DISCLAIMER

Any sufficiently advanced technology is equivalent to magic.

- Arthur C. Clarke *(Author)*

MAGIC SOLUTION

- ISSUE: Audit Management Tool **NEEDED**

- CONDITIONS:
  - Resource Limitations
    - Staffing
    - Financial
    - Technical Support
  - SharePoint - Intranet

SHAREPOINT

- Empower individuals, teams and organizations to intelligently discover, store, organize, share and collaborate on content from anywhere and on any device.
  - Improve team productivity
  - Manage projects more efficiently
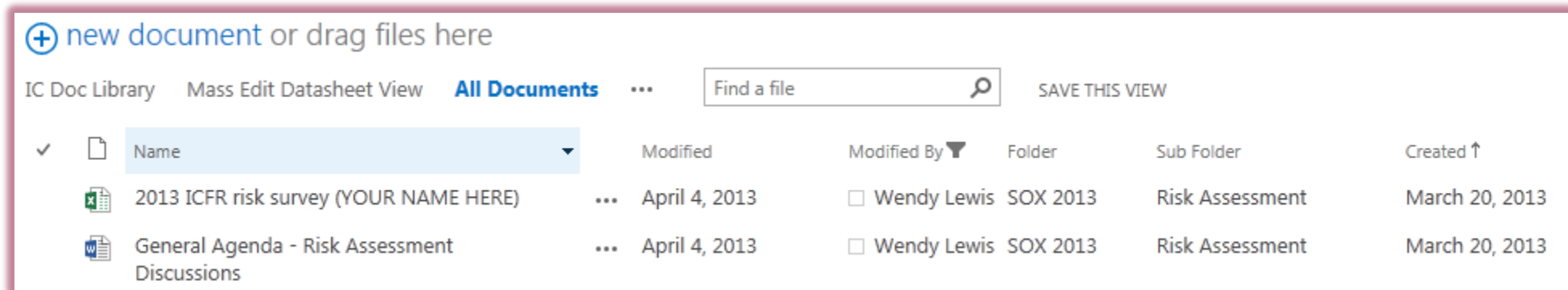 - Create, review and share documents

Microsoft provides tools to help you learn and explore SharePoint's possibilities.

https://support.office.com/en-us/SharePoint

SHAREPOINT FEATURES

◉ Shared Document Library – Use a document library to share files of any type with multiple parties. Document libraries are similar to shared network drives with enhanced functionality including version history, co-authoring (multiple people can simultaneously edit a document), check out to edit (only one person can edit at a time), and linking capabilities. Files can be viewed online or in their native application.
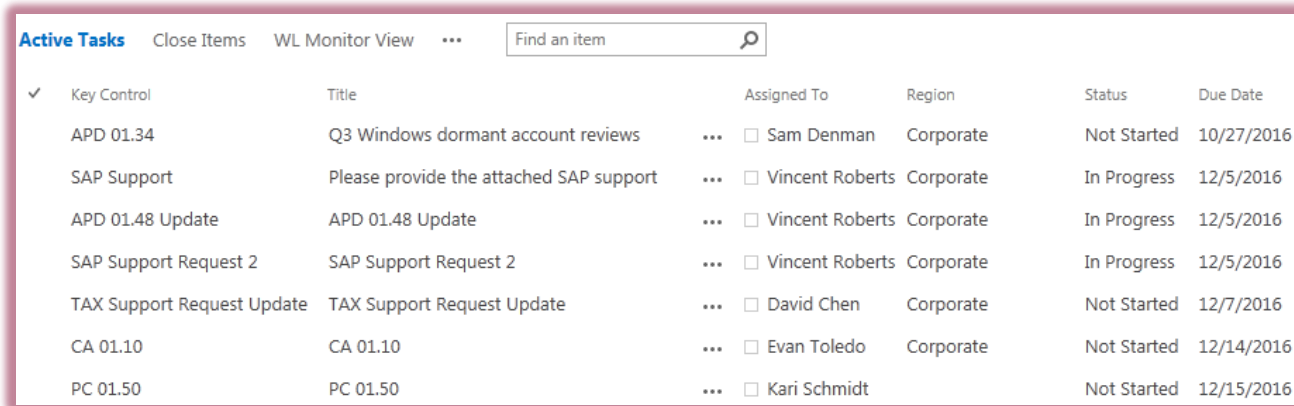
⊕ new document or drag files here

IC Doc Library   Mass Edit Datasheet View   **All Documents**   ⋯   Find a file 🔍   SAVE THIS VIEW

| ✓	📄	Name ▼	Modified	Modified By ▼	Folder	Sub Folder	Created ↑
	📊	2013 ICFR risk survey (YOUR NAME HERE)	⋯ April 4, 2013	☐ Wendy Lewis	SOX 2013	Risk Assessment	March 20, 2013
	📄	General Agenda - Risk Assessment Discussions	⋯ April 4, 2013	☐ Wendy Lewis	SOX 2013	Risk Assessment	March 20, 2013

SHAREPOINT FEATURES

◉ Task List - Use a task list to track information about projects and other to-do events for your group. You can use task lists to make document requests for process owners. Tasks can be assigned to specific users with initial email notifications and systematic reminders. **SharePoint Task Lists can be linked to Outlook Task Lists.**

SHAREPOINT FEATURES

⊙ Custom Lists - Use a custom list to document and share data. Custom lists can be used to document work performed for SOX 404 compliance and audits.
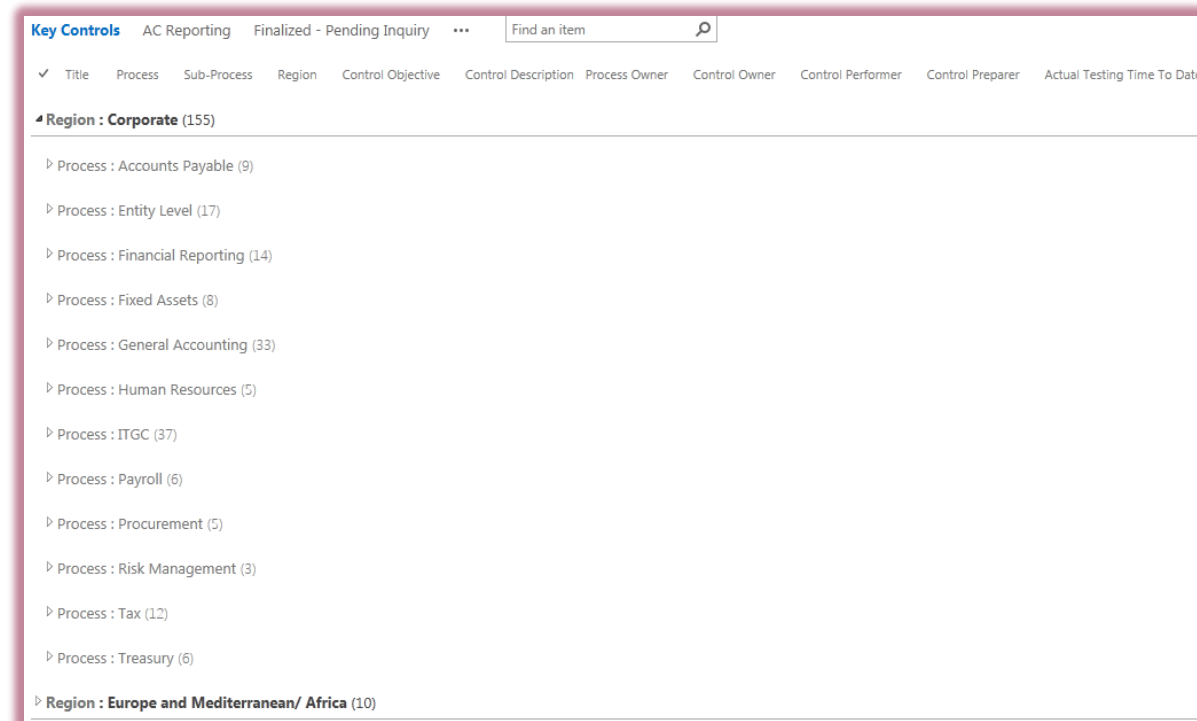
SHAREPOINT FEATURES

⊙ Custom Lists

Field	Field Type	Notes
Control ID	Single	Required field; Key Identifier
COSO Framework	Choice	Drop Down, No Default = CE, RA, CA, IC, MA
Process	Single	-
Sub-Process	Single	-
Location	Choice	Drop Down, No Default = Corporate, Brazil, Canada, Gulf of Mexico, Mexico, Mid East, North Sea, West Africa
Risk Level	Choice	Drop Down, No Default = High, Moderate, Low
Control Objective	Multiple	6 Lines
Control Description	Multiple	20 Lines
Consol FS Line Item/FN Ref	Single	-
Assertions	Choice	Checkboxes, No Default = E/O, C, VA, RO, PD
Control Type	Choice	Drop Down, No Default = A, M, I
Control Nature	Choice	Drop Down, No Default = P, D
Process Owner	Person	-
Control Owner	Person	-
Mgmt. Frequency	Choice	Drop Down, No Default = Annual, As Needed, Monthly, Quarterly, Twice a Week, Transactional
System Used	Single	-
System Generated Reports/Spreadsheets	Multiple	3 Lines

SHAREPOINT FEATURES

◉ Custom Lists

Field	Field Type	Notes
Item No.	Single	Required field; Key Identifier
Control ID	Single	-
Process	Single	-
Sub-Process	Single	-
Location	Choice	Drop Down, No Default = Corporate, Brazil, Canada, Gulf of Mexico, Mexico, Mid East, North Sea, West Africa
Previous Control Objective / Description	Multiple	20 Lines
Revised Objective / Description	Multiple	20 Lines
Change Type	Choice	Drop Down, No Default = Changed Wording, Deemed Non Key, Deleted Control, Added Control
Rationale for Change	Multiple	10 Lines
Effective Date	Date	-

SHAREPOINT FEATURES

⊙ Custom Lists

Title *	APD 01.30
COSO Framework	CA
Region	Corporate
Process	ITGC
Sub-Process	Logical Access
Process Level Assessed Risk	Medium
Control Level Complexity	Low
Control Level Judgments & Estimates	Low
Control Level Transaction Activity (e.g. volume)	Low
Control Level - Other Factors	Low
Control Level - Other Factors, explanation	Configuration control that is based on IT Policy and should follow change management controls if altered.
Control Risk	Low
Control Objective	Access to financially significant systems and data is restricted.
Control Description	Windows Active Directory is configured to prevent unauthorized access via passwords and security settings.
Consol FS Line Item/FN Ref	All accounts and disclosures

Attachments	AP 01.10.pdf

SHAREPOINT FEATURES

⊙ Custom Lists

Population Description	Domain Password Settings
Completeness Verification	N/A
System Used	Windows
System Generated Reports/Spreadsheets	N/A
Date Generated	12/7/2016
Report Testing Procedures	N/A
Report Testing Results	N/A

SHAREPOINT FEATURES

⦿ Choice Fields

Drop Downs

Test Status

Finalized 2016 - Inquiry Pending ▼
Finalized 2016 - Inquiry Pending
Finalized 2016
In Review - Team
In Review - Wendy
Not Started - Jan/Feb Test
Not Started - Final Test
In Progress
KGS - Not Started
KGS - In Progress
KGS - In Review
Reviewed With Comments
Failed
Failed In Remediation

Radio Buttons

Change Priority *

- ◉ High
- ○ Medium
- ○ Low
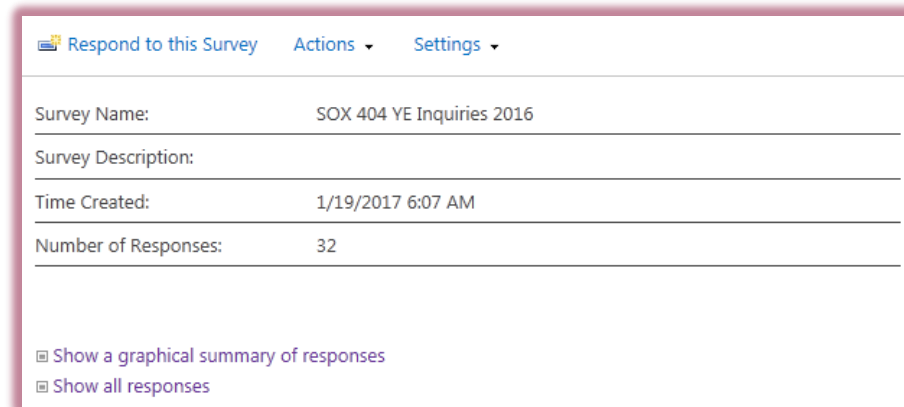
Checkboxes *(allows multiple selections)*

Auditor

- ☐ Kent Caldwell
- ☑ Vincent Roberts
- ☐ Lan Nguyen
- ☐ Tomeshwar Singh
- ☐ Priya Darshini
- ☐ Soumini Pillai

SHAREPOINT FEATURES
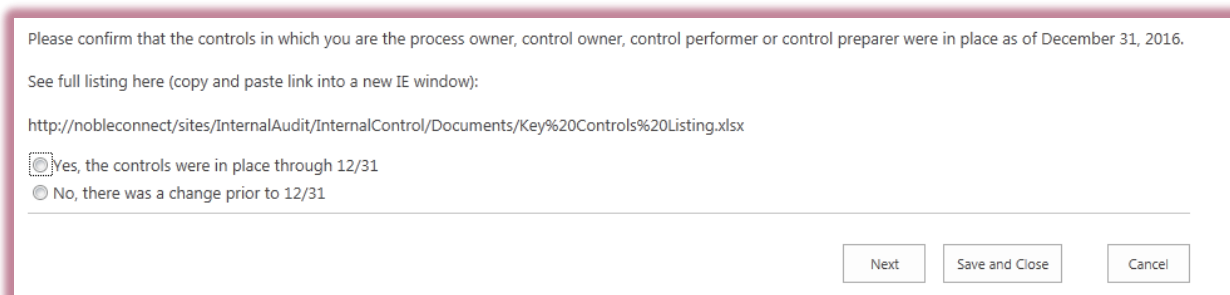
⦿ Survey - Use a survey to collect and compile feedback. Good to use for employee satisfaction surveys and year end SOX 404 inquiries. You can design your questions and answers in several different ways and see an overview of your feedback.

Respond to this Survey   Actions ▾   Settings ▾

Survey Name:	SOX 404 YE Inquiries 2016
Survey Description:	
Time Created:	1/19/2017 6:07 AM
Number of Responses:	32

⊞ Show a graphical summary of responses
⊞ Show all responses

Please confirm that the controls in which you are the process owner, control owner, control performer or control preparer were in place as of December 31, 2016.

See full listing here (copy and paste link into a new IE window):

http://nobleconnect/sites/InternalAudit/InternalControl/Documents/Key%20Controls%20Listing.xlsx

◉ Yes, the controls were in place through 12/31
◯ No, there was a change prior to 12/31

Next   Save and Close   Cancel

SHAREPOINT FEATURES

◉ Announcement List - Use the announcements list to share news, status and to provide reminders. Announcements support enhanced formatting with images, hyperlinks, and formatted text.
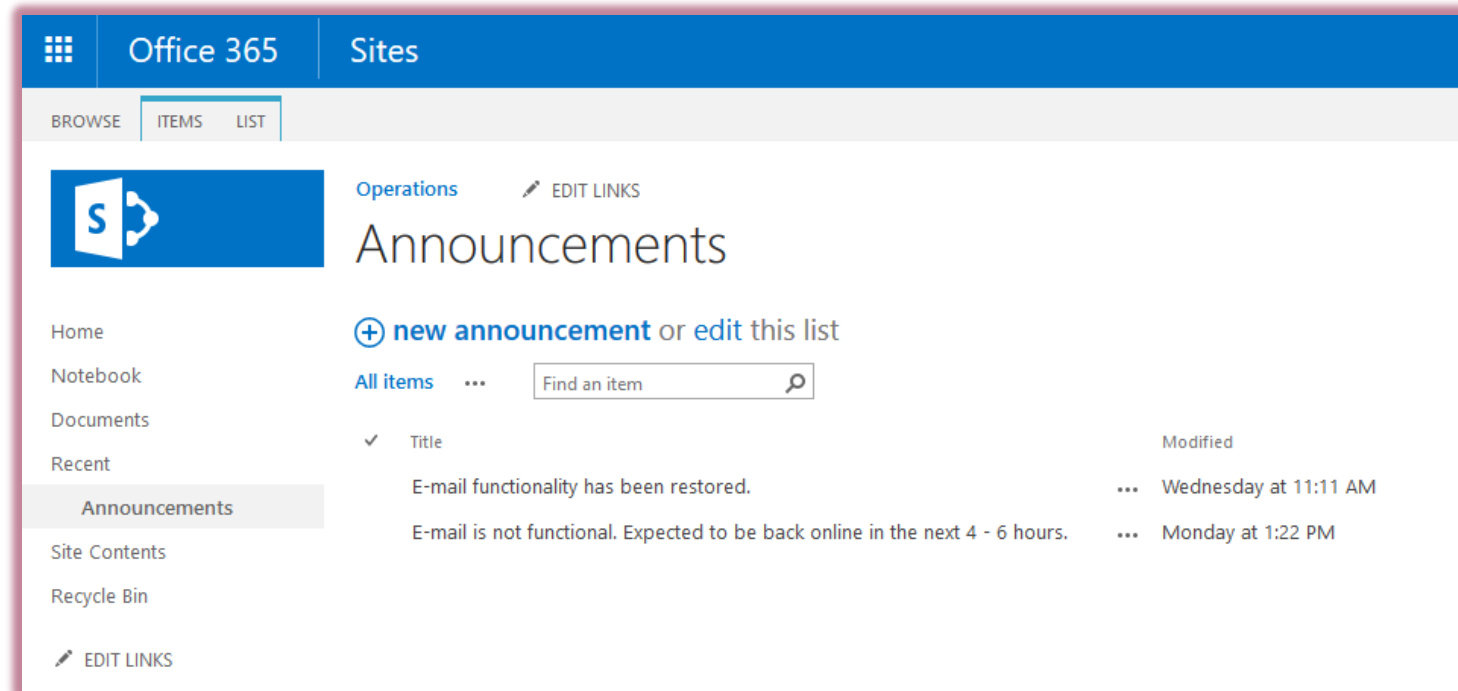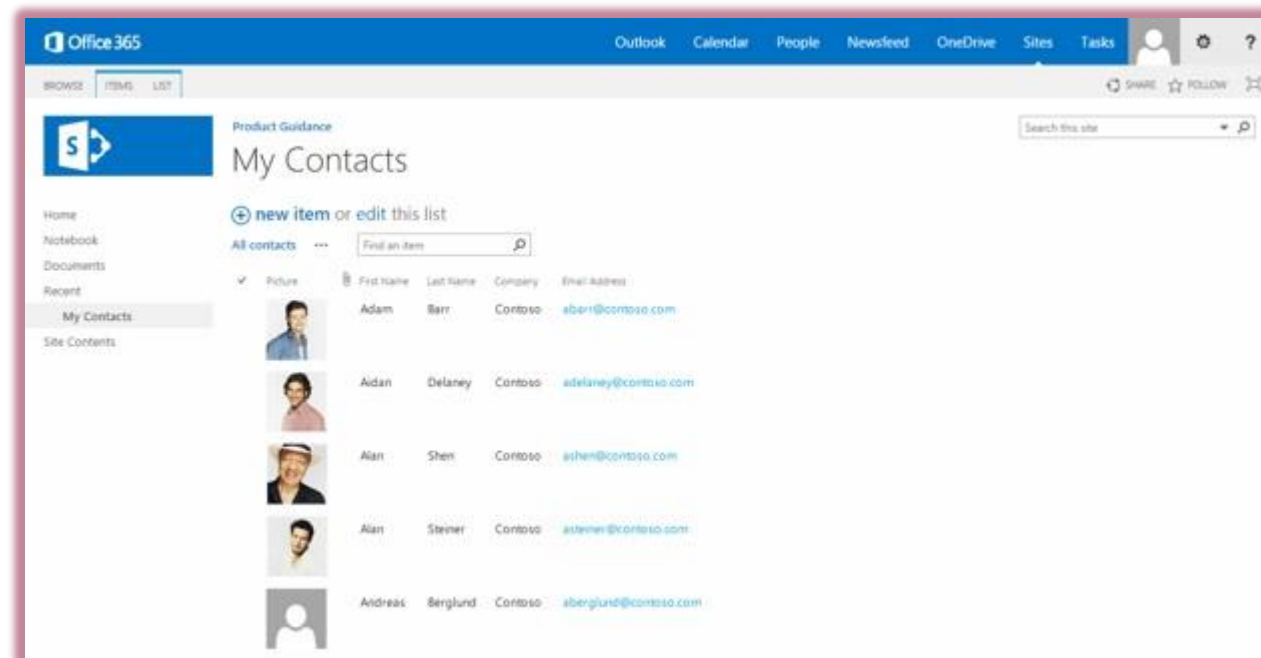
SHAREPOINT FEATURES

◉ Calendar - Use a calendar to provide visual views, similar to a desk or wall calendar,

of your team events, including meetings, social events and all-day events. You can also

track team milestones, such as deadlines or product release dates, that are not related to a

specific time interval. **SharePoint Calendars can be linked to Outlook Calendars.**
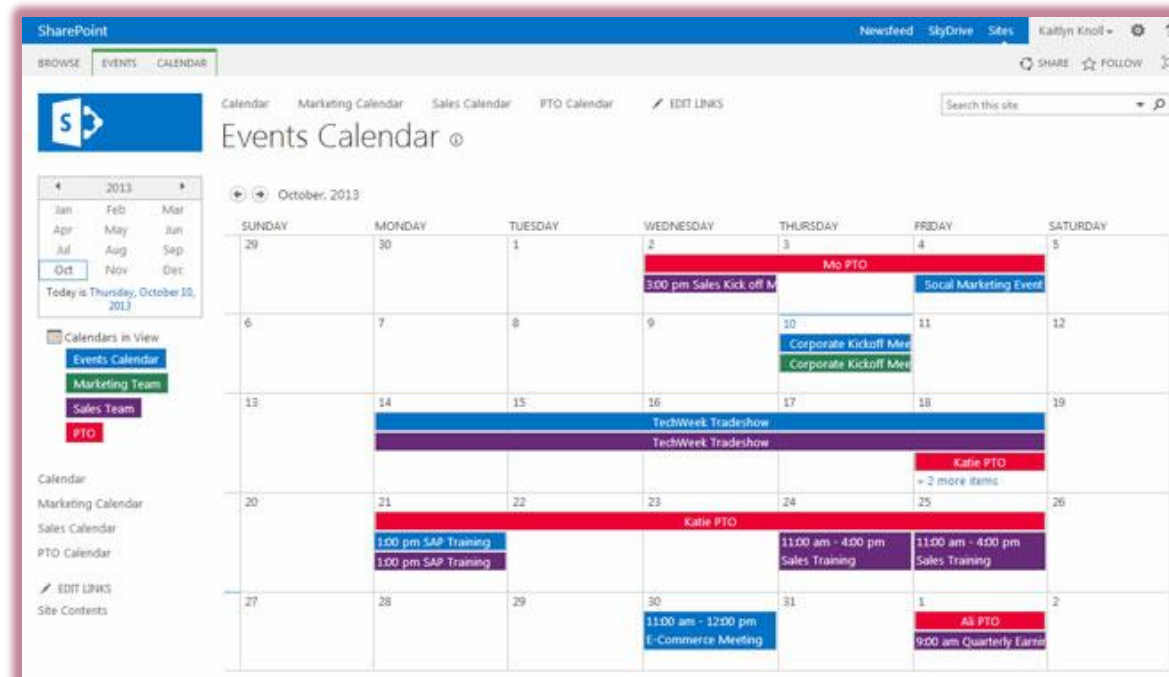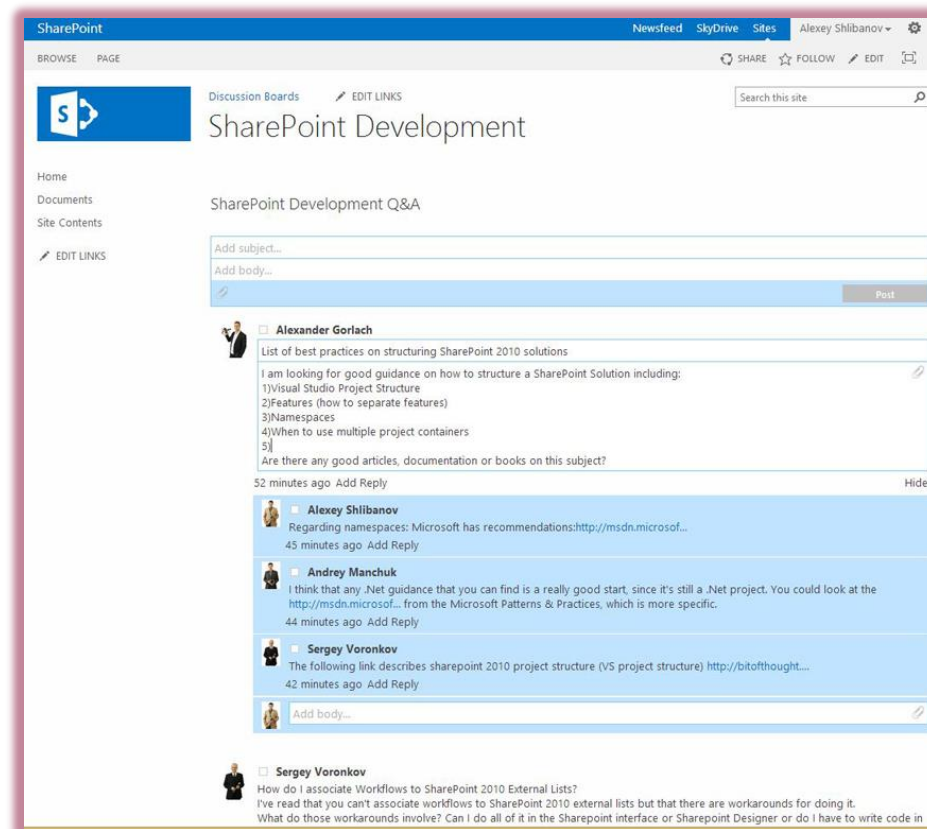
SHAREPOINT FEATURES

⦿ Contact List - Use a contact list to store information about people or groups that you work with. A contact list does not manage the members of your site, but it can be used to store and share contacts for your organization, such as a list of external vendors.
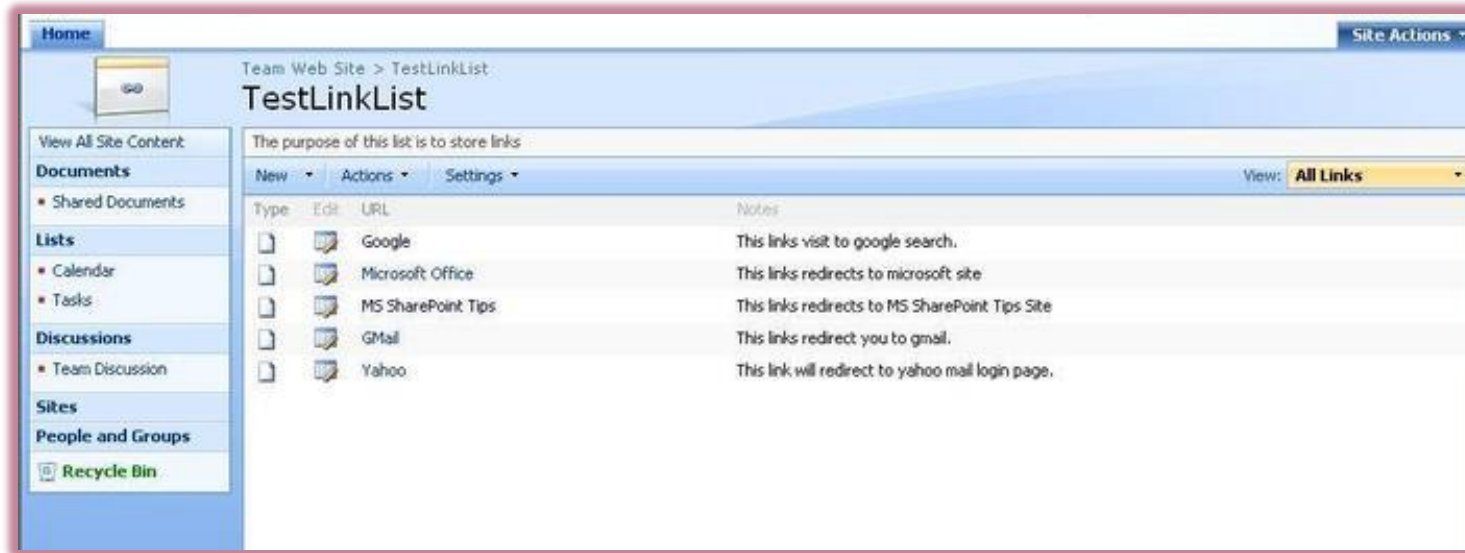
SHAREPOINT FEATURES

⊙ Discussion Board - Use a discussion board to provide a central place to record and store team discussions in the format of newsgroups or blog sites.
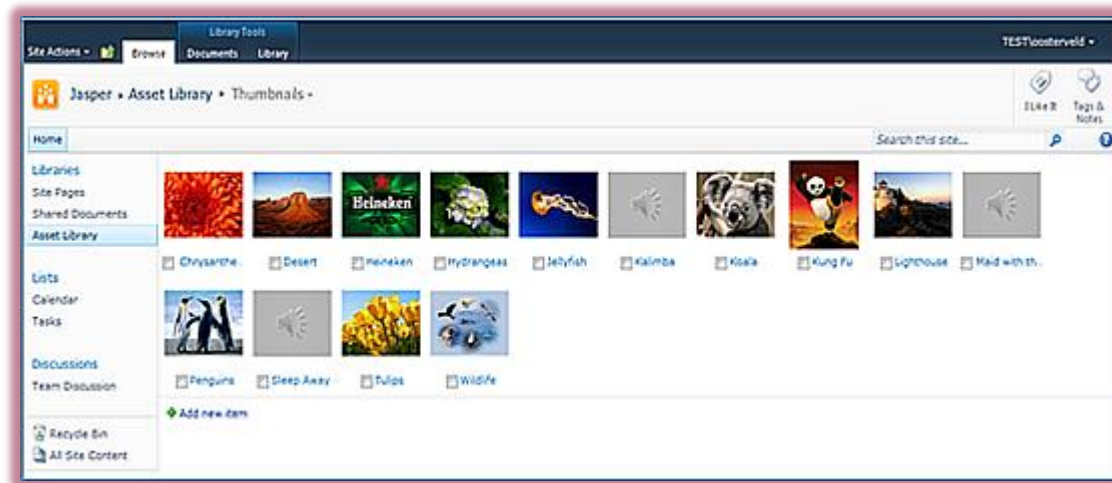
SHAREPOINT FEATURES

⦿ Links List - Use a links list as a central location for links to the internet, your company's intranet, and other resources. For example, you might create a list of links web based audit resources (IIA).

SHAREPOINT FEATURES

⊙ Picture Library - Use a picture library to collect and share photos taken during site

visits or team building/networking activities.

SHAREPOINT FEATURES

- ⦿ Permissions – Allows for customized user access restrictions to the site or its contents. Permissions can be used to grant internal auditors access to edit testing fields/data and grant external auditors read only access to the same data. Permissions can be used to lock data to prevent editing as part of the archival process.

- ⦿ Customized Views - Create various views for users based on specific needs. Administrators can create public views and users can create personal views. Views allow data to be viewed in multiple ways and can be used to display filtered and sorted information.
  - ▪ Data sheet view displays data in an editable spreadsheet format that is convenient for bulk editing and quick customization.

- ⦿ Alerts - Add email alerts to notify you of any changes in the content of your site. Alerts are useful for notification when process owners add documents to the site and team members change testing status.

QUESTIONS?