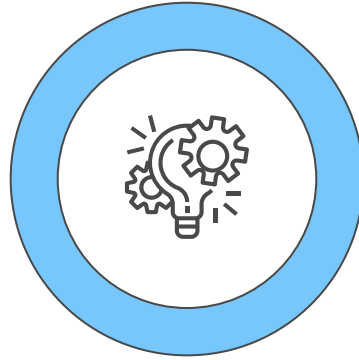


OUR CONSULTING ENGAGEMENT

THE MAIN ASPECTS



The Title of the Engagement

Evaluation of the municipality's electronic document management system (e-DMS) implementation, with a focus on identifying existing problems and proposing of solutions.

...

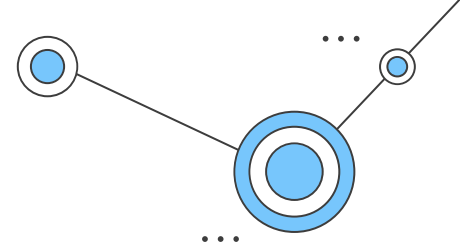
The client: the top manager

PRE-ENGAGEMENT PHASE



- ✓ Introductory meeting with the client to understand their goals, challenges, and expectations
- ✓ Analysis of the workload required to meet the client's needs
- ✓ Analysis of time resources, personnel, and necessary skills
- ✓ **All of this correlates to the expected added value.**
- ✓ Acceptance of the engagement
- ✓ Explanation of our next steps

What results do we expect ?



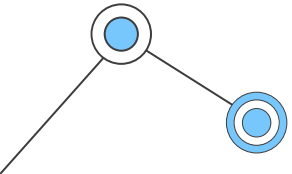
...
Enhanced
collaboration

...
Compliance
and security

...
Cost savings

...
Improved
efficiency

...
Scalability



What were the main phases of the mission?

01
...

Planning and scoping

02
...

Diagnosing the current situation (field work)

03
...

Developing solutions and making recommendations

04
...

Reporting

05
...

Follow-up and monitoring



What were the objectives of the mission?



To **assess** the current state of the e-DMS implementation within the entity



To **identify** and address any issues or challenges encountered during the e-DMS implementation



To **propose** solutions and recommendations for process improvement, based on the evaluation of the e-DMS implementation

What was the scope of the mission?



The processes of e-DMS implementation from the moment of the decision to initiate the implementation, till the current stage.

During the mission, we had a close collaboration with the subdivision with the role of system administrator and with the **top manager's advisor** in the IT field.



What was our audit approach?

01

Interviews with key stakeholders, including board members, operational managers, the e-DMS administrator, supervisors

02

Analysis of user feedback and complaints regarding the e-DMS

03

Analysis of relevant documents

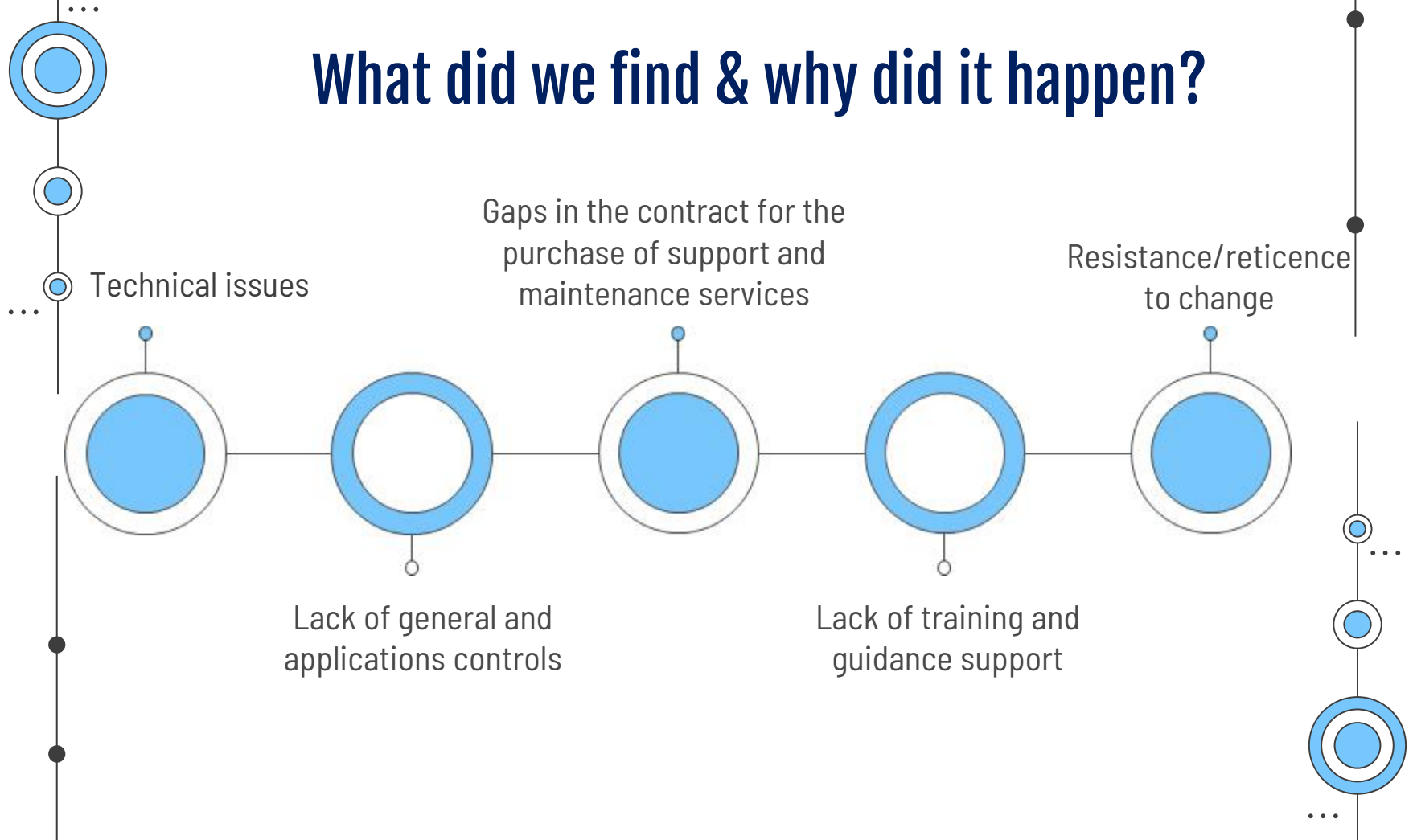
04

Drafting and analysis of the flowchart of the process

05

Testing of general and applications controls, including simulation of some phases in the process

What did we find & why did it happen?



What did we recommend?

Review the outsourcing contract for e-DMS support and maintenance services.

Develop instructions for the use of the e-DMS and a clear roadmap for the implementation process.

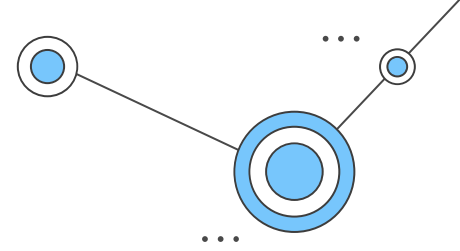
Review and harmonize the Personal Data Security policy and the cybersecurity management policy, considering the e-DMS.

Consolidate the entity's capacities in the IT field.

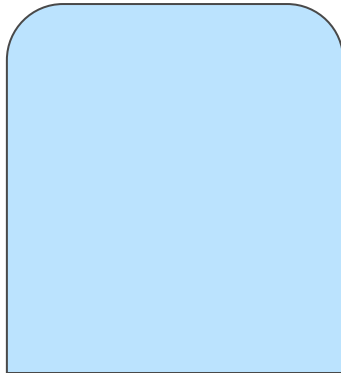
Ensure the management of risks related to e-DMS to establish concrete control measures along with monitoring, analysis, and reporting mechanisms.



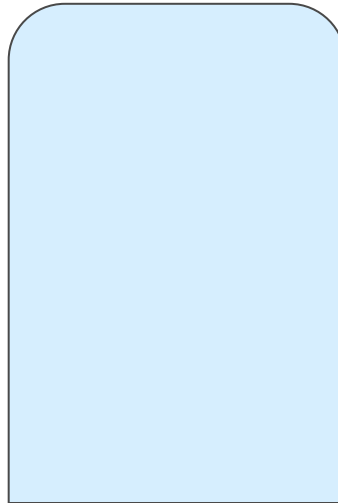
How did we report the mission's results?



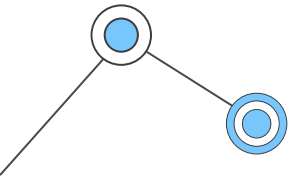
The reporting form was **coordinated** with the client at the planning stage.



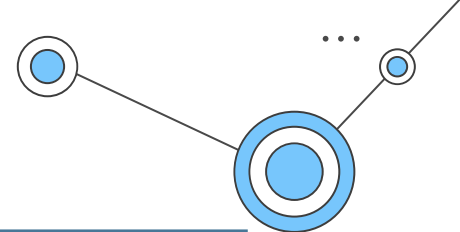
During the mission, the **intermediate** results were reported verbally.



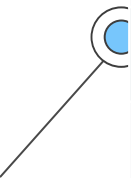
The final report of the mission was presented in the **usual** form.



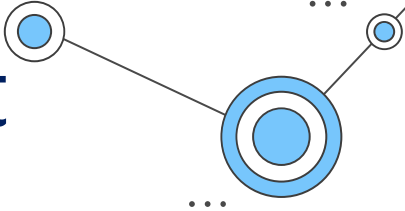
Consultancy vs. Assurance



The Criteria	Assurance	Consultancy
The involved parties	IA + the auditee + the beneficiary of the mission	IA + the beneficiary of the mission
Audit objectives and scope	Set by IA	Set by IA + the beneficiary of the mission
The mission plan	Approved by IA	Approved by IA + the beneficiary of the mission
Communication of results	To the beneficiary and auditee	To the beneficiary
Communication format	Standard written format	Format can also be verbal
Follow-up	Mandatory	At the request of the beneficiary



Challenges of the “Blended” Engagement



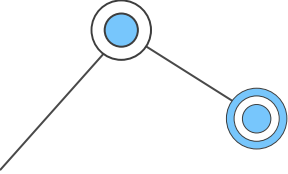
01

The boundaries
between
assurance and consulting

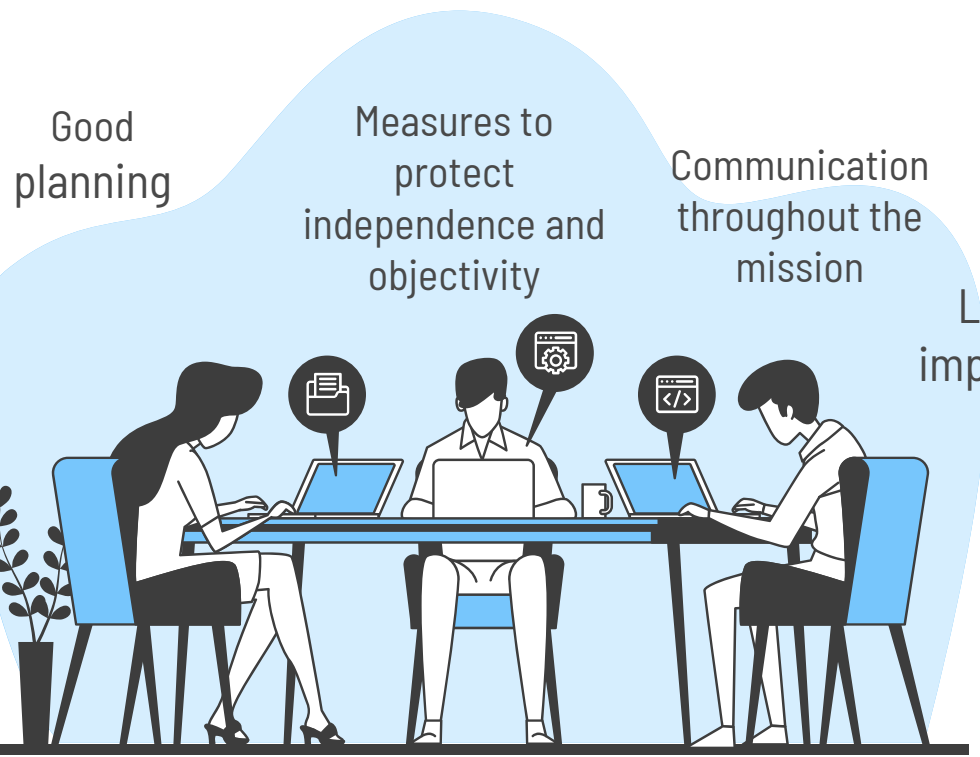
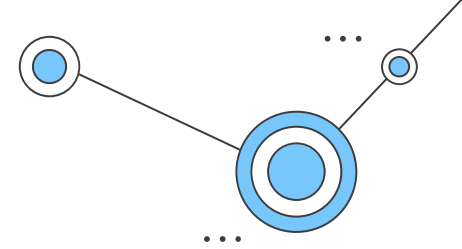


02

The boundaries
between
assessment and remediation



Lessons Learned



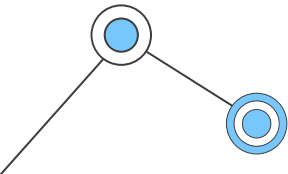
Good planning

Measures to protect independence and objectivity

Communication throughout the mission

Laconic and impactful report

Deep pre-engagement analysis



Will the expected added value materialize?

The client accepted the recommendations.

An action plan was developed.

The client requested to follow-up the recommendation.

We provided post-engagement support.

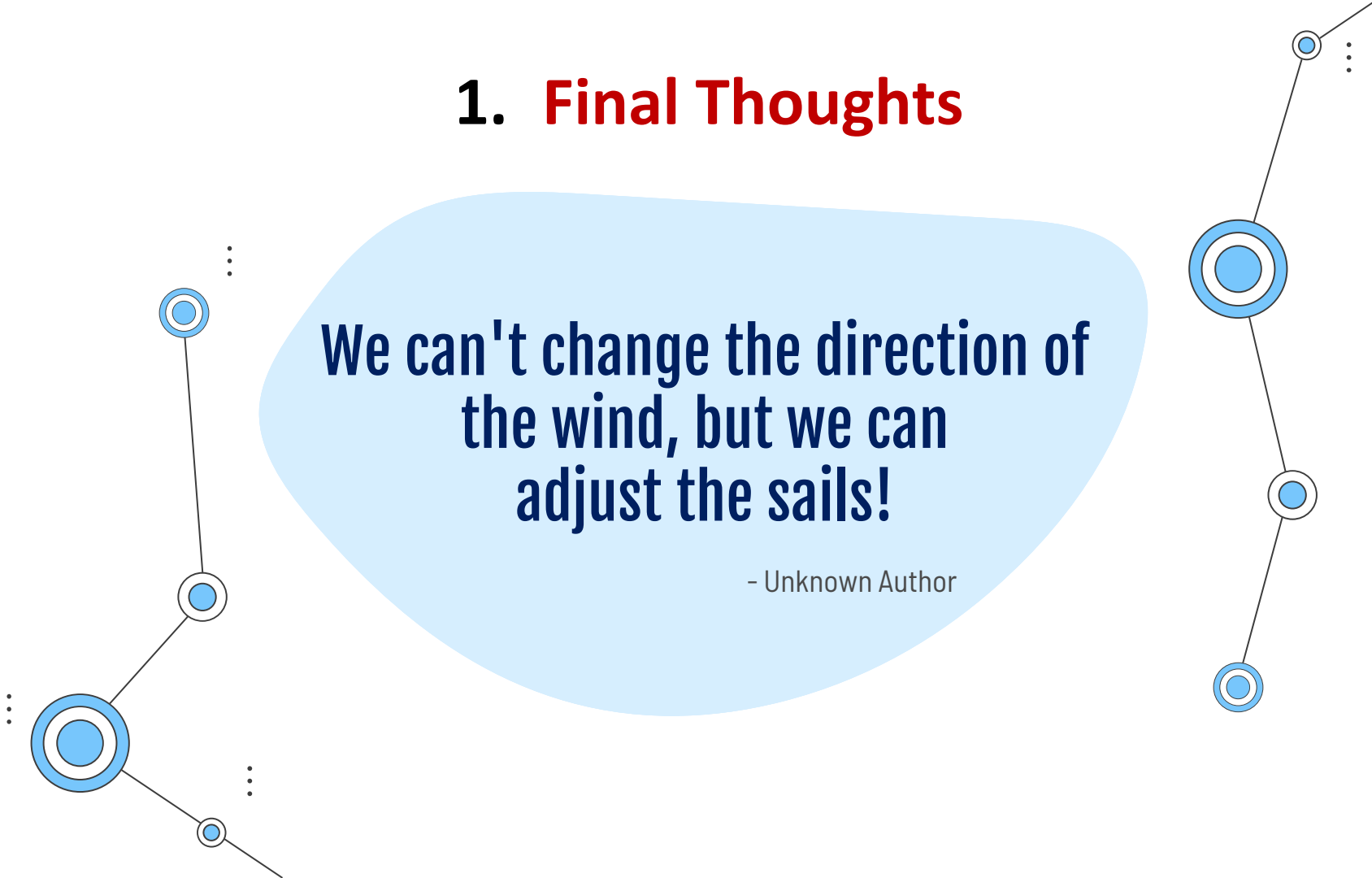
We will get involved whenever necessary and possible.



1. Final Thoughts

**We can't change the direction of
the wind, but we can
adjust the sails!**

- Unknown Author



THANK YOU!



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