

Case Study: Controls and Compliance



AWI Consultancy

Situation

- Unix infrastructure team unprepared for external regulatory IT audit
- A program of audit preparation work was required at short notice
- Requirement for centralised coordination of audit deliverables and relationship management with external auditors

Tasks

- Provide specialist infrastructure knowledge
- Evaluate IT infrastructure prior to the audit
- Implement tracking procedures and audit delivery activities

Solution

- Provided benchmark exception reports
- Drove exception remediation
- Represented the technology organisation with external auditors
- Instigated ongoing audit exception review process
- Setup daily/weekly/monthly operational sign-off process

Results

- **Audit passed successfully**
- **Reduced by 50% audit exceptions within 3 months**

