



Sword Audit Manager

Your solution to effective Audit and Assurance

SWORD

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Sword Audit Manager is an integrated audit and compliance management, documentation and reporting system.

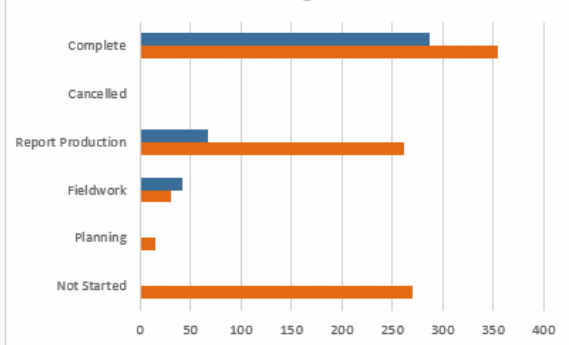
It can be configured to meet the exact needs of audit, investigation, compliance and other similar departments. Sword Audit Manager can be used alone, or integrated with the Sword Operational Risk Manager Risk Management modules to support a risk-based audit methodology and provide assurance on management's assessment of risk and control environment.

When integrated, Sword Operational Risk Manager and Sword Audit Manager supports the 3-lines of defence assurance methodology.

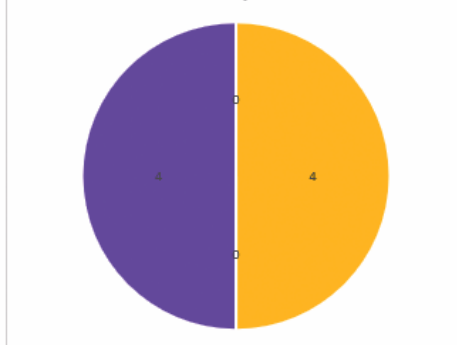
Audit Dashboard

Audit Year: 2019, Business Unit: ALL, Audit Manager: ALL, Lead Auditor: ALL

Actual Time against Plan



Audit Opinion



Actual Time against Plan

Audit Stage	Plan Days	Actual Days
Not Started	270	0
Planning	15	0
Fieldwork	30	41
Report Production	262	67
Cancelled	0	0
Complete	355	287
Totals	932	396

Audit Ratings of Complete Audits

Satisfactory	0
Needs Improvement	4
Unsatisfactory	0
Not Yet Entered	4

Plan days = total number of days for audits at each stage

Actual days = number of days taken so far for audits at each stage

Actual days is based on **posted** time only.

Audit Planning

Sword Audit Manager provides functionality for strategic planning of activities over multiple periods and generation of the annual plan of work supporting a risk-based audit methodology.

It also provides detailed tracking and reporting of all activities, both planned and unplanned. Additionally, Sword Audit Manager supports Agile audit planning and management reacting to intelligence or requests received from the business.

Intelligence/Horizon Scanning

- ✓ Module to record intelligence logged or informed by the business or through horizon scanning.
 - ✓ Ability to risk assess intelligence according to configurable parameters.
 - ✓ Incorporating intelligence into the audit plans.
 - ✓ Analysing trends and themes in intelligence.
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Strategic Planning

- ✓ Audit work prioritisation to optimise the risk and control coverage and maximise the assurance given on management's assessment of their risks.
- ✓ Multiple options for linking risks to the audit universe if Sword Operational Risk Manager is used for the risk register.
- ✓ Audit Needs Risk Assessment model configured to your methodology.
- ✓ History table of needs assessments scores.
- ✓ Activity scheduling routines to optimise planning.
- ✓ Balance activities planned with available audit resource to ensure they are realistic.
- ✓ Risk assessing intelligence and incorporating into plans.

Resource Management

The resource management functionality facilitates optimisation of resources as well as developing the skills and experiences of staff.

- ✓ Staff resource and skills module.
 - ✓ Optional annual staff budgeting and tracking to assist with strategic planning and work allocation.
 - ✓ Staff Scheduling system including Gantt charts to show work allocation, availability and time conflicts.
 - ✓ Weekly timesheets system.
 - ✓ Includes scheduling and recording of both assurance and administrative functions.
 - ✓ Analysis of time and variances by team, person, activity, task and period.
 - ✓ Utilisation and forecasting reports to assist with resource optimisation.
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Annual Plans & Detailed Tracking of Activities

- ✓ Activity planning including audits, compliance reviews investigations, projects and administrative functions.
- ✓ Progress tracking with target, revised and actual milestones/progress points providing identification of overdue activities at any milestone.
- ✓ Generation of the terms of reference and other activity correspondence.
- ✓ Annual plan budget and progress reporting.
- ✓ Management of contingency budgets.
- ✓ Year end processing and reporting functions.
- ✓ Analysis and reporting of activities by user-defined categories.
- ✓ Audit summary for audit year end reports.

Working Papers System

The system includes a versatile working papers system with a wide range of standard and optional working papers.

- ✓ Library facility for standard working papers and reference material.
- ✓ Range of working papers types including Risk and Control Matrix, Outcomes Schedules, Checklists, Walkthrough tests, Planning documents and other workpaper types configured as required.
- ✓ Optional allocation of working papers to staff.
- ✓ Optional automatic referencing of working papers.
- ✓ Links with Sword Operational Risk Manager to generate working papers of risks, controls and optionally tests identified by management.
- ✓ Cross-linking between any working papers.
- ✓ Upload of attachments for audit evidence.
- ✓ Export of all working papers to MS Word and Excel templates..
- ✓ Export of all working papers to MS Word and Excel templates.
- ✓ Electronic review and sign-off of documents including generation and tracking of review points.
- ✓ View of all unsigned documents for an audit.
- ✓ Dashboards for tasks and workflow.
- ✓ Reporting of working paper issues/ themes across audits.
- ✓ Generation of issues or required further actions from any working paper where weaknesses are identified.
- ✓ Option to separately record issues, findings and actions.
- ✓ Full Issues and Actions Tracking System.
- ✓ Comprehensive security model.

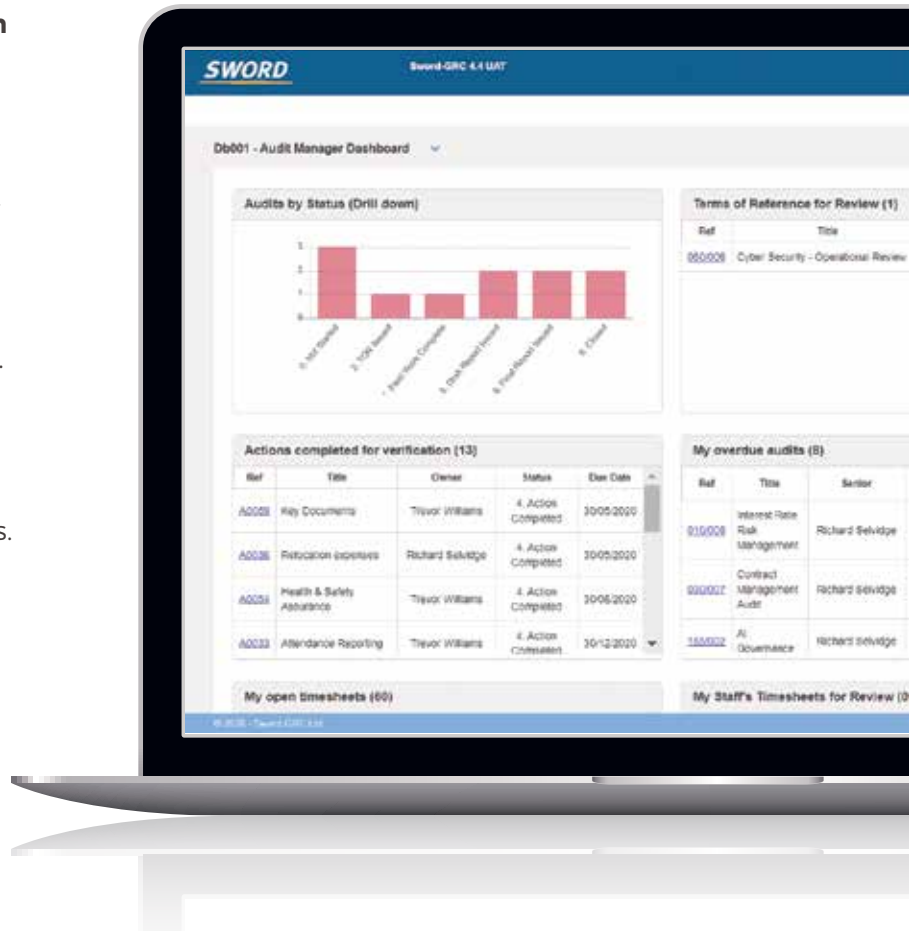


Audit Report Generation and Action Tracking

Automatic generation of the audit report based on the Executive summary and list of actions generated from the audit working papers improves both efficiency and standardisation on the audit.

Risk and Audit Actions are reported and tracked together through the action tracking area.

- ✓ Finding discussion schedule.
- ✓ Automatic generation of the final audit/ activity report into MS Word, Excel or PowerPoint.
- ✓ Optional multiple templates for different report styles.
- ✓ On-line response by action owners.
- ✓ Analysis and reporting of common issues.
- ✓ Email alerting of overdue actions.
- ✓ Proactive alerting of pending items.
- ✓ KPIs and statistics of action clearance times.
- ✓ Comprehensive security for access.
- ✓ There is an extensive list of available reports as well as end-user reporting tools for writing your own reports.



Post Activity Questionnaire

Post activity questionnaire to gain feedback from the business on the benefits of the audit/activity and to identify where improvements could be made through training or further discussions with the business.

- ✓ Organization maintained questionnaire with up to 60 questions.
- ✓ Configured to your scoring system.
- ✓ Optional online completion by the business.
- ✓ Optional comments by question.
- ✓ Analysis of results by business unit, activity, manager, lead auditor, staff and question.

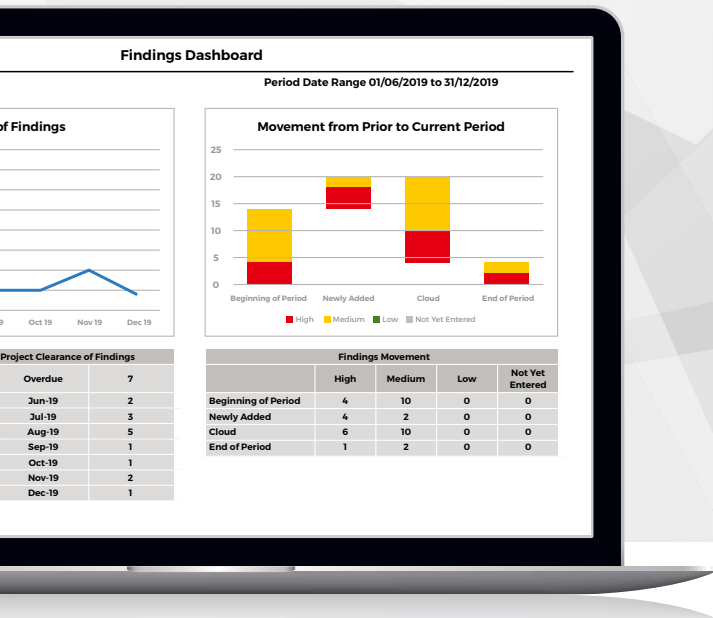
KPIs and Statistics

Throughout the system, standard and organization-specific key performance indicators and statistics are generated.

- ✓ Data maintenance views to ensure key data is complete before generation of reports.
- ✓ Filter data for output including by period, team, manager, region, etc.
- ✓ Easy identification of problem areas.
- ✓ Export of statistics to MS Excel for charting, further analysis and reporting.
- ✓ Export of data to scorecards.
- ✓ Audit performance against deadlines.
- ✓ Progress against budget.
- ✓ Configurable by your Administrator.

Reporting

The system supports a wide range of standard and custom reporting options to ensure your exact reporting requirements are met and the system includes over 300 standard reports which may be tailored to meet your exact requirements either by your Administrators or by your implementation team.



As the data is held in a single SQL database multi-dimensional reporting is available through a range of reporting tools and options including:

- ✓ Multi-component dashboard reports.
- ✓ Export of any filtered data to MS Excel.
- ✓ Export of selected data to MS Excel/MS Word/ MS PowerPoint templates.
- ✓ Heat Maps and "Blob-Reports" of risks.
- ✓ 'Click and Drag' report generator for end-users.
- ✓ Integration with Tableau Visualisation tool.

Questionnaires

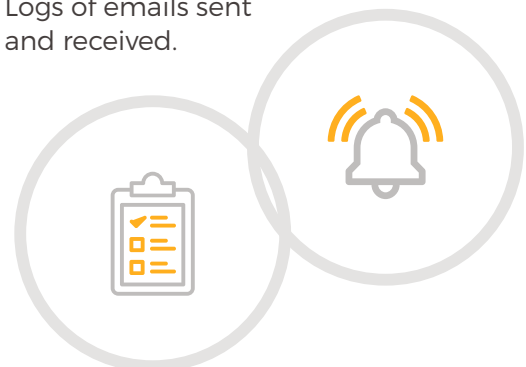
An online system for designing and issuing questionnaires, collating responses certification from the business units.

- ✓ Generate surveys for Business Units and business users on an ad-hoc or cyclical basis.
- ✓ Design and store and maintain a library of questionnaires for issuing as required.
- ✓ Select from a range of response types and validation criteria.
- ✓ Email notifications and reminders to questionnaire respondees.
- ✓ Online responses by management including supporting replies with comments.
- ✓ Full progress control sign-off and tracking of responses.
- ✓ Analysis of responses including trend reports of responses over periods.
- ✓ Additional ad-hoc questionnaires to seek views on the control environment, risk appetite, compliance or for any purpose.

Dashboards and Alerts

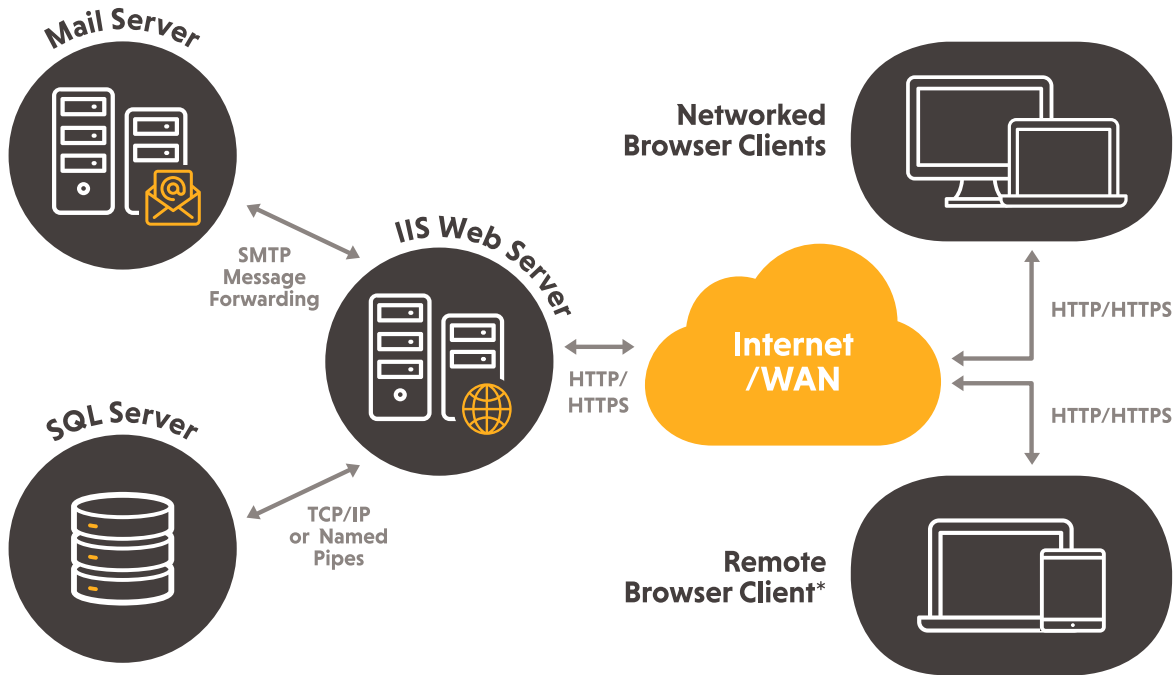
User specific on-screen dashboards configured to meet the needs and role of the user to highlight issues, items for review or update, trends and significant changes.

- ✓ Multiple dashboards available by user.
- ✓ Dashboards configured by the Administrator to meet the exact needs of the user.
- ✓ Lists of items or graphical analyses available within dashboards.
- ✓ Email alerts throughout the system with links to the items requiring attention.
- ✓ Both manually instigated and scheduled emails supported.
- ✓ Logs of emails sent and received.



Technical

- ✓ User access via browser (IE 10 and above, Edge, Firefox, Chrome, Safari)
- ✓ PC, Laptop, Tablet (e.g iPad) and smart device
- ✓ Uses Windows IIS Server
- ✓ SQL Database 2012 and above
- ✓ Connect to any SMTP e-mail server
- ✓ Hosted or on your equipment



*not required but system can be configured to use if customers request email features or remove access

Services

Our software has been designed to support configuration to meet each organization's exact requirements.

Our structured implementation plan is led by experienced risk consultants and covers:

- ✓ Understanding your needs.
- ✓ Developing a project plan to meet your priorities and timetable.
- ✓ Workshops with key stakeholders to ensure everyone's needs are addressed.
- ✓ Configuration of the system to meet match your methodology and terminology.
- ✓ Administrator training courses to teach you how to further configure the system.
- ✓ Report-writing courses.
- ✓ Super-user and end-user training courses.
- ✓ Audit and Compliance Consulting Services.
- ✓ Post implementation support programmes.
- ✓ Active User Group Meetings to share ideas and help direct the development priorities.



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