



# 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**

**FOUNDED  
IN 1991**



**RECOGNIZED  
EA & GRC  
LEADER  
BY ANALYSTS**



**STRONG  
PROFESSIONAL  
SERVICES**



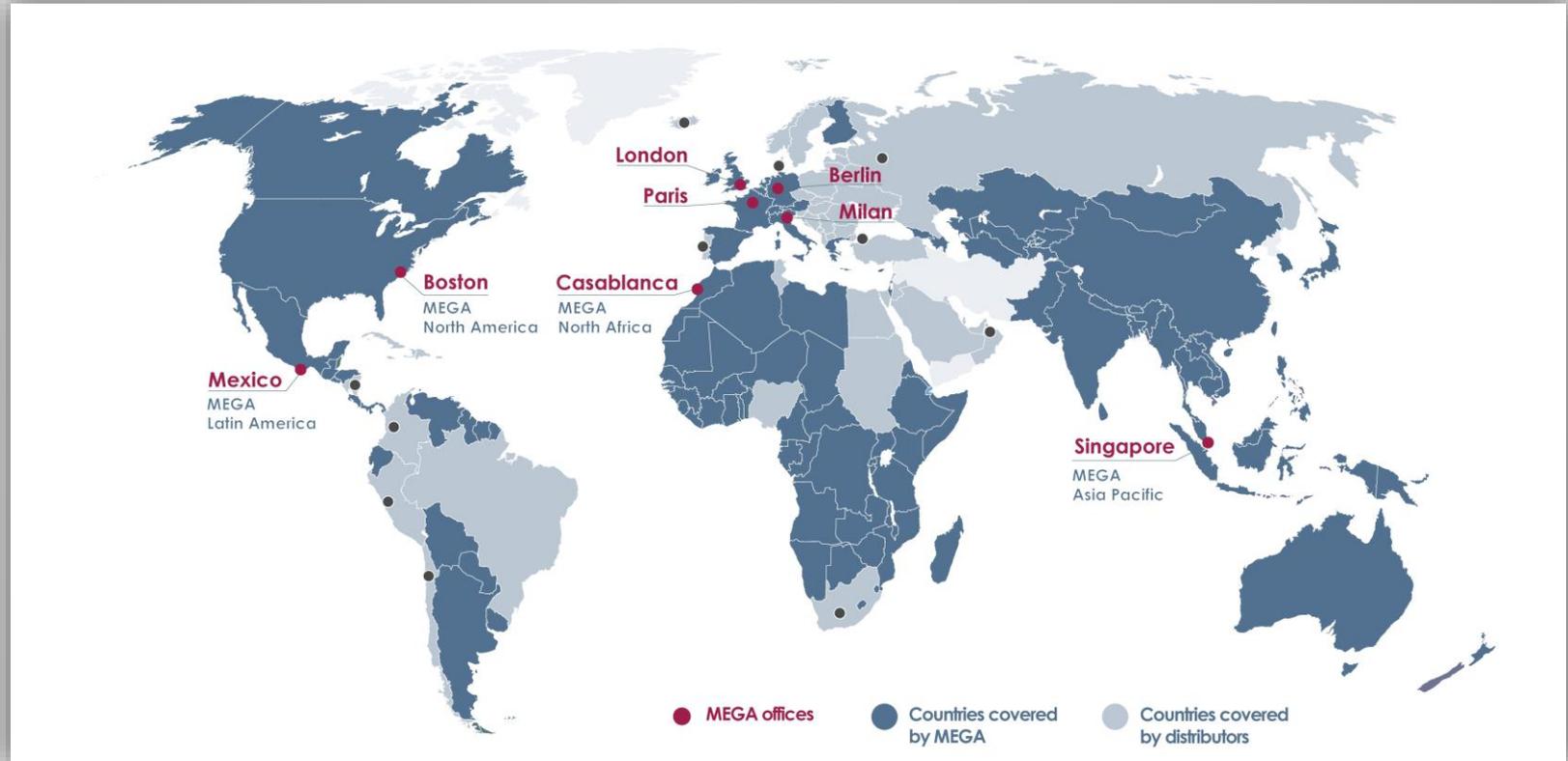
**2,700  
CUSTOMERS  
IN 40  
COUNTRIES**



**8 SUBSIDIARIES  
WORLDWIDE**

**25 PARTNERS  
WORLDWIDE**

# 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."

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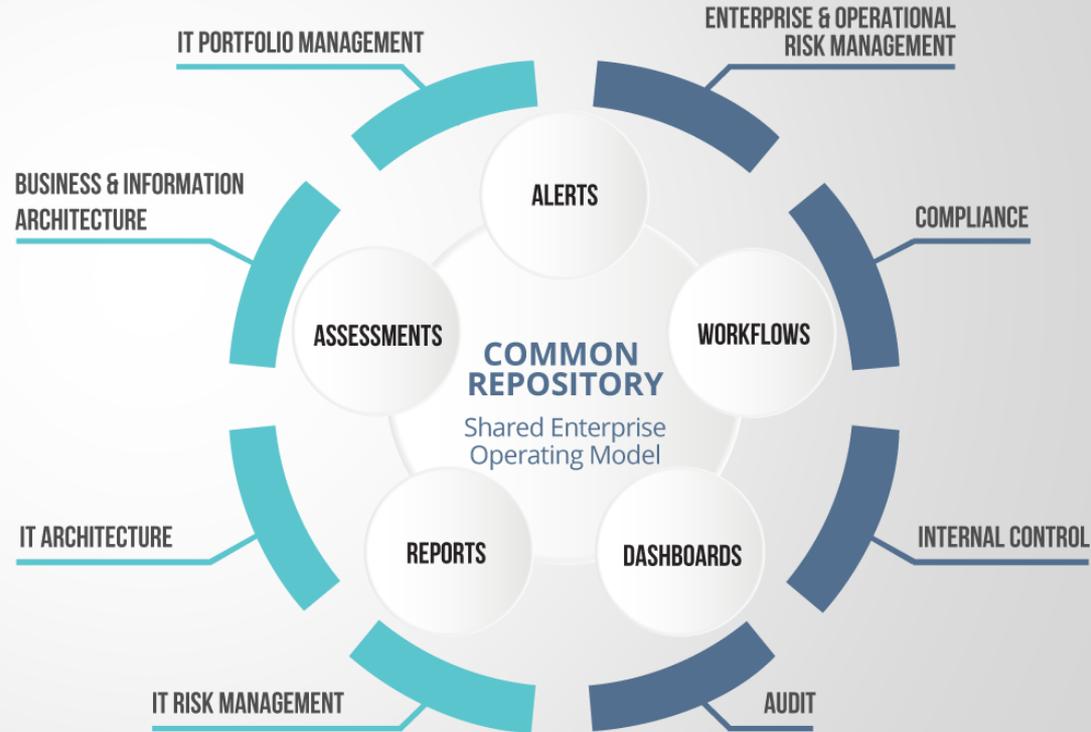
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**HOPEX Platform**



## 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



Business role & Customized desktops

Simple & user friendly interfaces

Web Modeling

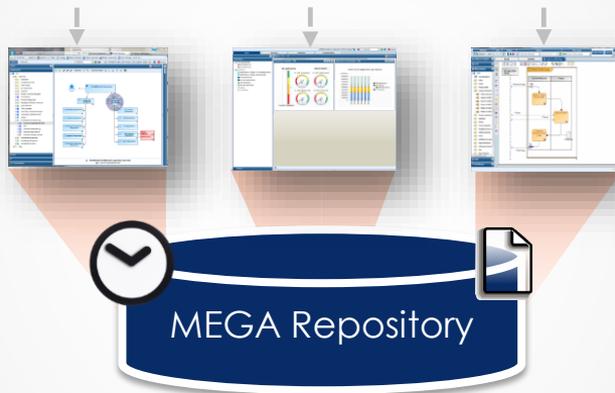
Time machine & snapshots

Business intelligence

Contributors

Application Owners

Business Analysts



Read only mode

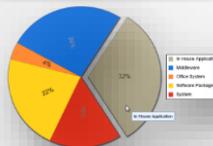
Assessment Engine

Document management

Collaborative Workspace

Repository alignment

Pie Charts    Heat Maps    Bar Charts



	1 Star	2 Stars	3 Stars	4 Stars	5 Stars	0 Star	Sum
Good	0	0	2	4	2	0	8.0
Medium	0	0	5	5	1	0	11.0
Low	0	3	3	3	0	0	11.0
Poor	2	4	2	0	0	0	7.0
Sum	2	7	12	12	3	0	36.0

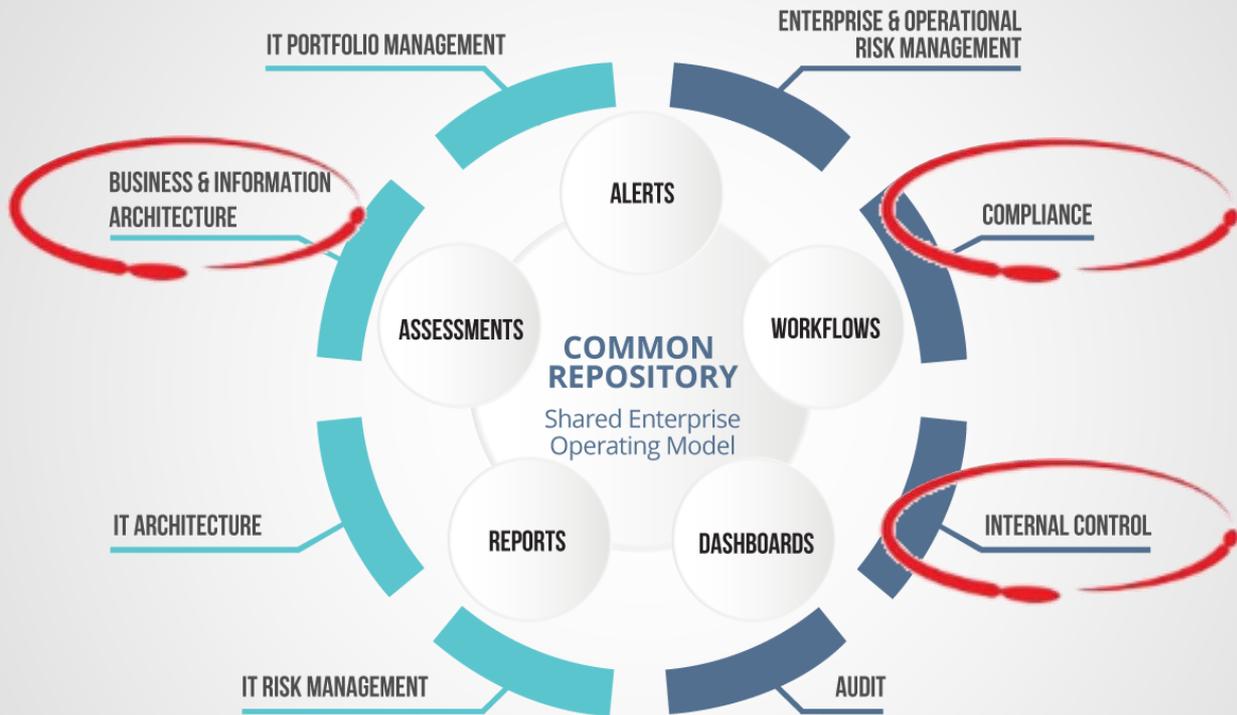


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**GRC & Internal Audit**





# Integration Enabled...

## ERP - Systems



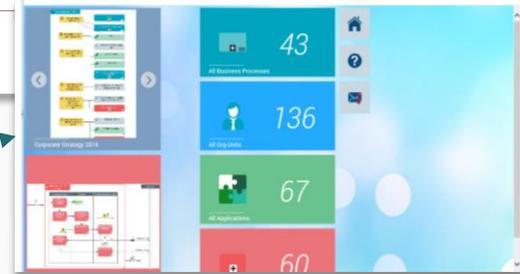
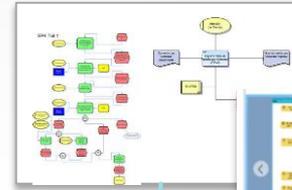
From MEGA to ERP systems

- Analysis
- Control

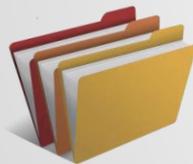
- Organization
- Timing

## Information Tools

From Modeling tool to Operational Excellence Solutions

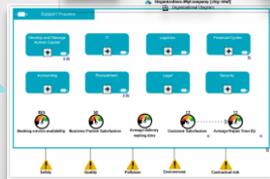


HOPEX



From Data to Information

- Data
- Records
- Deliverable



## Data Management



Ensured Data Quality to a maximum spread of the Organizational Knowledge

## Knowledge

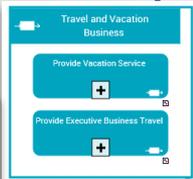
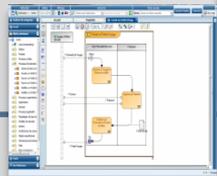


# Innovation in Internal Audit Management

## Process Mapping

### Business processes

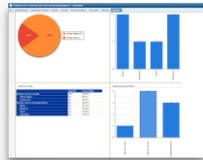
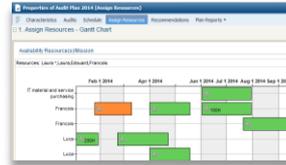
- Direct Import from External tool
- Control Step indications



## Audit Process

### 1. Preparation

- Decision Reports
- Scheduling enabled



### 2. Execution

- Workpaper setting
- Timesheet management
- Report Automation



### 3. Action Plan



Audit director



Auditee



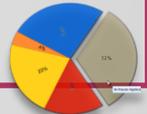
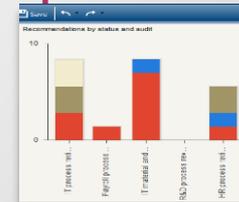
## Reporting & Decision Supports Document

Reports

Dashboard

Website

Walls

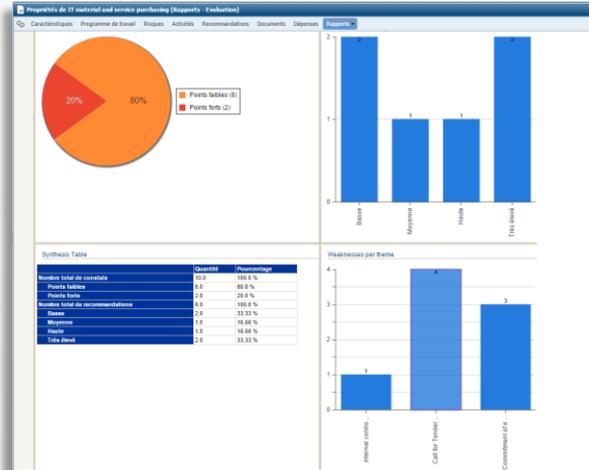


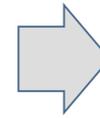
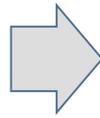
# Mega AUDIT embedded methodology

Preparation

Execution

Follow-up





## Audit plan sources:

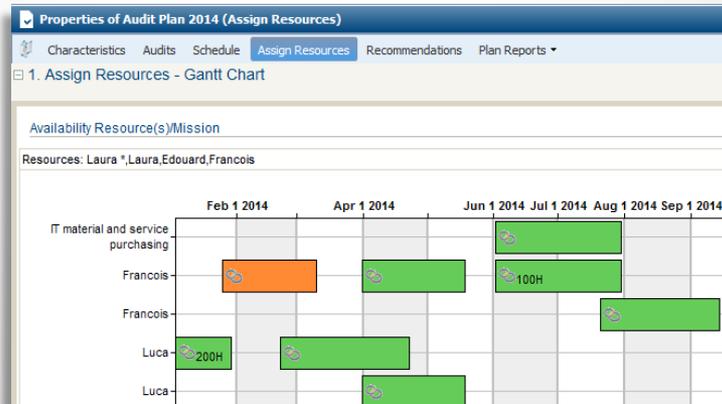
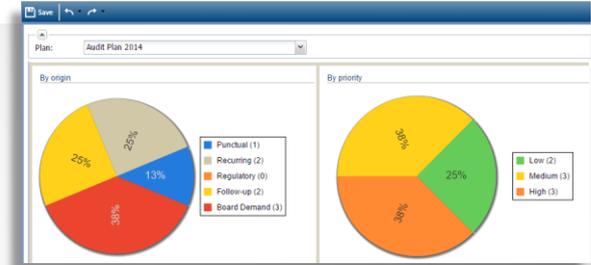
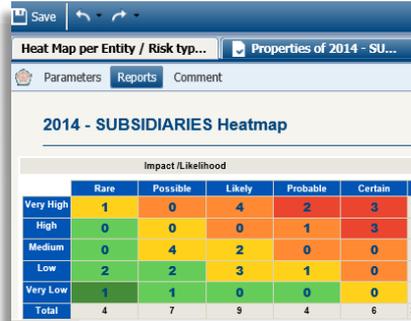
- Risk oriented
- Audit coverage
- Past audits' result
- Board demands

## 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

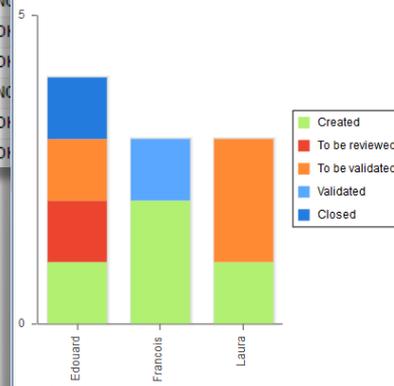
Local name	Item Found	Date of Completion	Is Signed	Contact
Provider 101	✓ OK	12/11/2014	✓ OK	✓ OK
Provider 102	✗ NO	11/10/2014	✗ NO	✗ NO
Provider 103	✓ OK	10/13/2014	✓ OK	✓ OK
Provider 104	✓ OK	12/11/2014	✓ OK	✓ OK
Provider 105	✗ NO	11/10/2014	✗ NO	✗ NO
Provider 106	✓ OK	10/13/2014	✓ OK	✓ OK
Provider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

### Properties of IT material and service purchasing (Reports - Supervision)

#### 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

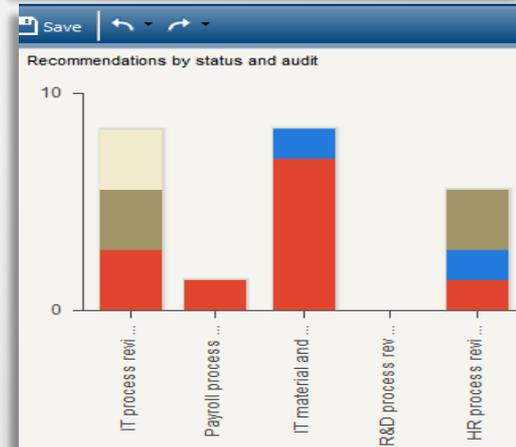
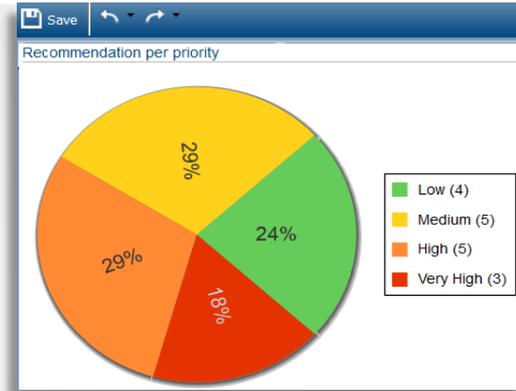
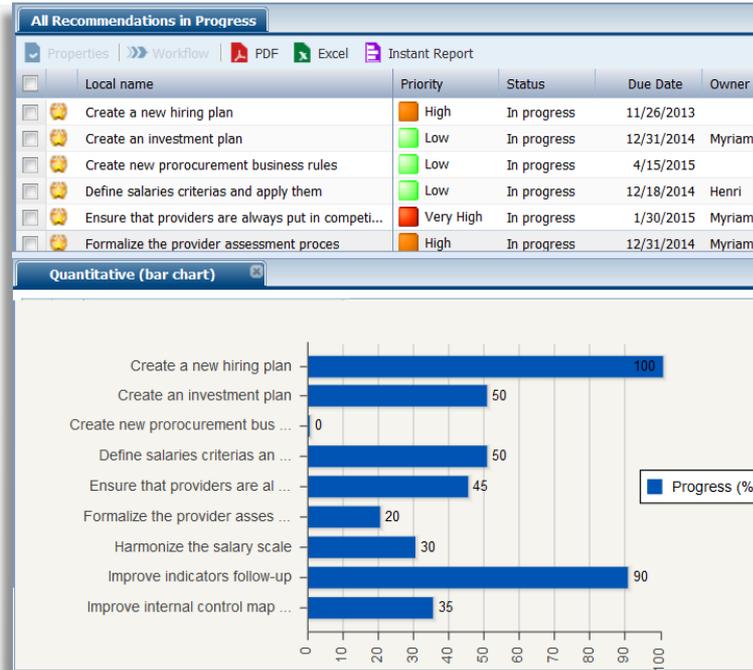
## Action plans

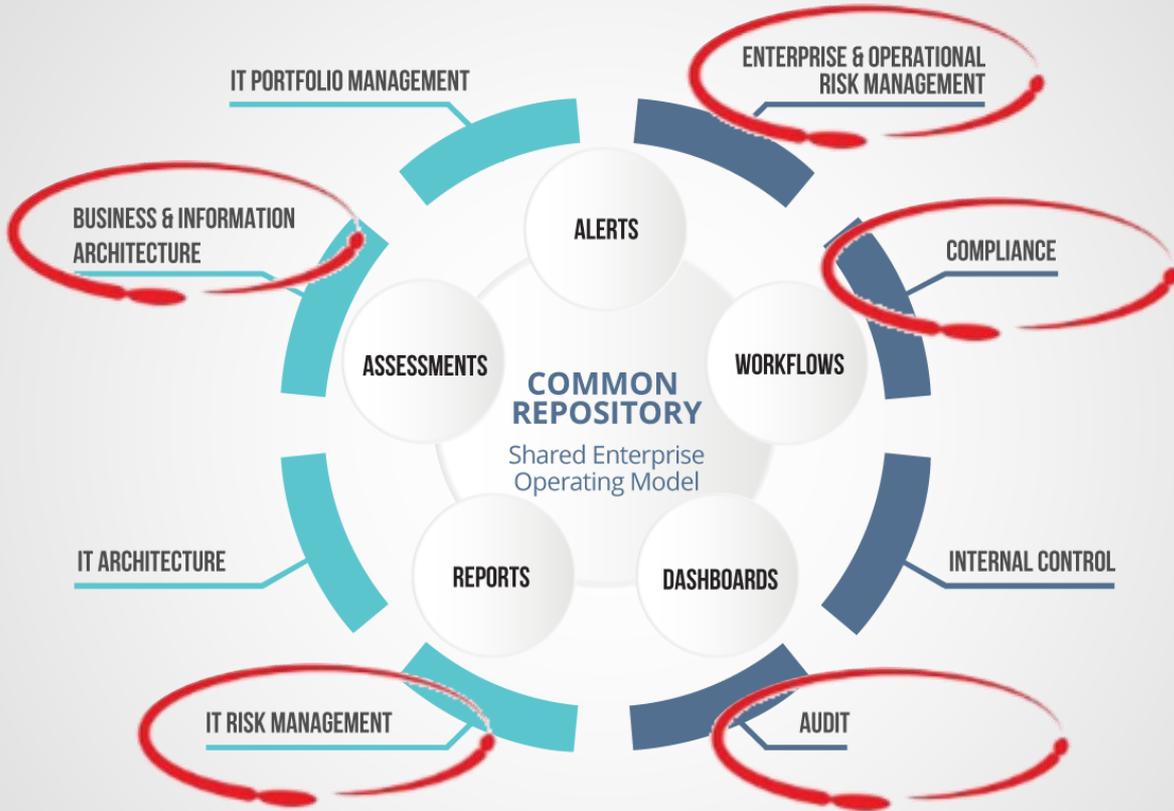
- Actions / Responsible
- Automatic notifications
- Progress follow-up



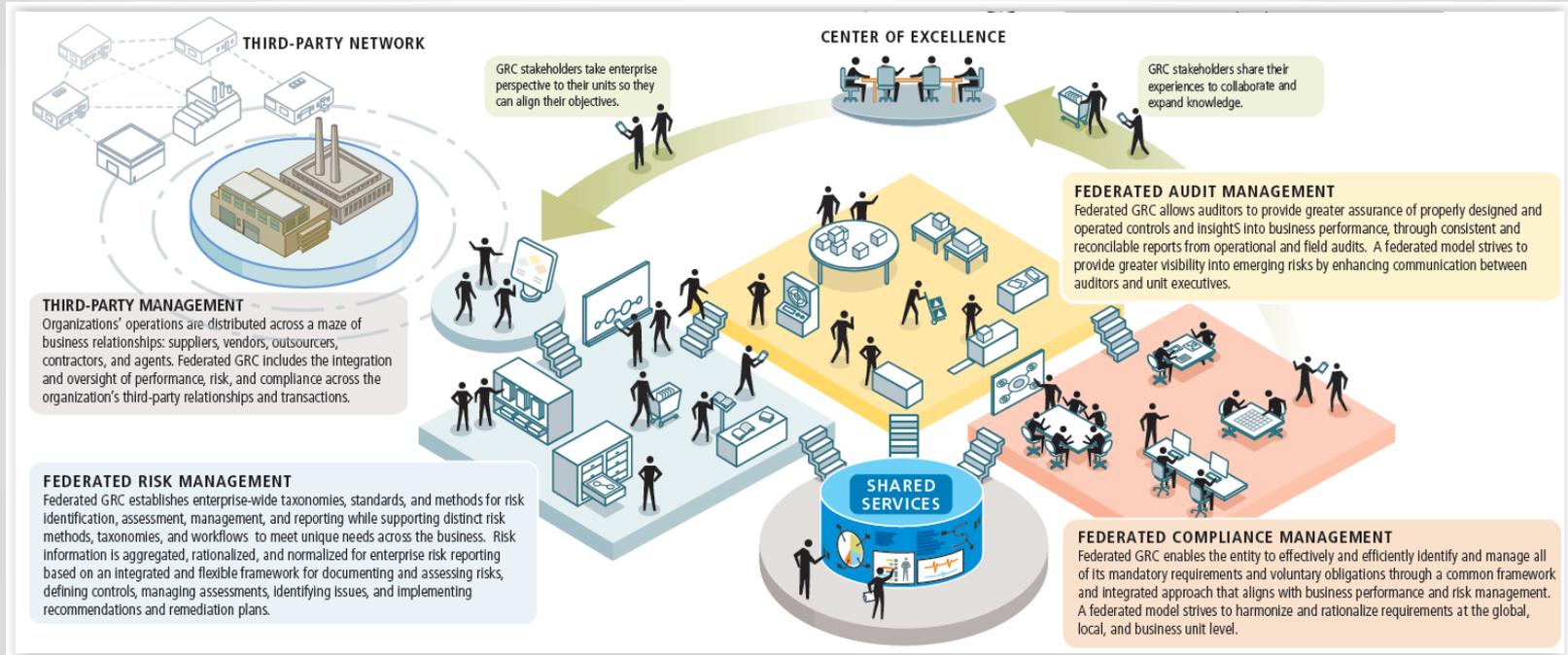
**Audit director**

**Auditee**





# Holistic Approach, Italian way....



## BUSINESS & INFORMATION ARCHITECTURE

This view can be shared with all stakeholders and used to identify areas of improvement and reach business goals. Strategy and tactics compose the Architecture together with organization and processes, so achievement can be tracked with indicators and documented through organizational charts and business process diagrams.



**Paolo De Paolis**  
**Business Developer/ MEGA International**  
pdepaolis@mega.com

[www.mega.com](http://www.mega.com)

 @mega\_int