

# **Create an Internal Audit Project**

Last Modified on 05/16/2024 10:55 am EDT

# Overview

An **Internal Audit Project** allows you to track the progress of your audit and aspects of the organization being audited.

#### **User Account Requirements**

The user account you use to log into Resolver must be added to the Internal Audit Team user group.

## **Required Information/Setup**

Before adding an Internal Audit Project, you must have the following elements set up.

You also need to ensure that the user you are using to log into Resolver is part of the **Internal Audit Team User Group**. Please follow the link below for instructions on **Creating a User Group** and **Adding a User to a User Group** :

- Creating a New User Group
- Adding a User to a User Group

Before creating an **Internal Audit Project**, create an Audit Plan to help organize the Scope of the Internal Audit Project.

- Create an Audit Plan
- Activating an Audit Plan

## Navigation

 From the *Resolver Home* screen, click the Home dropdown and select the Internal Audit Management link.



|   | (Q Search         | 000 | \$ ? <u>\</u> |
|---|-------------------|-----|---------------|
| Home  | ✓ My Tasks        |     |               |
| Home<br>Internal Audit Management<br>Internal Controls Management | ≑ SORT ∨ Q SEARCH |     |               |
| Reports<br>Library  |                   |     |               |
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Home Drop-Down

2. From the *Risk Assessment* screen, click on the Audit Plan tab.

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|--|-----------------|------------|----------|--------------|-------------|--------|------|--|--|--|
| Internal Audit Management 🛛 🗸  | Risk Assessment | Audit Plan | Planning | Fieldwork    |             |        |      |  |  |  |
| <b>Risk Assessment</b><br>Perform periodic risk assessments on various auditable entities & view results from the Risk Management team's risk assessments to prioritize a risk-based audit plan. |                 |            |          |              |             |        |      |  |  |  |
| Auditable Entity Risk Asses  | sment Grid      |            |          | Sorted by Un | iique ID (A | scendi | ing) |  |  |  |
| c-1 Riverdale Industries   |                 |            |          |              | F           | Active |      |  |  |  |
|  |                 |            |          |              |             |        |      |  |  |  |

Audit Plan Tab

3. From the *Audit Plan* screen, click the **Create Audit Project** button.

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| Internal Audit Management 🛛 🗸                               | Risk Assessment                   | Audit Plan | Planning | Fieldwork    | Reporting  |                |                |      |
| Audit Plan<br>Create, populate, and monitor annual risk     | -based audit plans.               |            |          | + CREATE AUD | IT PROJECT | + CREA         | TE AUDIT PLAN  |      |
| Audit Plans   |                                   |            |          |              | 9          | Sorted by Unic | que ID (Ascend | ing) |
| AP-3 2023 Audit Plan  |                                   |            |          |              |            |                | Active         |      |
| AP-4 2024 Audit Plan  |                                   |            |          |              |            |                | Draft          |      |
| AP-5 2025 Audit Plan  |                                   |            |          |              |            |                | Draft          |      |
| AP-6 2024 Internal Audit F<br>Internal Audit Plan between C | <b>Plan</b><br>)1/2024 to 06/2024 |            |          |              |            |                | Draft          |      |



Create Audit Project Button

#### **Create an Internal Audit Project**

1. The Create a New Internal Audit Project screen will appear.

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| Internal Audit Manager  | ment 🗸   | Risk Assessment  | Audit Plan        | Planning   | Fieldwork          | Reporting         |              |                            |     |   |
| Create a New<br>In order to launch the<br>and timing for the au | w Inter<br>e process audi<br>udit, then click<br>nternal Audit I | nal Audit Pro  | oject             | cular auditable en                                   | tity. Select the b | usiness unit, au  | iditable i   | IA-XXX<br>entity, audit pi | ••• |   |
| A<br>[  | Audit Plan 🧿<br>Q  |  |                   |  |                    |                   |              |                            |     |   |
| P<br>a<br>B   | Please select th<br>Ind tests within<br>Business Unit            | e same Business Unit in<br>n this assessment for refe<br>? | both fields for r | eporting purpose<br>I applications.<br>Business Unit | s and to tag pro   | cesses, risks, co | ontrol,<br>× |                            |     |   |
| A<br>   | Auditable Entit  | у  |                   | Planned Quar   | ter 💡              |                   | ~            |                            |     |   |

Create a New Internal Project Form

 On the Create a New Internal Audit Project form, enter the name of the internal audit project in the Internal Audit Project Name field. The Internal Audit Project Name is used to identify the Audit Project throughout the system and for historical purposes.

| ernal Audit Managem      | ent 🗸                            | Risk Assessment                                  | Audit Plan                               | Planning                            | Fieldwork           | Reporting        |             |                 |      |
|--------------------------|----------------------------------|--|--|-------------------------------------|---------------------|------------------|-------------|-----------------|------|
|                          |                                  |  |  |                                     |                     |                  |             |                 |      |
|                          |                                  |  |  |                                     |                     |                  |             |                 |      |
| Create a New             | / Interi                         | nal Audit P                                      | roject                                   |                                     |                     |                  |             | IA-XXX          | •••  |
|                          |                                  |  | •  |                                     |                     |                  |             |                 |      |
| In order to launch the p | process audit                    | , name and create your                           | audit for a partio                       | cular auditable er                  | ntity. Select the b | ousiness unit, a | auditable e | entity, audit p | lan, |
| and timing for the audi  | it, then click o                 | reate.   |  |                                     |                     |                  |             |                 |      |
| Inte                     | ernal Audit F                    | roject Name 🔞                                    |  |                                     |                     |                  |             |                 |      |
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| · · · · · ·              |                                  |  |  |                                     |                     |                  |             |                 |      |
| Au                       | dit Plan 🔞                       |  |  |                                     |                     |                  |             |                 |      |
| 0                        | 2                                |  |  |                                     |                     |                  |             |                 |      |
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| Ple                      | ase select the<br>d tests within | a same Business Unit i<br>this assessment for re | n both fields for r<br>ference across al | eporting purpose<br>I applications. | es and to tag pro   | cesses, risks, ( | control,    |                 |      |
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|                          | siness Unit (                    | 3  |  | Business Unit                       | t 🕜                 |                  |             |                 |      |
| Bu                       |                                  |  |  | Q                                   |                     |                  | ×           |                 |      |
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Internal Audit Project Name Field



- 3. Enter a keyword in the Audit Plan field and click on an Audit Plan to add it.
  - To add multiple **Audit Plans**, enter another keyword in the **Audit Plan** field and click on the **Audit Plan** to add it.

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| Internal Audit Management 🛛 🗸                            | Risk Assessment  | Audit Plan                        | Planning           | Fieldwork          | Reporting        |          |                               |   |  |
| Create a New Inter                                       | t, name and create your a create.  | <b>oject</b><br>audit for a parti | cular auditable en | tity. Select the b | usiness unit, au | ıditable | IA-XXX<br>entity, audit plan, |   |  |
| Audit Plan Q<br>Q Intel<br>2024 Intern<br>and tests with | Audit Plan I Audit Plan I Ubrary and tests within this assessment for reference across all applications. |                                   |                    |                    |                  |          |                               |   |  |
| Business Unit  | €<br>ty  |                                   | Business Unit      | €<br>ter €         |                  | ×        |                               |   |  |

Audit Plan Field

+ Tip:

Remove a field entry from the Create a New Internal Audit Project form (e.g., Audit Plan, Business Unit, Auditable Entity, etc.) by clicking on the x to the right of the entry's name.

The Business Unit fields can be deleted while on the Create a New Internal Audit Project form. If changes need to be made to the Business Unit fields, Resolver recommends deleting the Internal Audit Project and creating a new Internal Audit Project using the correct Business Units.

| Audit | Plan                           |
|-------|--------------------------------|
| Q     | 2022 Internal Audit Plan ×     |
|       | Click the X to Delete an Entry |

- 4. Enter a keyword in the **Business Unit** field and click on a **Business Unit** to add it to the project.
  - This Business Unit field creates a reporting connection to the assessment and allows



users to create assessment reports (reporting path Company>Business

Unit>Assessment).

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| ernal Audit Manageme      | nt ~         | Risk Assessment           | Audit Plan        | Planning            | Fieldwork           | Reportin      | ,         |                       |
|                           |              |                           |                   |                     |                     |               |           |                       |
| Create a New              | Inter        | nal Audit Pr              | roject            |                     |                     |               |           | IA-XXX •••            |
| In order to launch the pr | ocess audi   | t, name and create your   | audit for a part  | icular auditable er | itity. Select the b | usiness unit, | auditable | e entity, audit plan, |
| and timing for the audit, | then click   | create.                   |                   |                     |                     |               |           |                       |
| Inter                     | Audit 202    | Project Name 😧            |                   |                     |                     |               |           |                       |
|                           | Addit 202    | 4 Q1                      |                   |                     |                     |               |           |                       |
| Aud                       | it Plan 🔞    |                           |                   |                     |                     |               |           |                       |
| Q                         | 2024 Int     | ternal Audit Plan ×       |                   |                     |                     |               |           |                       |
| Plea                      | se select th | ie same Business Unit ir  | n both fields for | reporting purpose   | es and to tag pro   | cesses, risks | control,  |                       |
| and                       | tests withir | n this assessment for ref | ference across a  | II applications.    |                     |               |           |                       |
| Busi                      | ness Unit    | 0                         |                   | Business Unit       | 0                   |               |           |                       |
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| Co                        | orporate Lib | orary                     |                   | Planned Quar        | ter 💡               |               |           |                       |
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Business Unit Field

- 5. Enter the keyword you used in step 4 in the second **Business Unit** field and select the same **Business Unit** tag you used in the first **Business Unit** field.
  - This **Business Unit** field is the assessment dimension, which tags assessment data to the selected **Business Unit**. This Tag appears next to the object throughout the system (global searches, views, relationship tables, etc.).

| BU-2 Shared Services | ACTIVE |
|----------------------|--------|
| BU-1 Corporate       | ACTIVE |

Business Unit Tag

- (Optional) Enter a keyword in the Auditable Entity field and click on an Auditable Entity to add it to the project.
  - An Auditable Entity is an element (e.g., business unit, legal entity, office location, etc.) of an organization that can be audited. Auditable Entities make up an organization's Auditable Universe.
  - To add multiple **Auditable Entities** to the project, enter another keyword in the **Auditable Entity** field and click on the **Auditable Entity** to add it to the project.



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|                      | IT Audit 202                        | 4 Q1   |                                     |                                       |                   |                   |         |    |   | Т |   |
|                      | Audit Plan 💡                        |  |                                     |                                       |                   |                   |         |    |   |   |   |
|                      | Q 2024 In                           | ternal Audit Plan ×                                      |                                     |                                       |                   |                   |         |    |   |   |   |
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|                      | Auditable Enti                      | ty   |                                     | Planned Quar                          | ter 🕜             |                   |         |    |   |   |   |
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|                      | Warehouse                           | Operations Library                                       |                                     |                                       |                   |                   |         |    |   |   |   |
| Audit Team           | U.S.A. Library                      | /  |                                     |                                       |                   |                   |         |    |   |   |   |
| Assign audit team    | r Europe Librar                     | У  |                                     |                                       |                   |                   |         |    |   |   |   |
|                      | Acquisitions                        | Library  |                                     | Internal Audit                        | t Staff           |                   |         |    |   |   |   |
|                      | Q                                   |  |                                     | Q                                     |                   |                   |         |    |   |   |   |
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Auditable Entity Dropdown Menu

 Select a yearly quarter (e.g., Q1, Q2, Q3, or Q4) from the **Planned Quarter** dropdown list. The quarter selected will indicate the time of year the audit will take place.

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|                  | Audit Plan 💡                         |   |   |                                     |                   |               |             |            |   |   |
|                  | Q 2024 In                            | ternal Audit Plan                                     |   |                                     |                   |               |             |            |   |   |
|                  | Please select th<br>and tests within | he same Business Unit ir<br>n this assessment for ref | ) both fields for r<br>erence across al | eporting purpose<br>I applications. | es and to tag pro | ocesses, risk | s, control, |            |   |   |
|                  | Business Unit                        | 0   |   | Business Unit                       | t 😧               |               |             |            |   |   |
|                  | Q Corpora                            | ite ×   |   | Q BU-1                              | Corporate ×       |               | ×           |            |   |   |
|                  | Auditable Entit                      | ty  |   | Planned Quar                        | rter 🕜            |               |             | 1          |   |   |
|                  | Q <u>U.S.A.</u>                      | ×   |   | Select one.                         |                   |               | ~           |            |   |   |
| A 111 T          |                                      |   |   | Q1                                  |                   |               |             |            |   |   |
| Audit leam       |                                      |   |   | Q2                                  |                   |               |             |            |   |   |
| Assign audit tea | m members to the                     | audit.  |   | Q3                                  |                   |               |             |            |   |   |
|                  | Internal Audit                       | Lead 🕜  |   | Q4                                  |                   |               |             |            |   |   |
|                  |                                      |   |   |                                     |                   |               |             |            |   |   |

Planned Quarter Dropdown Menu

- From the Audit Team section, enter an internal audit lead's name in the Internal Audit Lead field and select them from the dropdown list to assign them to the project.
  - An **Internal Audit Lead** manages individual audit projects, reviews tests, and progresses the audit from Planning to Fieldwork to Reporting.
  - To add multiple Internal Audit Leads to the project, enter their name in the Internal



Audit Lead field and select them from the dropdown list.

|                         | € Q Search                             |                        | 000       | \$ ? <u>\</u> |
|-------------------------|--|------------------------|-----------|---------------|
| Internal Audit Manageme | ent 🗸 Risk Assessment Audit Pl         | lan Planning Fieldwork | Reporting |               |
| C                       | Corporate ×                            | Q BU-1 Corporate ×     | ×         |               |
| Au                      | ditable Entity                         | Planned Quarter 💡      |           |               |
| C                       | QU.S.A. ×                              | Q1                     | ~         |               |
| Audit Team              | mbers to the audit.                    |                        |           |               |
| Inte                    | ernal Audit Lead 😧                     | Internal Audit Staff   |           |               |
|                         | Q, Inter                               | ٩                      |           |               |
| 4                       | Internal Audit Leads/Managers          |                        |           |               |
| 1                       | Solution Engineer Internal Audit Group | -                      |           |               |
|                         |  |                        | CREATE    |               |
|                         |  |                        |           | CANCEL        |

Internal Audit Lead Dropdown Menu

- 9. Enter an internal audit staff member's name in the **Internal Audit Staff** field and select them from the dropdown list to assign them to the project.
  - An Internal Audit Staff member performs tasks for individual audit projects.
  - To add multiple internal audit staff to the project, enter their name in the **Internal Audit Staff** field and select them from the dropdown list.

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| Auditable Enti                              | ty                       |           | Planned Quar   | rter 🕜           |              |         |    |      |   |   |
| Q. <u>U.S.A.</u>                            | ×                        |           | Q1             |                  |              | ~       |    |      |   |   |
| Audit Team Assign audit team members to the | audit.                   |           |                |                  |              |         |    |      |   | l |
| Internal Audit                              | Lead 😧                   | ſ         | Internal Audit | t Staff          |              |         | ]  |      |   |   |
| Q 🔮 Inter                                   | nal Audit Leads/Managers | ×         | Q Inter        |                  |              |         |    |      |   |   |
|   |                          |           | 曫 Internal     | Audit Team       |              |         |    |      |   |   |
|   |                          |           | * Solution     | Engineer Interna | al Audit Gro | oup     |    |      |   |   |
|   |                          |           | Internal Aud   | dit lead         |              |         |    |      |   |   |
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Internal Audit Staff Dropdown Menu

10. Click the Create button to create the Internal Audit Project.



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| T | a                      | Corporate ×                     | Q BU-               | L Corporate ×        | ×      |          |   |   |
|   | Aud                    | ditable Entity                  | Planned Qu          | arter 😧              |        |          |   |   |
|   | a                      | U.S.A. ×                        | Q1                  |                      | ~      |          |   |   |
|   | Audit Team             | nbers to the audit.             |                     |                      |        |          |   | 1 |
|   | Inte                   | ernal Audit Lead 🔞              | Internal Au         | dit Staff            |        |          |   | I |
|   | a                      | 😫 Internal Audit Leads/Managers | × Q 🔮 Ir            | nternal Audit Team × |        |          |   | l |
|   |                        |                                 |                     |                      |        |          |   | I |
|   |                        |                                 |                     |                      |        |          |   | I |
|   |                        |                                 |                     |                      | CREATE |          |   |   |
|   |                        |                                 |                     |                      |        | CANCEL   |   |   |

Create Button

10. You can edit the project and fill out further details regarding the audit (Audit Type,
Budgeted Hours, Key Dates and Information, Define and Review Audit Scope) by clicking on
the Internal Audit Project link on the *Pending Audits* section from the *Audit Plan*screen.

|             |                               | € Q Search      |            |          |           |           | 000           | ŝ          | ?      | Ω   | - |
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| Pending     | JAudits                       |                 |            |          |           | S         | iorted by Uni | que ID (A: | scendi | ng) |   |
| IA-1        | Operations Audit 20           | 24 Q1           |            |          |           |           |               | Not Sta    | arted  |     |   |
| IA-2        | IT Audit 2024<br>CORPORATE    |                 |            |          |           |           |               | Not Sta    | arted  |     |   |
| IA-3        | IT Audit 2024 Q1<br>corporate |                 |            |          |           |           |               | Not Sta    | arted  |     |   |

Pending Internal Audit Project