

**The U-niverse: Technology & The Future of the Virtual Office**  
**T-minus 10: Final Audit Preparations Before Liftoff**  
**Wednesday, April 14, 2021, 1:10P – 2:00P CT**

**Session Focus:** Audit Standards for Remote Employment

**Session Description:** In a “remote” world where the exception has become the new normal, the “Audit Standards” session is designed to look at compliance, legal, and regulatory concepts and concerns associated with remote employee best practices and client/servicer requirements/preferences, including a discussion about supporting documentary evidence for these standards and controls.

**Content Leaders:**

- [Judy Newberry, Aldridge Pite, LLP](#)
- [Beth Northrop-Day, U.S. Bank](#)
- Jay Isenberg, U.S. Bancorp
- [Kory Anderson, Mr. Cooper](#)

**Presentation Outline:**

- Best Practices for Remote Workforce Policies
  - Security and confidentiality shall be maintained at the same level
    - Clean Desk/Clear Screen
    - Secure all PII
    - No unauthorized software or listening devices
  - Performance expectations
    - Working hours/dependent care
    - Use authorized equipment for intended purposes
    - No unauthorized remote printing
  - Policy Enforcement/Right of Inspection
    - Remote work is not guaranteed: *"Management reserves the right to require employees to report to the traditional worksite based on operational requirements."*
    - Right of inspection: *"Management has the expressed right to inspect the remote work location, with proper notice, to ensure employees are adhering to policies and guidelines."*
- Compliance Audits of Remote Employees
  - Updating internal policies to protect PII when deploying remote workforce
    - Printing and document destruction
    - Right of remote inspection

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- Expectations for working remotely
- Guidelines for creating a safe and secure workspace
  
- Best Practices for Virtual Compliance Audits Between Clients & Vendors
  - Benefits of virtual audits
    - Reduced costs
    - Efficient use of time
    - Impact on servicer/vendor relationship?
  - Best practices of virtual audits
    - Pre-audit meetings
    - Pre-approve/test the technology
    - 30-day due diligence period
    - Internal communication tools
    - Pre-recorded office physical security tour
  - Pre-recorded security tours
    - Location of security cameras
    - Organization-specific items
    - Secure entrance to offices/suites
    - Employee and visitor sign-in process

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