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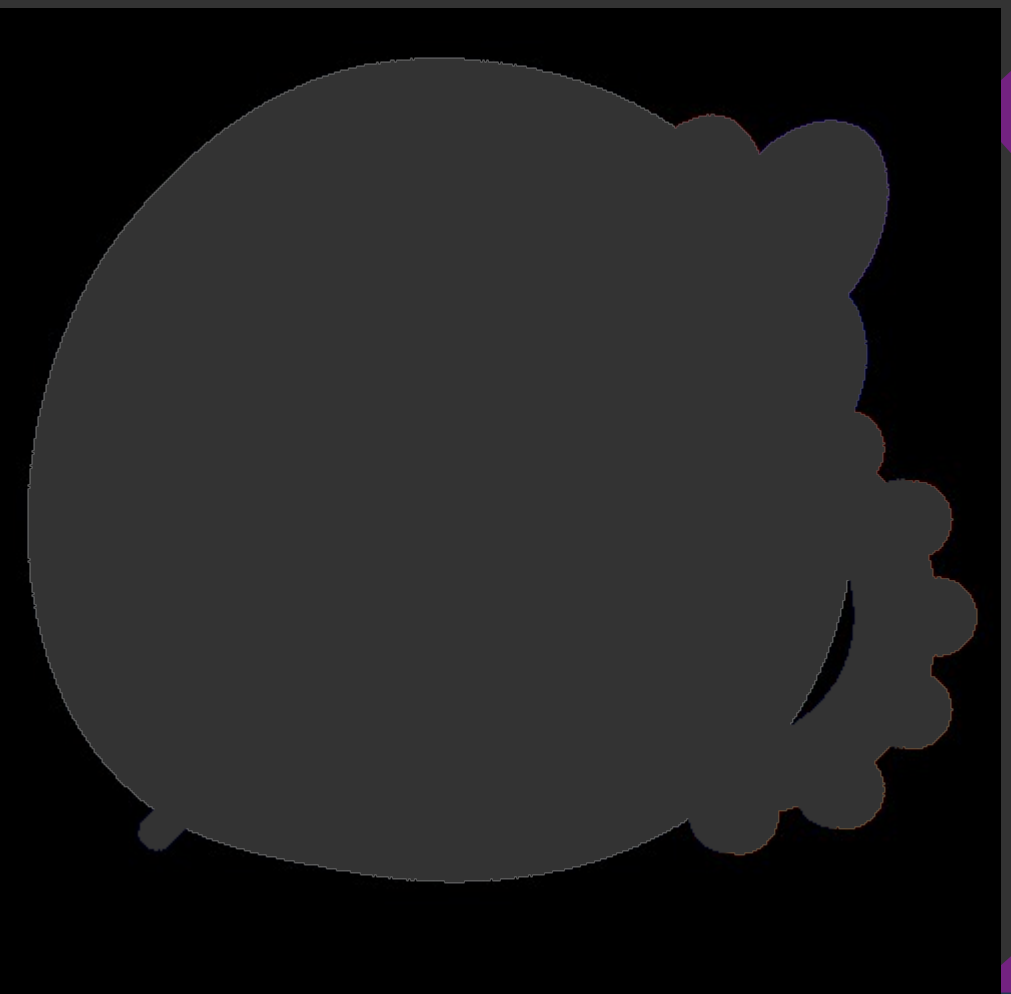


Scope
Of Work:

AGENDA

Project Scope
Audits Descriptions
RPA Audit PT 1: Audit readiness
RPA Audit PT 1: Audit readiness – Bot Security Focus
RPA Audit PT 2: License & Infrastructure Utilisation
RPA Audit PT 3: Scaling potential
Estimated Project Timeline
Effort Estimation

THE AUDIT BIG 4

Project overview

GISC

General Information Security Controls

GISC audits assess the effectiveness of an organization's information security controls, ensuring the confidentiality, integrity, and availability of systems and data, often overlapping with other compliance frameworks.

Focus Areas:

- Information security policies and procedures.
- Access controls, including user access management and privileged access.
- Security of data at rest and in transit.
- Incident response and recovery plans.
- System and software lifecycle management, including change control.

Key Documents:

- Information Security Policy.
- Incident Response Plans.
- Access Control Lists and Logs.
- Data Encryption Documentation.
- Network Diagrams and Firewall Configurations.
- Change Management Logs.

HIPAA

Health Insurance Portability and Accountability Act

HIPAA audits focus on ensuring that healthcare organizations protect sensitive patient health information (PHI) and maintain the privacy and security of this data. IT is central in enforcing technical safeguards for electronic PHI (ePHI).

Focus Areas:

- Protection of ePHI through access controls and encryption.
- Data integrity, availability, and confidentiality.
- Risk assessments and remediation of vulnerabilities.
- Breach notification protocols and reporting.
- IT security policies and disaster recovery.

Key Documents:

- Risk Assessment Reports.
- Access Control Logs for ePHI.
- Data Encryption and Decryption Procedures.
- HIPAA Security Rule Compliance Documentation.
- Breach Notification and Response Logs.

SOX

Sarbanes-Oxley Act

SOX audits aim to ensure that publicly traded companies have accurate financial reporting and proper internal controls to prevent fraud. IT plays a crucial role in ensuring the integrity of financial systems.

Focus Areas:

- Controls around financial systems and data integrity.
- IT General Controls (ITGC) around access to financial systems.
- Data security and accuracy in financial systems.
- Change management and system updates to financial software.
- Backup and recovery procedures to prevent data loss.

Key Documents:

- Financial System Access Logs.
- Change Management Logs for Financial Systems.
- IT General Control Policies (Access, Change, and Backup).
- System Audit Trails and Transaction Logs.
- Data Protection and Retention Policies.

GxP

Good Practice Audit

GxP audits (which include GMP, GLP, and GCP) are common in life sciences industries and focus on ensuring that companies meet quality and safety standards in their products and processes, especially for regulated environments like pharmaceuticals. IT systems that handle critical product data must comply with GxP requirements.

Focus Areas:

- Validation of computerized systems involved in product quality.
- Data integrity and accurate reporting in research and development.
- Change management and system validation procedures.
- Security controls over systems managing product data.
- Compliance with regulatory standards for electronic records (such as FDA 21 CFR Part 11).

Key Documents:

- System Validation Protocols and Reports.
- Audit Trails of Critical Systems.
- Change Control Documentation.
- Data Integrity Policies and Procedures.
- Regulatory Compliance Certifications (e.g., FDA 21 CFR Part 11).

RPA AUDIT PT 1: AUDIT READINESS

RPA AUDIT PT 1: AUDIT READINESS – BOT SECURITY FOCUS

DESCRIPTION OF THE PROCESS:

Enhance RPA security by optimizing bot data handling, credential management, and infrastructure.

Current Pain Points:

Consumption of publicly available cloud systems

SCOPE:

Step 1: Data gathering:

Mapping of current RPA system configuration of:

- MS Azure Components(application, key vault, data storage, recourse group, API Permissions)
- UiPath Assets
- UiPath Storage Buckets
- UiPath System and Bot Logs

Review of existing good practices in CoE for setup and maintenance of platform and code development. Investigation of credential handling in sampled projects, data encryption and GDPR. Based on bot code and execution logs, and its documentation:

- SDD, PDD, Code Review, Deployment Protocol and other project related documents

Step 2: Data analyzing

Analyzing review results against UiPath and Proservartner best practices and GAP identification.

Step 3: Result report

Presentation of GAP report and mitigation action plan.

OUT OF SCOPE:

- Analysis of more than 20 RPA project documentation
- Code fix

Risk:

Data and stakeholder accessibility

DEPENDENCY:

- Project and CoE documentation
- Access to the UiPath System
- MS Azure configuration

CONSTRAINTS:

Client might not have access to Azure part of infrastructure

ASSUMPTIONS:

The client has all documents and accesses available for view, necessary stakeholders are accessible.

RPA AUDIT PT 2: LICENSE & INFRASTRUCTURE UTILIZATION

DESCRIPTION OF THE PROCESS:

Minimize license utilization to improve profitability and unlock resources for future growth

Current Pain Points:

Increase utilization and profit of client RPA infrastructure

SCOPE:

Step 1: Data Gathering

Collection of the detailed (Verbose) UiPath logs for the assessment of possible optimizations in 6 key improvement areas:

- Scheduling and Balancing; Code Optimization; Business Process Optimization; Hardware and Infrastructure; Exception Handling and Error Reduction; License Management.

The data are pulled directly from existing RPA infrastructure production system, thanks to this we can analyze entire landscape.

Step 2: Analysis

Deep analysis of the results and evaluation of the level of utilization in relation to various entities:

- License, machine ,each robot from sample, process type, region, development characteristics

Benchmark comparison of the current state with the possible state.

Step 3: Building of optimization report

Based on analyzed data we deliver report with identified gaps and collection of recommendations how to solve them.

Step 4: Workshop and knowledge transfer session

Optionally:

Simulation – establishing simulation environment running selected processes to represent the possible "to be" state using one of the available dynamic scheduling tools.

OUT OF SCOPE:

- Analysis of more than 20 RPA project documentation
- Implementation of gap fixies

Risk:

Lack of bot documentations

DEPENDENCY:

- Bot source code
- Access to robot machines
- Bot and CeO documentation

CONSTRAINTS:

Client does not have access to identified dependencies.

ASSUMPTIONS:

Client has full access to project documentation and bots source codes.

RPA AUDIT PT 3: SCALING POTENTIAL

DESCRIPTION OF THE PROCESS:

Maximize the scalability of CoE infrastructure and implement best practices to support future growth

Current Pain Points:

Client does not have clear vision of CoE growth perspective

SCOPE:

Step 1: Workshop to gather input data

Gathering intel about current state of CoE and their vision of short and long growth perspective.

Step 2: Setup investigation

Gathering data from the RPA system and its dependencies about the existing setup:

- Robots configuration
- Trigger strategy
- Machines allocation
- Concurrent bot session readiness (code)

Step 3: Problem identification

Creation of GAP report based on gathered information according to UiPath and Proservartner standards, beside that we will deliver optional solutions to handle identified problems.

Step 4: Forecasting

Based on collected information about license/robot/ machines usage we will recommend optimal setup description which include details such as:

- Number of required license
- Type of bot configuration
- Number of Machines and their profiles

In order to handle current volume of robots.

Beside that we will estimate growth perspective of RPA setup based on current development data and ratio.

Step 5: Result presentation on Workshops

OUT OF SCOPE:

- Analysis of more than 20 RPA project documentation
- Implementation of gap fixies

Risk:

Missing required documentation

DEPENDENCY:

- Bot source code
- Access to robot machines
- Bot and CeO documentation

CONSTRAINTS:

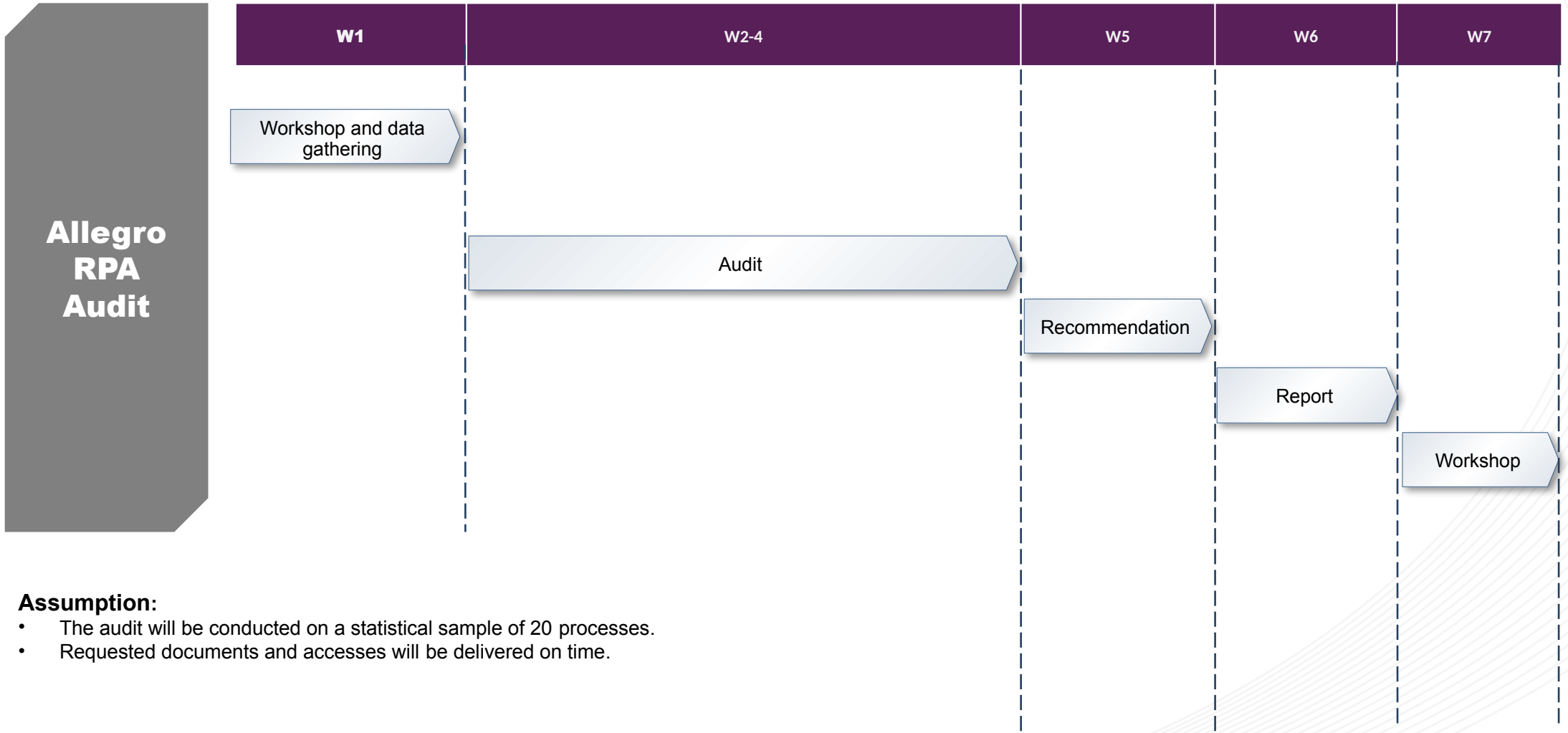
Lack of access to identified dependencies

ASSUMPTIONS:

Client has full access to project documentation and bots source codes.

Allegro RPA Audit

Estimated Project Timeline



Assumption:

- The audit will be conducted on a statistical sample of 20 processes.
- Requested documents and accesses will be delivered on time.

*All descriptions, specifications, and information provided herein are based on our current understanding and are intended solely for illustrative purposes. All aspects of the final design are subject to modification based on the outcomes of the assessment and the mutual agreement of the involved parties.

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Allegro RPA Audit

Project effort from Requirement Gathering till Recommendation Report is estimated at **180 hrs**

Project Phase / Element	Estimated Effort (Hrs)
Initial Kick-off Workshop for Project Alignment	6
License Utilization Improvement Audit & Strategy	29
External & Internal Audit Readiness	29
Security and compliance – Audit Readiness	29
Assessment of robot scaling potential	29
Strategic Recommendation Planning and Report Development	29
Results Presentation and Insights Workshop	6
Project Management / Scrum Activities	23
Total Estimate	**180 hrs**

Allegro RPA Audit
Project effort
Scenarios

Components	Full package	License Utilization Improvement Audit & Strategy	External & Internal Audit Readiness	Security and compliance – Audit Readiness	Assessment of robot scaling potential
Initial Kick-off Workshop for Project Alignment	6	6	6	6	6
License Utilization Improvement Audit & Strategy	29	40	0	0	0
External & Internal Audit Readiness	29	0	60	0	0
Security and compliance – Audit Readiness	29	0	0	75	60
Assessment of robot scaling potential	29	0	0	0	0
Strategic Recommendation Planning and Report Development	29	20	20	20	20
Results Presentation and Insights Workshop	6	6	6	6	6
Project Management / Scrum Activities	23	12	16	19	16
Total Estimate	**180 hrs**	**84 hrs**	**104 hrs**	**126 hrs**	**108 hrs**

*All descriptions, specifications, and information provided herein are based on our current understanding and are intended solely for illustrative purposes. The definitive product design and specifications will be developed pursuant to a comprehensive Assessment and Scope Document. All aspects of the final design are subject to modification based on the outcomes of the assessment and the mutual agreement of the involved parties.

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