



# MEGA INTERNATIONAL

BUSINESS AUDITING COURSE – TOR VERGATA UNIVERSITY – 18° DECEMBER 2015

**HOW TO IMPLEMENT AN AUDIT PLAN WITH THE RIGHT TOOL**



UNIVERSITA' degli STUDI di ROMA  
TOR VERGATA



# MEGA International



**SOFTWARE  
SOLUTIONS**

A dark blue rectangular block with white text.

**FOUNDED  
IN 1991**

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**RECOGNIZED  
EA & GRC  
LEADER  
BY ANALYSTS**

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**STRONG  
PROFESSIONAL  
SERVICES**

A teal rectangular block with white text. The background image of this block shows a modern glass and steel architectural structure.

**2,700  
CUSTOMERS  
IN 40  
COUNTRIES**

A teal rectangular block with white text. The background image of this block shows a curved, modern architectural interior.

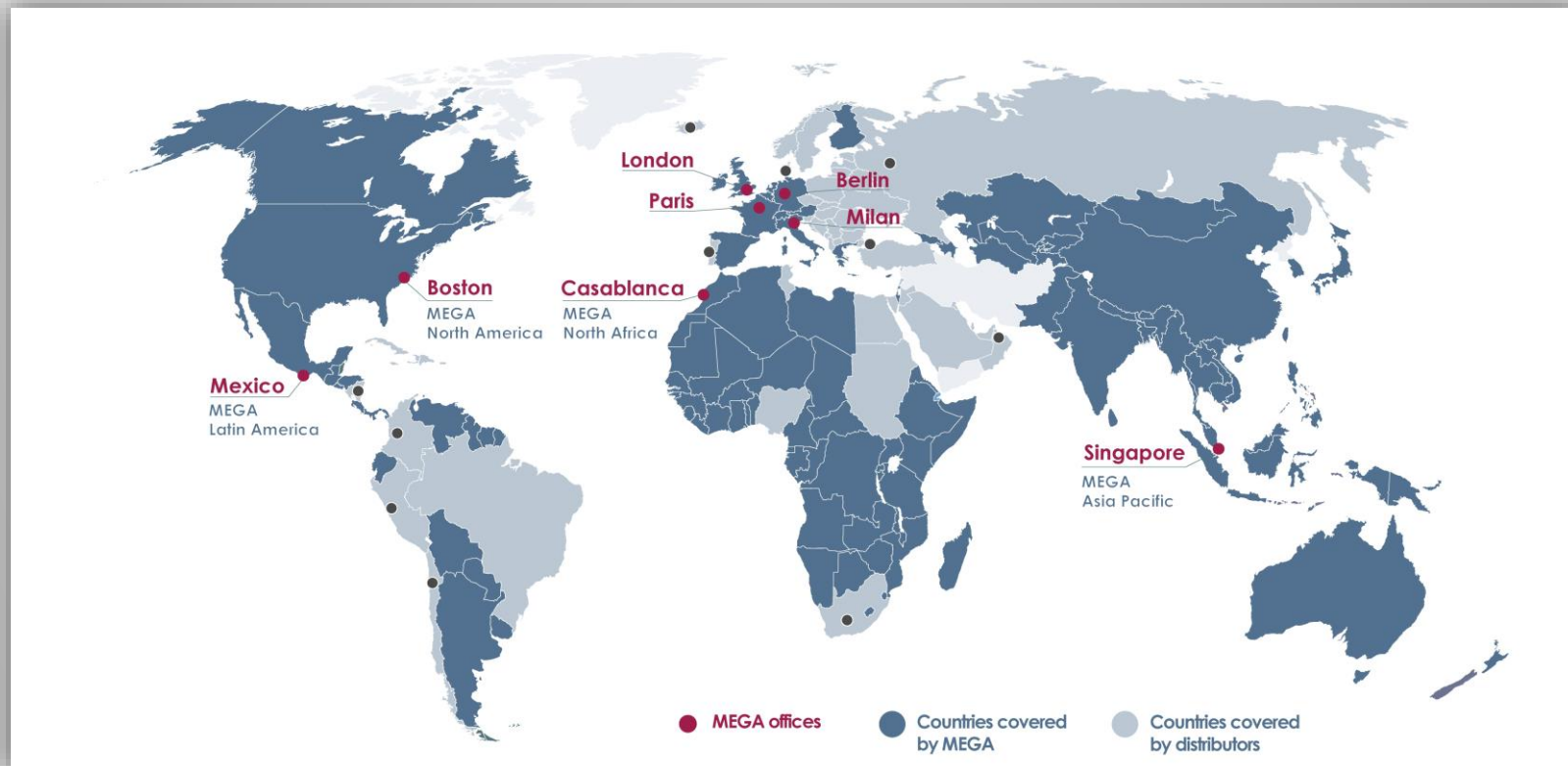
**8 SUBSIDIARIES  
WORLDWIDE**

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**25 PARTNERS  
WORLDWIDE**

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# MEGA International Presence



# Analyst Recognition



## GARTNER LEADER Magic Quadrant '15 For Enterprise Architecture

"MEGA understands the evolving market for EA tools. One of the ways it differentiates itself is by **exploiting synergies between EA and GRC**. It invests primarily in EA topics and secondarily in ERM and GRC topics **reflecting the regulatory pressures on the financial services sector**, where it has a large European client base."



## FORRESTER LEADER Strategic Planning BT Q1 '14

"Mega's international focus gives it a strong understanding of **international regulatory issues**, a key capability for global companies."



## HYPATIA LEADER Enterprise GRC Software Solution '14

"The agility ....requires to have greater **transparency into the strategic** planning process and have access to a broad range of performance data to improve decision making."

# MEGA International

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## HOPEX Platform



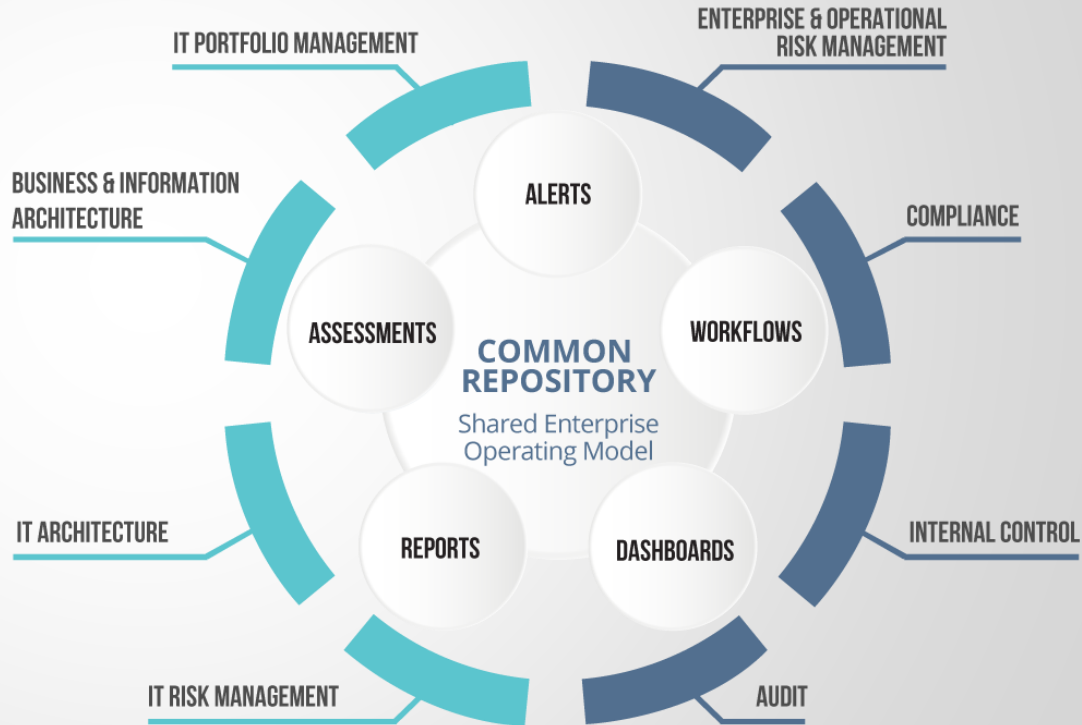


## HOPEX gives you:

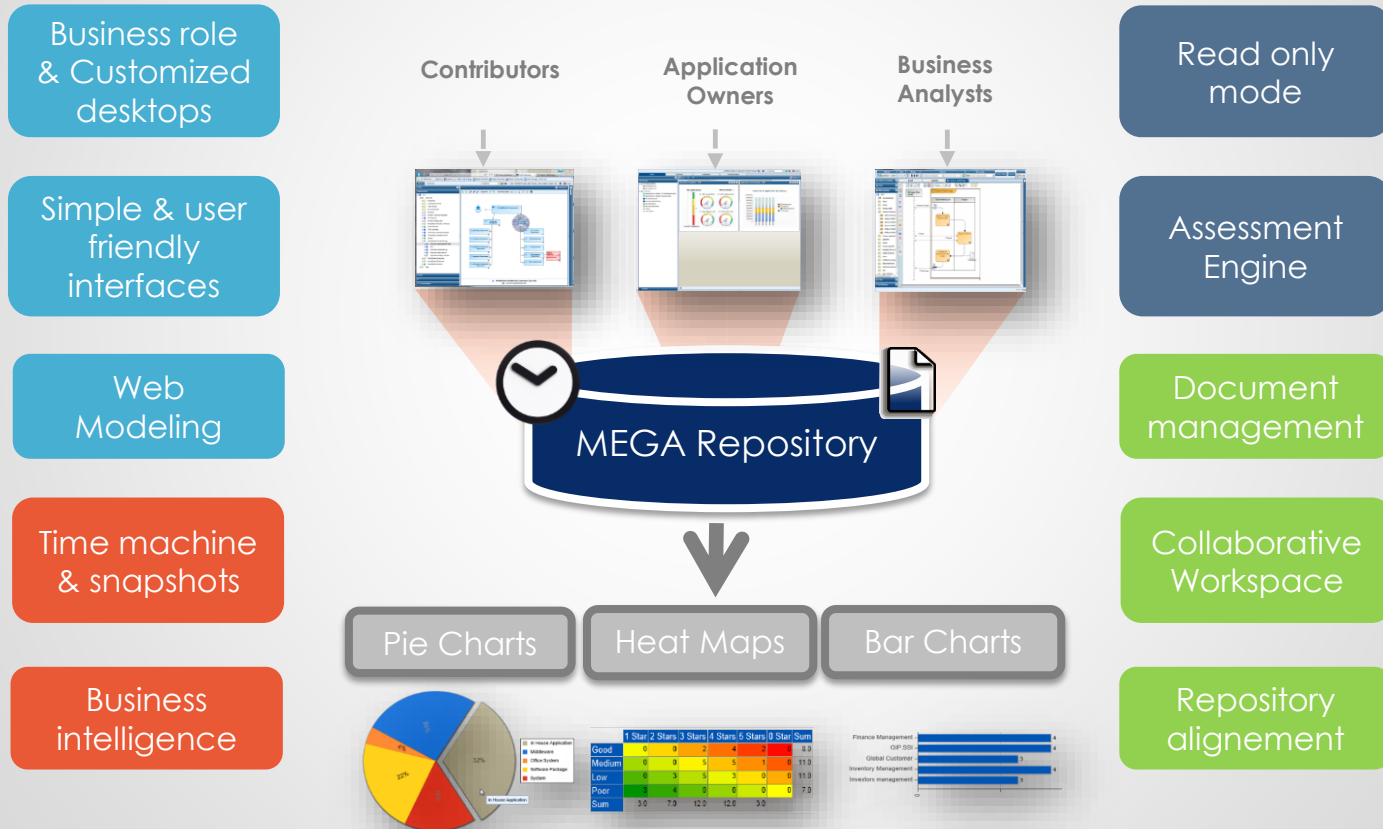
- A collaborative, web-based working environment
- A single shared enterprise repository for the entire organization
- Access to the repository according to different user profiles
- Structured guidance at every step of your project

## COMMON REPOSITORY

Sharing Enterprise Operating Model



# ...Through MEGA HOPEX features



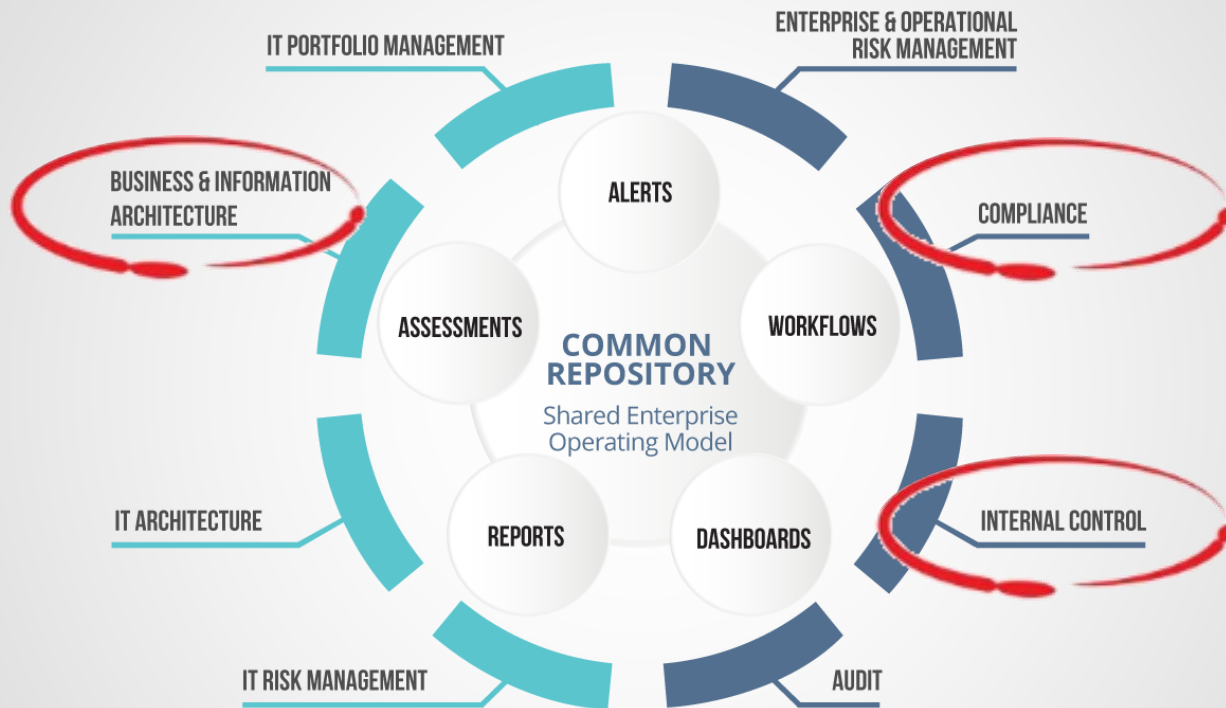
# MEGA International

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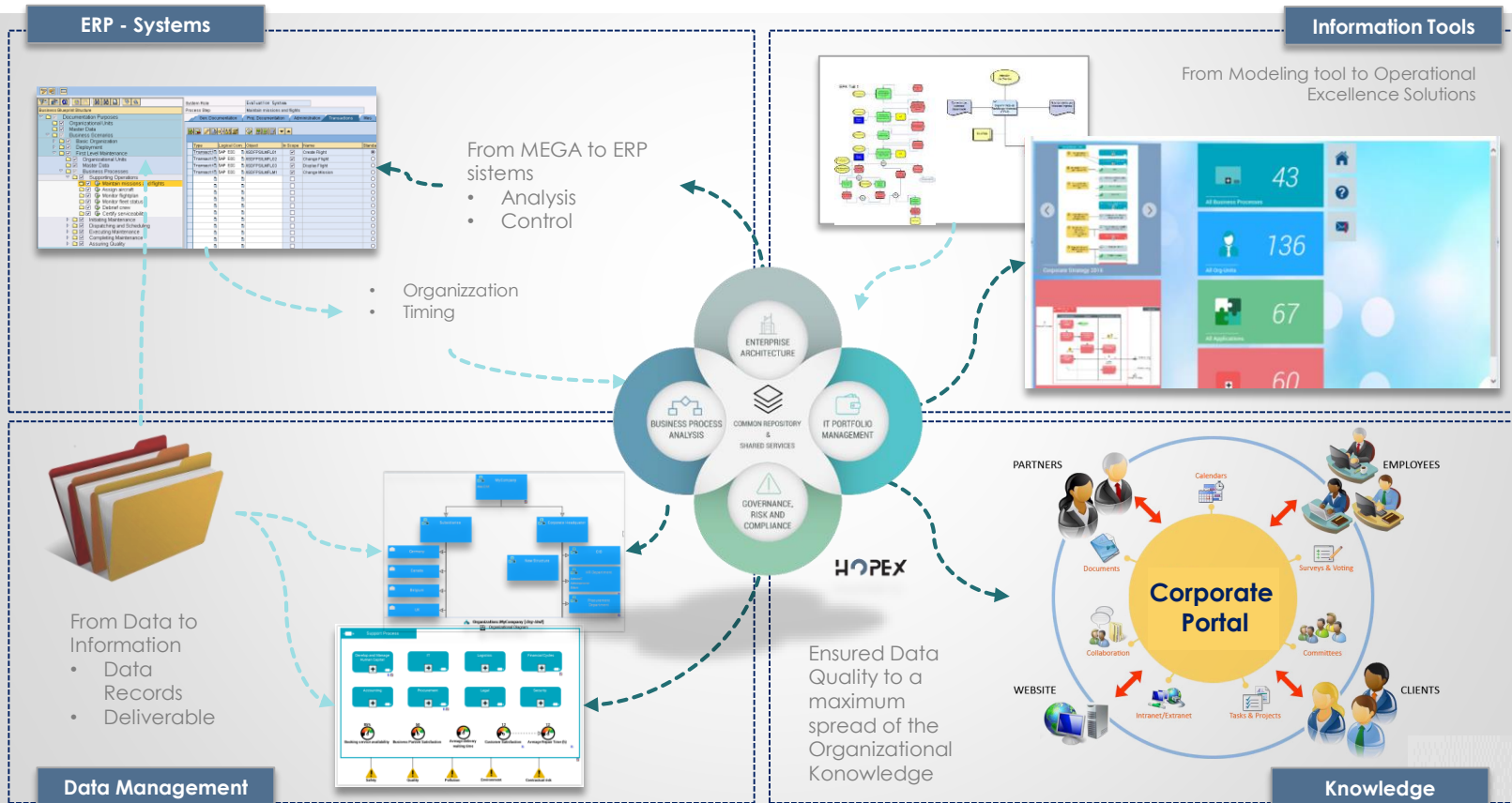
## **GRC & Internal Audit**

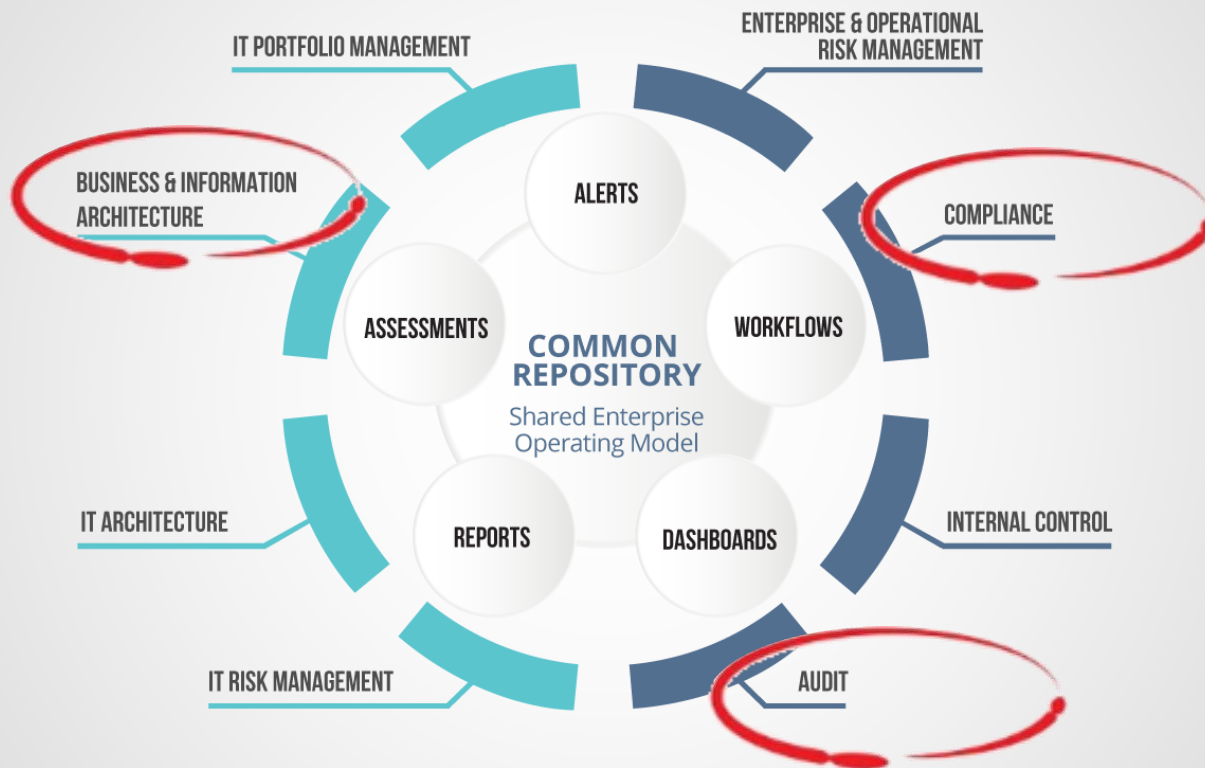






# Integration Enabled...



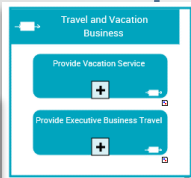
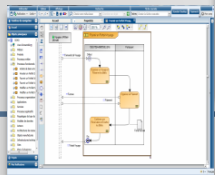


# Innovation in Internal Audit Management

## Process Mapping

### Business processes

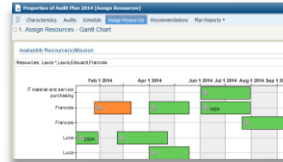
- Direct Import from External tool
- Control Step indications



## Audit Process

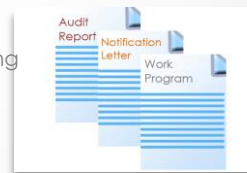
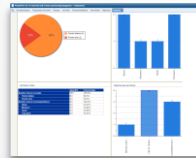
### 1. Preparation

- Decision Reports
- Scheduling enabled



### 2. Execution

- Workpaper setting
- Timesheet management
- Report Automation



### 3. Action Plan



Audit director



Auditee



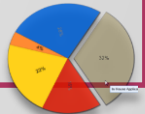
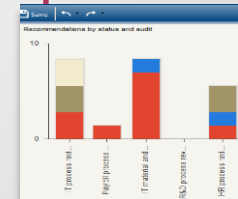
## Reporting & Decision Supports Document

Reports

Dashboard

Website

Walls

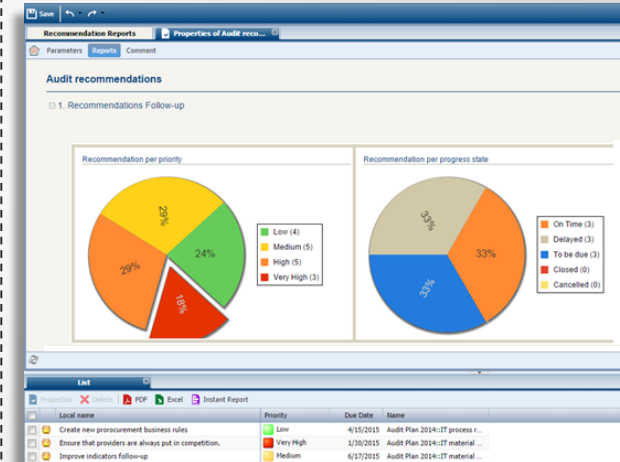
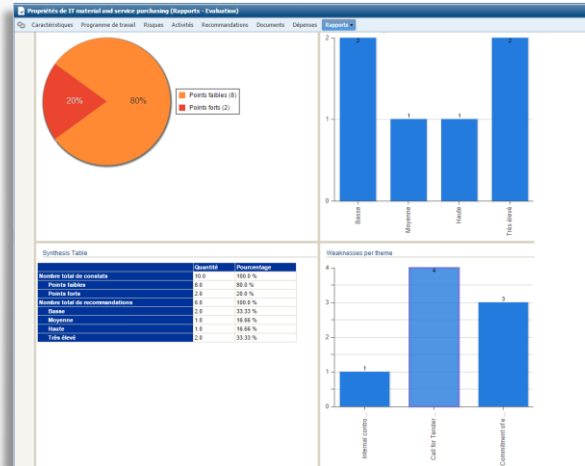
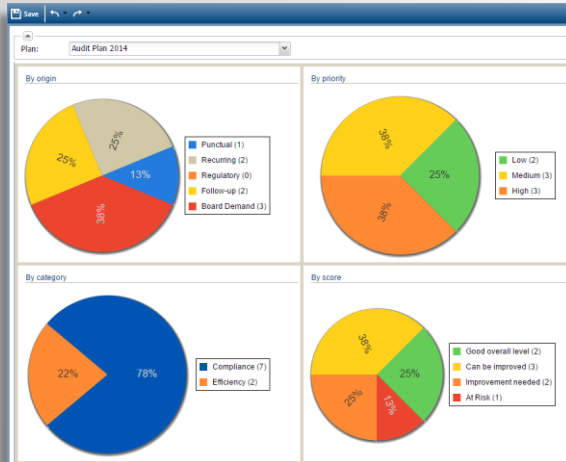


# Mega AUDIT embedded methodology

Preparation

Execution

Follow-up



# Preparation

# Execution

# Follow-up

## Audit plan sources:

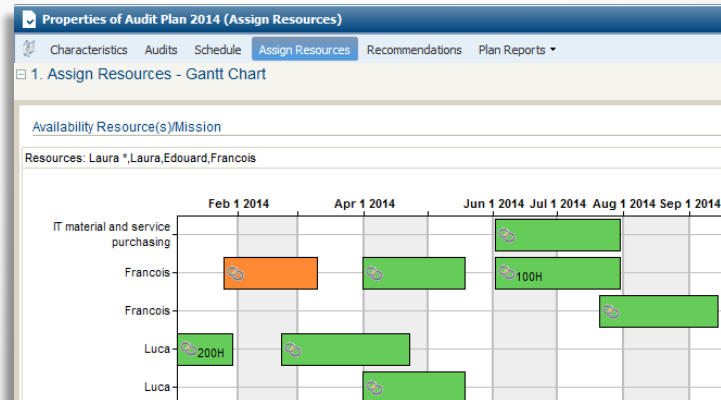
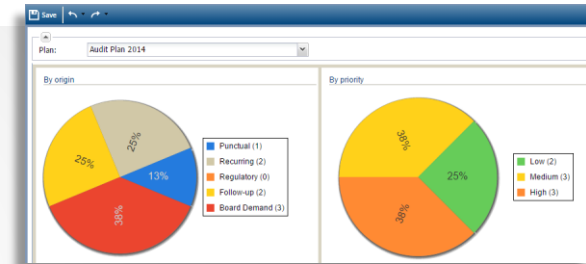
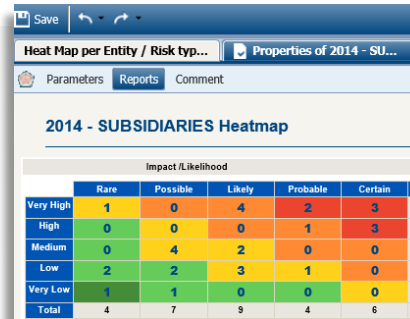
- Risk oriented
- Audit coverage
- Past audits' result
- Board demands

## Staffing

## Workflow approval



Audit director



Approval



# Preparation

# Execution

# Follow-up

## Preparation

- Notification letter
- Work program

## Audit tasks

- Workpapers / Test sheets
- Findings

## Supervision

## Final report



Lead auditor

Audit  
Report

Notification  
Letter

Work  
Program

### Properties of Competition between competitors (Complete Test Sheet)

Characteristics Complete Test Sheet

New Reorganize Delete PDF Excel Instant Report

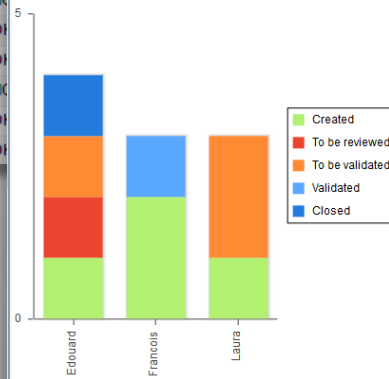
Local name	Item Found	Date of Completion	Is Signed	Cont
Provider 101	✓ OK	12/11/2014	✓ OK	✓ OI
Provider 102	✗ NO	11/10/2014	✗ NO	✗ NO
Provider 103	✓ OK	10/13/2014	✓ OK	✓ OI
Provider 104	✓ OK	12/11/2014	✓ OK	✓ OI
Provider 105	✗ NO	11/10/2014	✗ NO	✗ NO
Provider 106	✓ OK	10/13/2014	✓ OK	✓ OI
Provider 107	✓ OK	12/11/2014	✓ OK	✓ OI
Provider 108	✗ NO	11/10/2014	✗ NO	✗ NO
Provider 109	✓ OK	10/13/2014	✓ OK	✓ OI
Provider 110	✓ OK	12/11/2014	✓ OK	✓ OI

### Properties of IT material and service purchasing (Reports - Superv

#### Synthesis Table

	Created	To be reviewed
Edouard	1.0	1.0
Francois	2.0	0.0
Laura	1.0	0.0
Total	4.0	1.0

#### Work progress per auditor



# Preparation

# Execution

# Follow-up

## Recommendations

- Notifications by workflow
- Progress dashboards

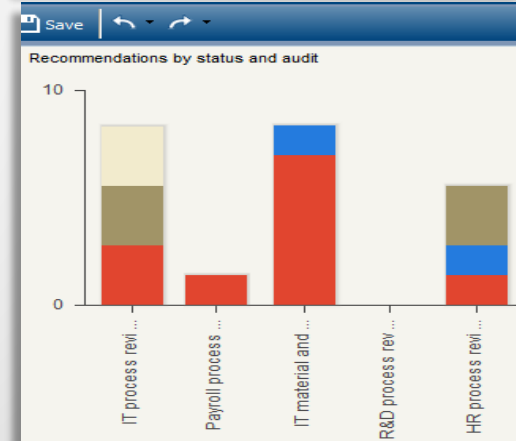
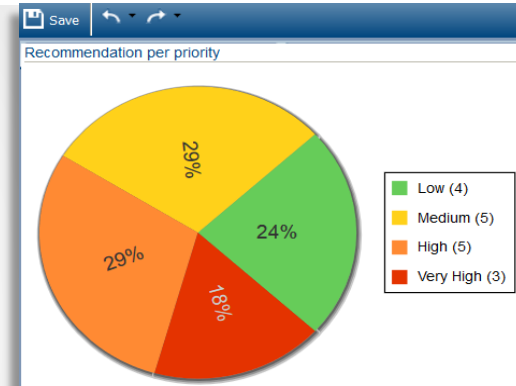
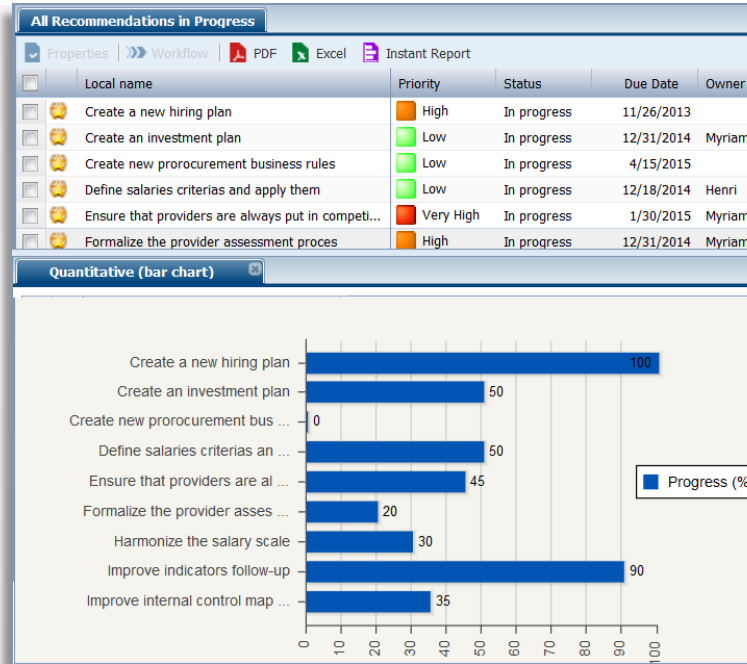
## Action plans

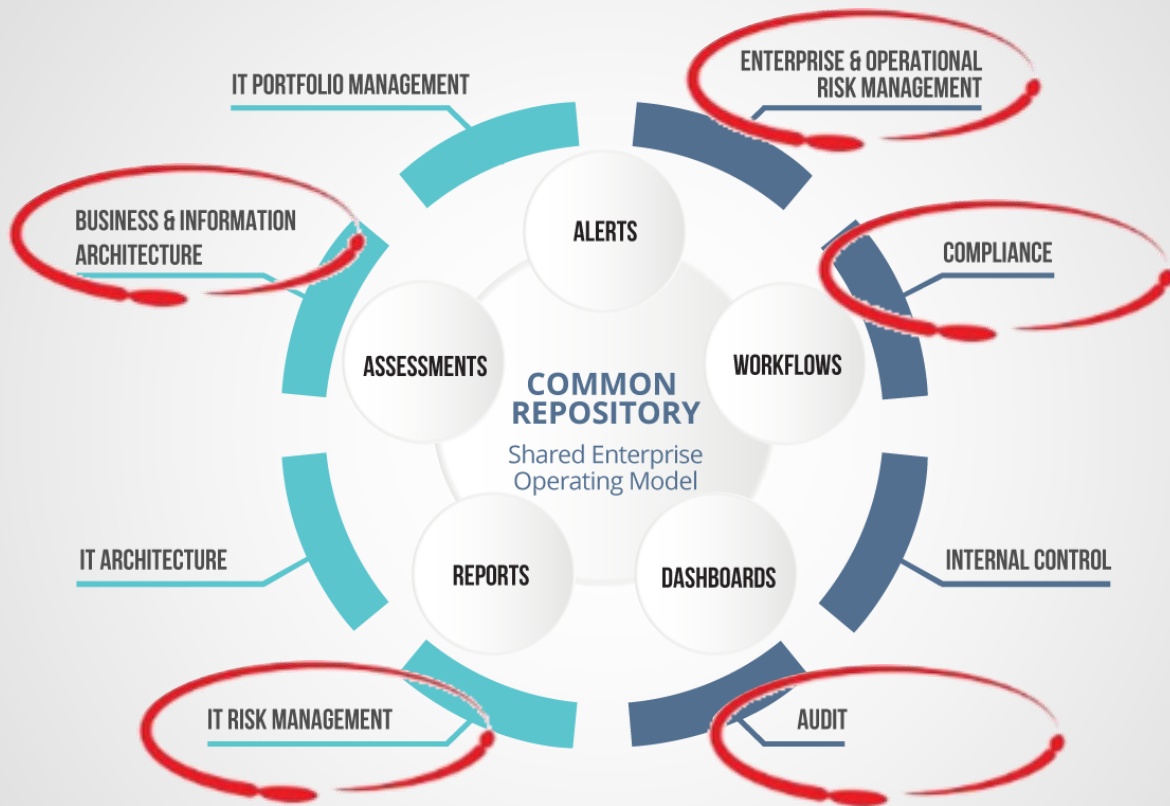
- Actions / Responsible
- Automatic notifications
- Progress follow-up



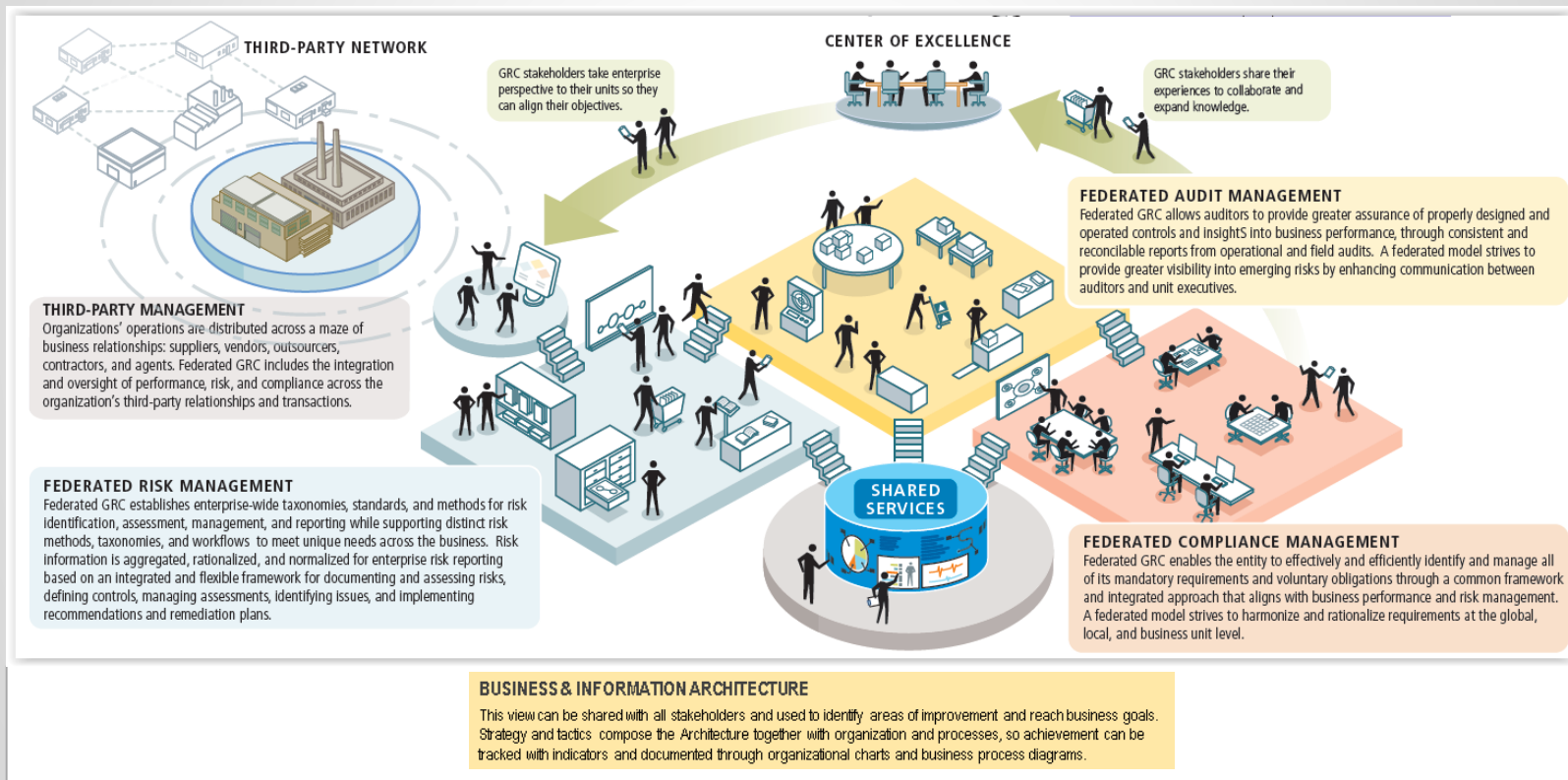
**Audit  
director**

**Auditee**





# Holistic Approach, Italian way....





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 @mega\_int