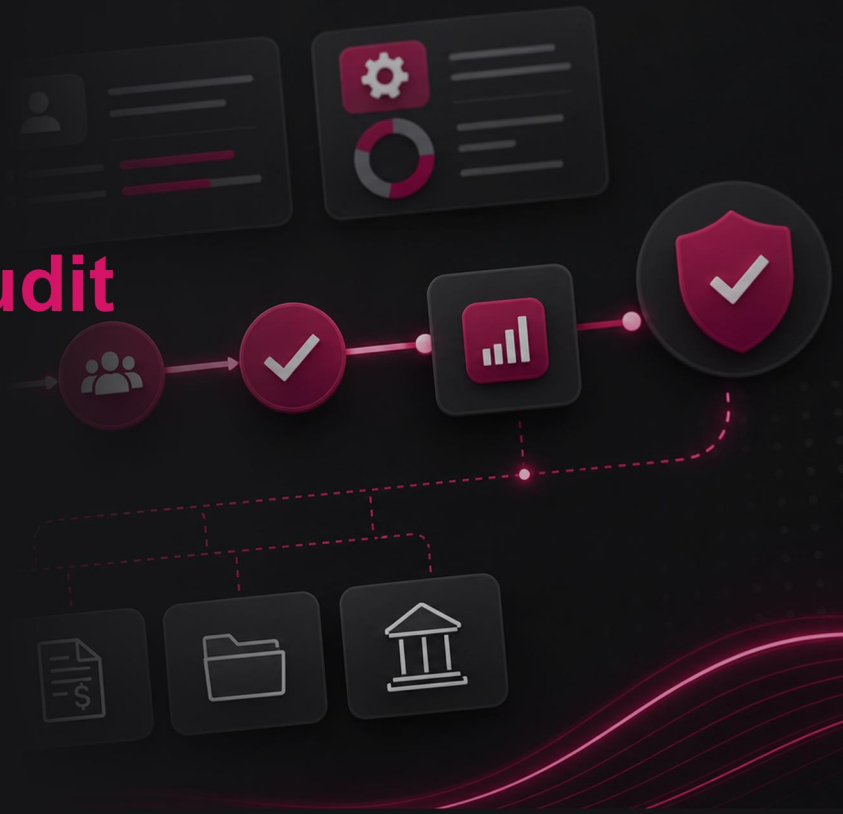


Financial Year Technology Audit Checklist

A practical management resource for access control, email security, backup evidence, Microsoft 365 governance, vendor accountability, reporting, and manual workflows.



●
ACCESS
Control

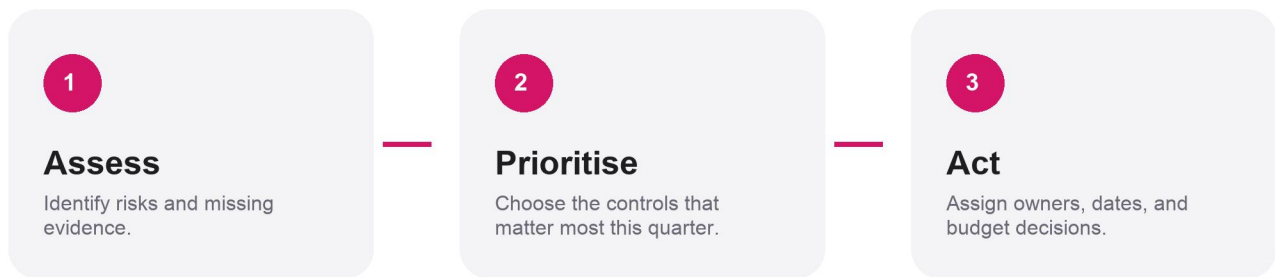
●
BACKUP
Evidence

●
VENDOR
Reports

●
90-DAY
Plan

What this checklist helps you see

Use this resource before the financial year becomes busy. It gives management a simple way to identify control gaps, document evidence, and prioritise practical next steps.



Control areas covered

- Access Control
- Email Fraud
- Backup Evidence
- Vendor Accountability
- Microsoft 365
- Website Readiness
- Manual Workflows
- Reporting

Management principle

If a control cannot be evidenced, assigned, or reviewed, it is probably not yet a management control.

Technology control checks

Tick what has evidence, ownership, and a clear review rhythm.

Access Control

- ✓ Old accounts.
- ✓ Admin rights.

- Know who has access to critical systems
- Disable old staff accounts
- Limit and review admin accounts
- Remove shared passwords
- Enable multi-factor authentication

MANAGEMENT QUESTION

What would happen if a former staff member still had access?

Technology Audit Review

Start July with stronger controls

Email Fraud Controls

- Verify payment instruction changes outside email
- Train finance and procurement teams
- Review shared mailboxes and forwarding rules
- Check domain and email security settings
- Protect executives from impersonation

MANAGEMENT QUESTION

Could a fraudulent email trigger a payment or data leak?

Technology control checks

Tick what has evidence, ownership, and a clear review rhythm.

Evidence Review

Can you prove recovery will work?

Backup Evidence

- Confirm backups are running successfully
- Test recovery recently
- Document backup evidence
- Protect cloud files and Microsoft 365 data
- Know likely recovery time

MANAGEMENT QUESTION

Can you prove that critical data can be recovered?

Accountability

Reports. Risks. Recommendations.

Vendor Accountability

- Receive regular IT vendor reports
- Track and review support issues
- Clarify response times
- List recurring issues
- Receive recommendations, not only invoices

MANAGEMENT QUESTION

Are vendors accountable for outcomes or only tasks?

Technology control checks

Tick what has evidence, ownership, and a clear review rhythm.

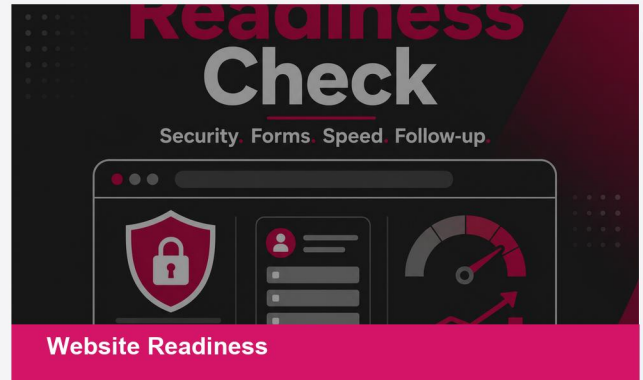


Microsoft 365 Governance

- Review licences against actual users
- Control admin rights
- Remove inactive accounts
- Govern Teams, SharePoint, OneDrive, and email
- Monitor security alerts

MANAGEMENT QUESTION

Is Microsoft 365 governed as a business system?



Website Readiness

- Keep the website current
- Secure and back up the site
- Test forms
- Track enquiries in CRM
- Check performance for visitors

MANAGEMENT QUESTION

Does the website support trust, enquiries, and follow-up?

Technology control checks

Tick what has evidence, ownership, and a clear review rhythm.

Create Gaps
Messages. Spreadsheets. Approvals.

Scattered Unclear data Manual

Manual Workflows

- Find approvals still handled by email or WhatsApp
- Identify reports built from manual spreadsheets
- Review finance, HR, stock, CRM, and project flows
- Confirm approval records are easy to audit

MANAGEMENT QUESTION

Which manual process creates the most risk or delay?

Control Plan
Fix the risks that matter first.

1 2 3

Reporting Visibility

- Confirm management can see the right reports
- Check finance, procurement, stock, HR, sales, and projects
- Produce reports on time
- Remove conflicting versions of important numbers

MANAGEMENT QUESTION

Which decision is slowed by poor reporting?

First 90 days action plan

Choose three priority actions from the checklist. The aim is not to fix everything at once. The aim is to make the most important risks visible, owned, and moving.

1

Critical risk to address immediately

Owner

Target date

2

Control improvement to complete this quarter

Owner

Target date

3

System or process improvement to plan

Owner

Target date

Book the review

Use this checklist during a 30-minute Financial Year Technology Audit Review with V3locity Global.

v3locity.global