Soort Audit Tool

Presentation Outline

| About ORT | Our Clients | About AMT | QA |

About Us

ORT is a Nigerian based Information Technology firm that focus on providing the following services:

- SharePoint Implementation
- Portal Development
- Business Process Automation / Custom Application Development
- Enterprise Document Management System
- Scanning Services for Digitalization
- Business Intelligence Deployment

Our Clients
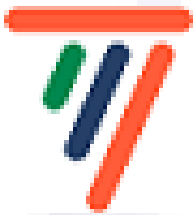
In formation

AMT features overview

1. Domain setup (Back office units, branches, applications)
2. Audit Plan (Audit scoping)
3. Audit risk assessment
4. Audit project managements (Project universe)
5. Process Management based on audit categories
6. Audit review using the working papers
7. Reusable working papers
8. Bulk assigning of working paper tasks to auditors
9. Assigning of tasks to multiple auditors
10. Exception Managements
11. Adequate reports such as project summary, risk assessment, exceptions etc.
12. Integration with active directory for authentication
13. Reminders and escalations
14. Process integration with predefined automated processes

Risk assessment

☐ **Configurable risk criteria and evaluation metrics for all domain as desired**

☐ **Automated risk assessment with configurable rating mechanism**

New Assessment

Kindly complete the form for risk assessment

| Choose audit category | IT Audit |
| Choose an application | Symplus |

| Total Risk Score | 9 | Average Risk Score | 2.25 | Risk Rating | LOW |

S/N	ID	RISK CRITERIA	SCORE
1	1	Confidentiality	3
2	2	Availability	2
3	3	Financial Exposure	1
4	4	Integrity	3

| Minimum Score | 1 |
| Maximum Score | 3 |

S/N	MIN	MAX	RISK LEVEL	RECOMMENDATION
1	1	4	LOW	1 Full Audit
2	5	7	MEDIUM	1 Full Audit & 1 Follow-Up Audit
3	7.1	10	HIGH	2 Full Audit Annually

Submit Assessment

Risk Assessment Details ✕

| Risk Rating | MEDIUM |

S/N	RISK CRITERIA	SCORE
1	Risk Register	3
2	Staffing: Experience, Succession Plan & Turnover	3
3	Strategic Importance	6
4	Statutory Requirement	4
5	Volume of Transactions	7
6	Error Rate	7
7	Fraud Rate	7
8	Outstanding GL Items	2
9	Effectiveness & Quality of Internal Control	3

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Audit Project Management

- Maintain audit projects information.
- This can be maintained in bulk and single way.
- Assign projects to auditors
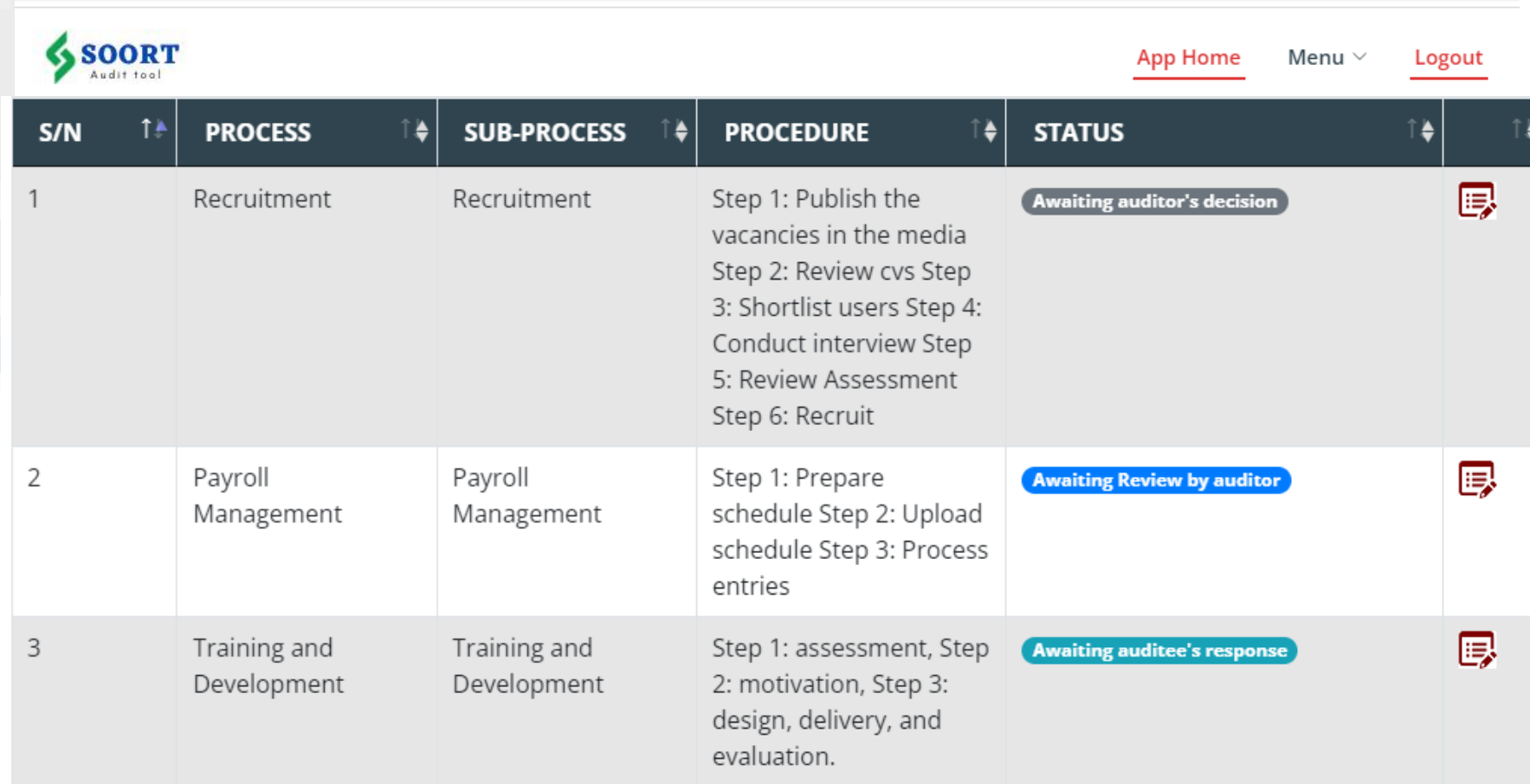
Processes

- [ ] **Create processes & procedures for each domain**
- [ ] **Bulk and single process setup**
- [ ] **Created processes can be reuse for another audit year working paper**

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Working paper: This is an essential part of every audit activities, and it is a component of the domain processes.

S/N	PROCESS	SUB-PROCESS	PROCEDURE	STATUS	
1	Recruitment	Recruitment	Step 1: Publish the vacancies in the media Step 2: Review cvs Step 3: Shortlist users Step 4: Conduct interview Step 5: Review Assessment Step 6: Recruit	Awaiting auditor's decision	
2	Payroll Management	Payroll Management	Step 1: Prepare schedule Step 2: Upload schedule Step 3: Process entries	Awaiting Review by auditor	
3	Training and Development	Training and Development	Step 1: assessment, Step 2: motivation, Step 3: design, delivery, and evaluation.	Awaiting auditee's response	

❑ **This consists of processes and procedure**
❑ **It can be assigned to one or more auditors**

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Working paper contd

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S/N	PROCESS	SUB-PROCESS	PROCEDURE	STATUS
1	Recruitment	Recruitment	Step 1: Publish the vacancies in the media Step 2: Review cvs Step 3: Shortlist users Step 4: Conduct interview Step 5: Review Assessment Step 6: Recruit	Not conform to the standard
2	Payroll Management	Payroll Management	Step 1: Prepare schedule Step 2: Upload schedule Step 3: Process entries	Conform to the standard
3	Training and Development	Training and Development	Step 1: assessment, Step 2: motivation, Step 3: design, delivery, and evaluation.	Not conform to the standard

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Audit Review

- **Findings and responses can be consolidated**
- **Auditees can contribute and response to findings from the auditor**
- **Domain HOD send responses to the auditor**
- **Auditors & auditee can attach documents**

Review details for Recruitment

Auditor 1:	Tayo Bada	Auditor 4:	Choose 4th Auditor...
Auditor 2:	Uzoh Madu	Auditor 5:	Choose 5th Auditor...
Auditor 3:	Choose 3rd Auditor...		

Sub-process: Recruitment

Procedure:
Step 1: Publish the vacancies in the media
Step 2: Review cvs
Step 3: Shortlist users
Step 4: Conduct interview
Step 5: Review Assessment

Findings/Observation:
Detailed reports of payment interactions and system statistics can be generated using a highly functional report filtering and generation module. Some of the reports include;
- Log of Payments Awaiting Approval
- Log of Successful Payments
- Log of Pending Transactions

This interface shall be accessible to customers of the Merchant over the Internet. It will provide them with

Auditee's Response:
This is okay
We will review all findings and provide update

Recommendation:
Auditee to remediate the issues identified

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Identified issues log

- **Identified issues from an audit review can have operational, regulatory or reputational impact on the organization**
- **Classification to be done by the lead auditor**
- **Issue severity to be rated**

Training and Development Audit Issues   ✕

Show [$] entries   Search: [   ]

| S/N	PROCESS	SUB-PROCESS	PROCEDURE	STATUS	IMAPCT	RISK SEVERITY	
1	Recruitment	Recruitment	Step 1: Publish the vacancies in the media Step 2: Review cvs Step 3: Shortlist users Step 4: Conduct interview Step 5: Review Assessment Step 6: Recruit	Not conform to the standard	Operational Risk	Medium	📝
2	Training and Development	Training and Development	Step 1: assessment, Step 2: motivation, Step 3: design, delivery, and evaluation.	Not conform to the standard	Regulatory Risk	High	📝

Showing 1 to 2 of 2 entries   Previous   1   Next

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Audit Review Reports

Projects Report

Financial Year:	2020

All Projects	On-going	Not Started	Closed
3	2	0	1
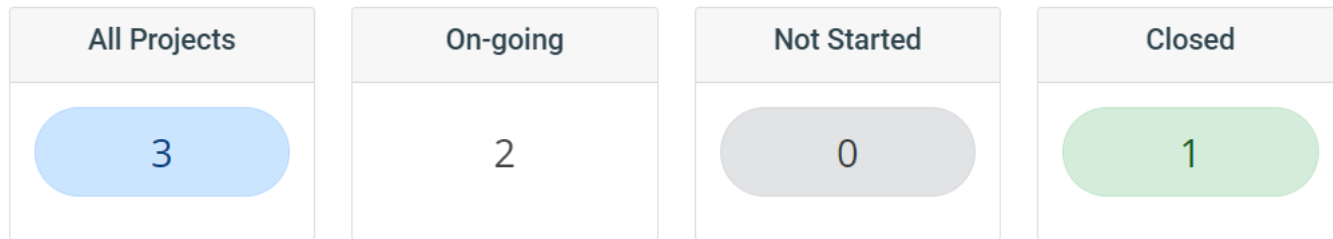
Export Report

Search:

S/N	PROJECT NAME	DOMAIN	DESCRIPTION	START DATE	END DATE	STATUS	ADDITIONAL REPORT DATA	AUDIT REPORT
1	HR Full Year Audit	Human Resources	HR Full Year Audit	2/2/2020 12:00:00 AM	2/20/2020 12:00:00 AM	Closed	📝	📝
2	Symplus Full Year Audit	Symplus	Symplus Full Year Audit	3/1/2020 12:00:00 AM	3/23/2020 12:00:00 AM	Ongoing	📝	📝
3	Follow up audit	Human Resources	Follow up audit	7/4/2020 12:00:00 AM	4/21/2020 12:00:00 AM	Ongoing	📝	📝

Showing 1 to 3 of 3 entries

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Soort Typical Dashboard

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Dashboard

Financial Year
2020

Risk Assessments	Projects	Exceptions
1 out of 2	3	2

Assessment by Category	Projects by Category	Audit Review by Status
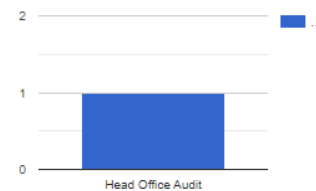
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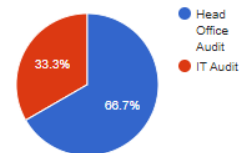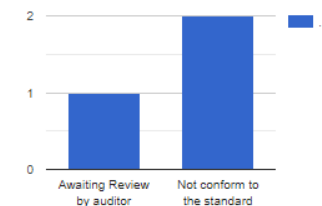
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