GLOBAL DIGITAL FORENSICS

WORKBOOK GUIDE

New York Utility Audit Workbook Guide

How to use each sheet, in order

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> Use this guide with the workbook in the same download. It takes about ten minutes to read.

Questions about this document: call (800) 868-8189 or write to info@evestigate.com.

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Start in this order

The New York utility audit workbook has 21 sheets. This guide explains what each one records, the order to use them and how to print.

First week

Open Start, then Preparation and Uncertainty. Preparation lists the records to gather and who usually holds them; Uncertainty lists the questions to settle before scoping. Assign an owner and a target date to each row you can.

Scope

Use Applicability to record, for each entity, facility and rule, whether it applies and why. Record proposed exclusions in Scope decisions with the reason and the reviewer. Requirements holds one row per clause you will test.

Examine

Work plan sequences the tasks. Control tests holds the procedures with the evidence to request and the acceptance condition. Evidence logs each record with its source, collection date and integrity value. Activity permits records the operating approval for any field activity.

Report and hand over

Findings records the condition, criterion, consequence, owner and retest. Notices keeps each reporting clock separate. Recurring duties carries dated obligations forward after the project.

Every sheet

Amber cells take your entries. Pale blue cells show context or calculated values. Drop down lists limit status fields to the values the formulas count.

Sheet	What it records
Start	Purpose, project counts and the entity profile.
Applicability	Applicability questions for DFS, PSC Part 1200 and privacy law with the decision and evidence.
Work plan	Tasks by track and stage with owner, work product, acceptance criterion and dates.
Data flows	Each process or data population mapped to GBL private information, PSC and DFS nonpublic information.
Control tests	Test procedures with criterion, evidence to request, population, samples, result and review.
Evidence	Records collected with custodian, method, timestamp, location and integrity value.
Findings	Condition, criterion, consequence, owner, remedy, deadline, retest and closure.
Notices	Each notice regime with trigger, timing, recipients, clock start and submission receipt.
Recurring duties	Duties that continue after transition, with timing and next due date.

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Sheet	What it records
Activity permits	Operating approval for any live test.
Handover	Decisions and records transferred to the owners at close.
Review log	Your project review challenges and how each was resolved.
Sources	The source register with links.
Clause matrix	PSC Part 1200 and Part 500 clauses mapped to tests, with the entity decision and conclusion.
Scope decisions	Proposed exclusions with the reason and reviewer.
Edition record	The workbook edition and your own revisions.
Preparation	Records to gather before scoping.
Uncertainty	Questions to settle with DPS, DFS or counsel before scoping.
Requirements	One row per requirement you will test, mapped to procedures and the conclusion.
Field record	A one page print view of a single test.
Assessment prep	Preparation tasks by assessment type.

Working conventions

Statuses

Applicability decisions start as Unresolved. Choose Applicable or Not applicable with reason once the facility facts and the controlling rule are on record. The Start sheet counts open and incomplete decisions so the project manager can see which decisions are open.

Dates

Keep legal deadlines and project target dates in separate columns. A target date is a plan; the deadline column cites the rule that sets it.

Field record

Field record prints one procedure at a time. Choose the procedure ID in B5 and the linked fields fill from the procedure register. Enter results in the owning register.

Printing

Start and Field record print portrait, one page wide. The registers print landscape with the ID column and header row repeated on every page. Wide registers read best on screen; for field use print the Field record view or a filtered copy.

Adding rows

Insert rows inside a table so its formulas and lists extend. Keep IDs unique, because Field record and the Start counts look rows up by ID.

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Questions about the workbook

A senior GDF examiner can walk your team through the workbook and the assessment plan on a free first call.

Get a free consultation. The initial consultation is free, and requests are handled in confidence.

Call (800) 868-8189 at any hour, or write to info@evestigate.com.

Request a consultation online at evestigate.com/contact.

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