company and future feasibility to extend the production according to business needs.
3. To assess the security measures are effective and followed the government norms.

**Audit Roles and Responsibilities**

|  |  |  |
| --- | --- | --- |
| **Audit Role** | **Name, Position** | **Audit Responsibilities** |
| Audit Contact Person | Siri Chandana, Process Owner | * First point of contact for all audit related communication * Understands all relevant policies, procedures, and controls pertaining to audit topic * Attends daily debriefings with auditors and management * Knows subject matter experts/process owners for easy delegation of auditor questions * Directs all questions on confidential information to executive management * Builds rapport with auditors * Is available to auditors throughout entire audit |
| Escort | Akshay Varma,  Lead | * Acts as guide for auditors; physically walks with auditors during each office tour or inspection * Answers basic organizational/functional questions * Knows subject matter experts/process owners for easy delegation of auditor questions * Restricts access to other departments information |
| Audit Documentation Manager | Hemomsu subodh,  Team Manager | * Manages the collection of evidentiary documentation prior to the audit (CMS, tracking log, etc.) * Fills documentation requests during the audit (knows all documentation owners) |
| Cross-Functional Contact Person | Tarun Reddy,  Team Lead | * First point of contact for business units * Dispenses critical information pertaining to audit (confirm policies, controls, etc.) * Consults experts within the organization should information be requested * Debriefs with functional groups during audit |
| Security Policy Owner | Nitin Kumar,  Security Head | * Subject matter expert on security policy * Answers any questions from the auditor regarding security policy * Available for interview during audit |
| Administrative Staff | Sai Kiran,  Administrative Officer | * Arrange refreshments and lunch throughout duration of the audit * Available for administrative assistance throughout audit (for both auditors and internal staff) |
| Facilities Manager | Shiva Prasad,  Manager | * Arranges for presentation of office prior to audit (cleans, removes memos from bulletin boards, tidies, etc.) |

Staff members throughout the IT department will be required to assist with audit preparation and may be required for interviews during the audit. Consult with your department head to determine your individual responsibilities. If you are unclear on your role in the audit or have any questions, please consult Siri Chandana (karthik.veledy@gmail.com)

**Audit Guidelines**

This is where you will outline the guidelines that govern your audit and methods.

During the audit, we ask that you follow the below guidelines. The way we behave during the audit can have a direct impact on the findings and thus we must present ourselves in a professional, cordial, and collegial manner.

Must Do’s

* Ask management to clarify any policy or procedure that may be unclear PRIOR to the audit – there will be no penalty for seeking reassurance of your own compliance.
* Inform the auditor you need manager approval to be interviewed before answering detailed questions.
* Answer the questions to the best of your ability; only provide facts not opinions.
* Always ask for clarification if you do not understand the question.
* Get additional information if you need it before answering a particular question and follow up with the auditor as soon as possible.
* Inform your supervisor after the auditors review your area and discuss any comments made during the inspection.
* Ask questions of the auditor regarding other programs and experiences they’ve had.
* Smile, act congenially, and be professional.

Do Not’s

* Never lie, fib, or extend the truth.
* Do not take anything the auditor says to you as a personal attack; auditors are just doing their job.
* Do not volunteer information that is not explicitly requested. Defer these requests to management.
* Do not allow the auditor unrestricted access to data and information or unescorted access to any part of the organization. Defer any sensitive requests to management.
* Do not abandon your primary tasks for the sake of the audit. If you are too busy, re-schedule your time with the auditor.
* Do not argue with, insult, or offend the auditors. You can defend your program; however, do so in a professional and considerate manner.

**Executive Summary**

All the documents that are related to customer service department are audited. Audited questions will be evaluated based on the discussion about the document. They detect malpractice and fraud, evaluate accounting procedures for organisations and determine risk management. Checks assets and liabilities by contrasting products to records. Completes audit workpapers by reporting evaluations and results for audit.

Final audit rating : 8

**Findings and Recommendations**

Audit reports usually end with results from the audit and include recommendations for improving the piece(s) that were audited. Results and recommendations are the foundation of a great report. This section should be written using “Planguage” so any reader can follow and understand.

Suggestions for effective communication

Be positive – Focus on what worked as much as you can

Be specific – Be very clear as to what specific parts do not pass the audit or can be improved. Be sure to include steps for improvements.

Identify who should be responsible to act on the improvements.

Keep is simple student and be brief. Stick to the details that matter and are necessary.

# References

Cannoni, D. (2000). Retrieved from *CISA: Certified Information Systems Auditor; 4th Edition.*

Lewinson, M. (2000). *MYMG*. Retrieved from MyManagementGuide: https://mymanagementguide.com/company-audit-checklist/