



# DigiTrans - Audits

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# Audit objective: End-to-end consideration of digitisation projects (digital transformation projects)



## **Audit Objective**

*Assessment of process efficiency in dealing with (...) from an "end-to-end" perspective.*

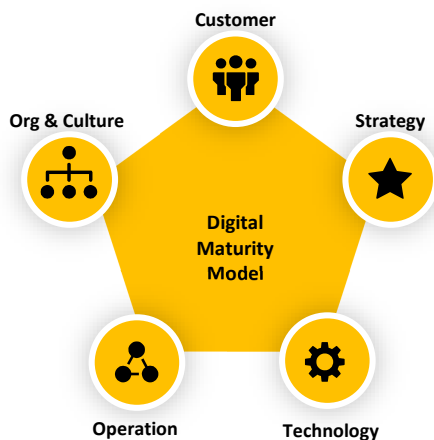


## **Derived audit questions**

1. Is the efficiency enhancement potential of the digital transformation being exploited?
2. Are new potential customers, partners, products and services adequately considered?
3. Is the digital transformation adequately embedded, controlled and managed in an overall architecture?
4. Do the existing framework conditions (e.g. laws, technology) allow for timely and flexible implementation and continuous digitisation?

# Basis for answering the audit questions is the DigiTrans model SFAO with five dimensions

The DigiTrans Model assesses digital capabilities and risks in 5 clearly defined dimensions and applies a holistic view.



## Customer



Consideration of customer and stakeholder needs and existing pressure points.

## Operation



Looking at processes and governance in terms of using digital technologies to improve efficiency and effectiveness.

## Strategy



Looking at how the organisation should be transformed to increase impact and efficiency.

## Org & Culture



Looking at the organisation and culture in terms of governance and talent processes to support progress.

## Technology



Looking at how data is generated, processed, secured and exchanged to address customer needs at low variable and fixed costs.

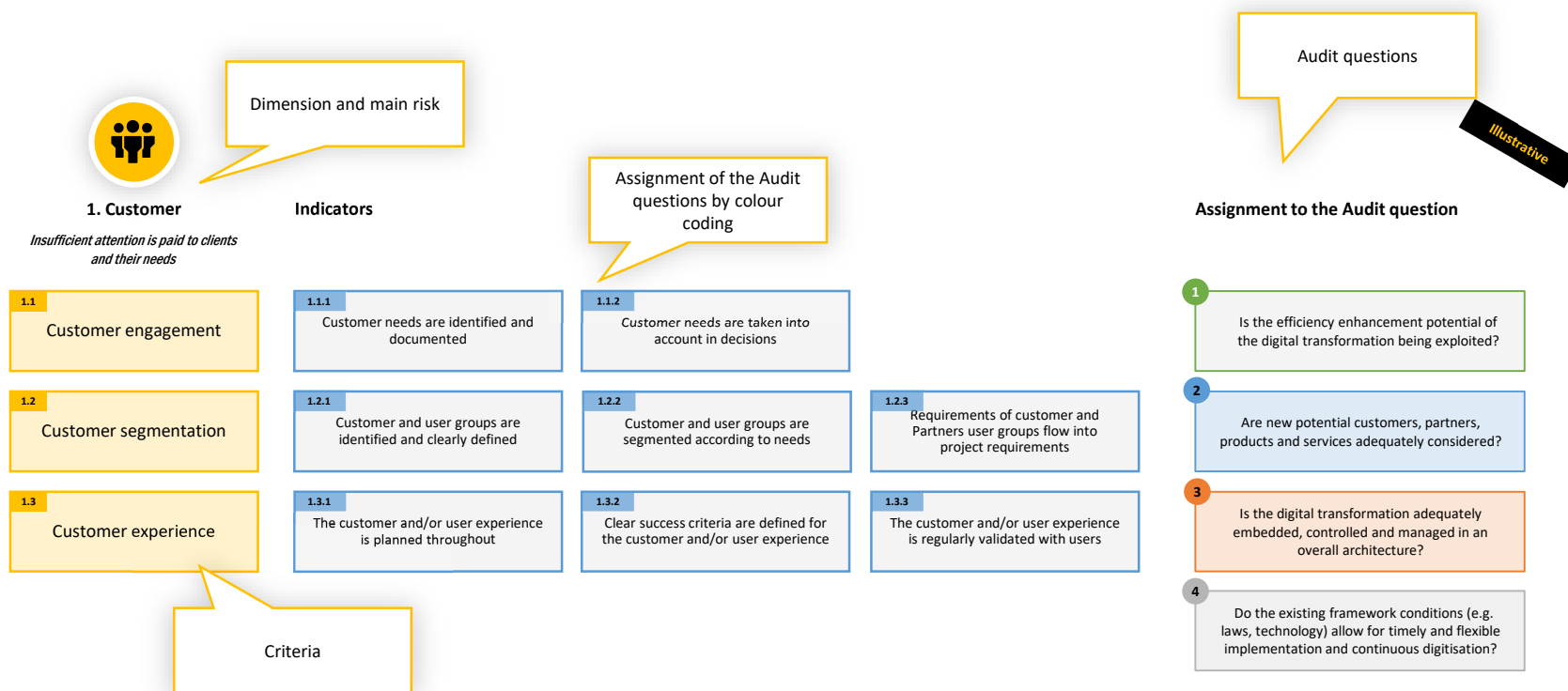


# 19 Criteria for assessing the main risks



\*Customers include both internal and external partners and stakeholders

# Indicators for the criteria are assigned to the Audit questions



# Dimension 1: Customer



## 1. Customer

*Insufficient attention is paid to clients and their needs*

- 1.1 Customer engagement
- 1.2 Customer segmentation
- 1.3 Customer experience

## Indicators

- |   |   |  |
|---|---|--|
| 1.1.1<br>Digital projects are planned and implemented from the customer's point of view | 1.1.2<br>Customer needs are taken into account in decisions                         |  |
| 1.2.1<br>Customer and user groups are identified and clearly defined                    | 1.2.2<br>Customer and user groups are segmented according to needs                  | 1.2.3<br>Requirements of customer and user groups flow into project requirements |
| 1.3.1<br>The customer and/or user experience is planned throughout                      | 1.3.2<br>Clear success criteria are defined for the customer and/or user experience | 1.3.3<br>The customer and/or user experience is regularly validated with users   |

## Assignment to the Audit question

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# Dimension 2: Strategy



## 2. Strategy

*There is no strategy in place that shows how and for what purpose transformation should take place*

### Indicators

**2.1**  
Legal basis

**2.1.1**  
Legal obstacles to projects are identified in good time and measures taken to eliminate them

**2.1.2**  
Any gaps in the law are known and measures have been taken to eliminate them.

**2.1.3**  
Data protection, security and regulatory requirements are identified.

**2.2**  
Stakeholder management

**2.2.1**  
There is an overview of the stakeholders in the ecosystem of the project

**2.2.2**  
An explicit partner/ecosystem approach is stated in the strategy

**2.2.3**  
Potential partners and clients are considered across organisational boundaries according to their needs

**2.3**  
Strategic Management

**2.3.1**  
A clear vision and ambition for digital transformation are in place

**2.3.2**  
An overarching strategy for digital transformation is defined

**2.3.2**  
Detailed planning (e.g. technology roadmap) is in place and up to date

**2.4**  
Finances & Investments

**2.4.1**  
A clear budget framework is defined

**2.4.2**  
Clear KPIs are defined for the transformation strategy to evaluate investment decisions

**2.4.3**  
Synergies with other projects have been identified and efforts are being made to realise them.

### Assignment to the Audit question

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# Dimension 3: Technology



## 3. Technology

*Technical solutions such as architecture, security, data integration are not clearly defined*

### Indicators

- 3.1 Architecture and applications
- 3.2 Data & Analytics
- 3.3 Implementation
- 3.4 Security

**3.1.1**  
A technology roadmap is in place and aligned with the business strategy

**3.1.2**  
The architecture design follows a service-oriented approach and APIs are used for integration

**3.1.3**  
The system and technology architecture is oriented towards the business architecture

**3.2.1**  
A Big Data platform exists and is used for data analysis

**3.2.2**  
IoT solutions are used to obtain data

**3.2.3**  
AI solutions are used to automate and increase efficiency

**3.3.1**  
A technology governance framework is in place to monitor implementation

**3.3.2**  
The project relies on industry standards

**3.3.3**  
The project automates and optimises processes to increase efficiency

**3.4.1**  
Security is embedded in the design and deployment of components

**3.4.2**  
Processes and systems are monitored for harmful activities and policy violations

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# Dimension 4: Operation



## 4. Operation

*The operating model is not designed with the use of digital technologies in mind*

### Indicators

4.1 Agile management

4.2 Process Management

4.3 Standards & Governance

4.4 Semantic interoperability

4.1.1 Agile methods are used in the development and evolution of products

4.2.1 Applications can be configured according to business requirements

4.3.1 The operating model embodies the digital strategy

4.4.1 Semantic interoperability is given

4.1.2 Design thinking is used to understand stakeholder needs and challenges

4.2.2 Existing services are continuously improved and new ones introduced

4.3.2 A risk management system is applied in day-to-day business

4.1.3 Operating processes are continuously improved

4.2.3 Effective operations and change management exists

4.3.3 Operation is compliant with legal and regulatory requirements and standards

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# Dimension 5: Org & Culture



## 5. Org & Culture

*Organisational development and change measures are insufficiently defined*

### Indicators

**5.1**  
Organisational culture

**5.1.1**  
The employees take their role in the sense of the project

**5.1.2**  
The organisation focuses on inclusion and diversity

**5.1.3**  
There is an Optimistic attitude towards the project ("can-do" culture)

**5.2**  
Leadership & Governance

**5.2.1**  
Digitisation projects have priority on the management agenda

**5.2.2**  
The performance mandate and the annual targets create incentives for the implementation of the digital strategy

**5.3**  
Enablement

**5.3.1**  
Work tools provided support productivity and innovation (e.g. virtual collaboration)

**5.3.2**  
Work policies and processes support productivity and innovation

**5.3.3**  
Knowledge is effectively captured and shared across the organisation

**5.4**  
Talent Management

**5.4.1**  
Competences of the employees are known and the necessary skills to implement the strategy are available.

**5.4.2**  
There is access to a pool of external talent

**5.4.3**  
There is continuous investment in the further development of employees in digital topics

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