Defining the Scope for an Internal Audit Project

Last Modified on 05/14/2024 3:40 pm EDT

Overview

Users in the Internal Audit Leads/Managers user group must scope an Internal Audit Project to define which processes, risks, controls, and tests should be used in the Audit.

User Account Requirements

The user account used to log into Resolver must be added to either the Internal Audit Leads or Internal Audit Managers user group.

Required Information/Setup

Before creating an Internal Audit Project, you must first assess what elements you want to Audit, create an Audit Plan, and manage the plan by advancing the plan through the different statuses until the plan is Active.

- Create an Audit Plan
- Activating an Audit Plan

You must first create an Internal Audit Project before. Please follow the link below for instructions on how to Create an Internal Audit Project:

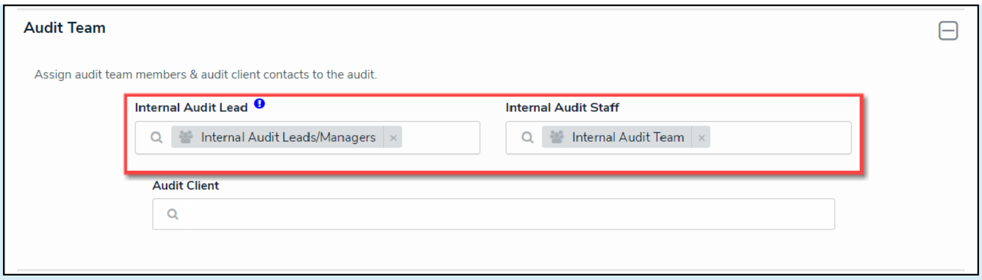
- Creating an Internal Audit Project

You can manually add additional Risks, Controls, or Tests to an Internal Audit Plan.

- Adding a Risk, Control, or Test to an Internal Audit Plan

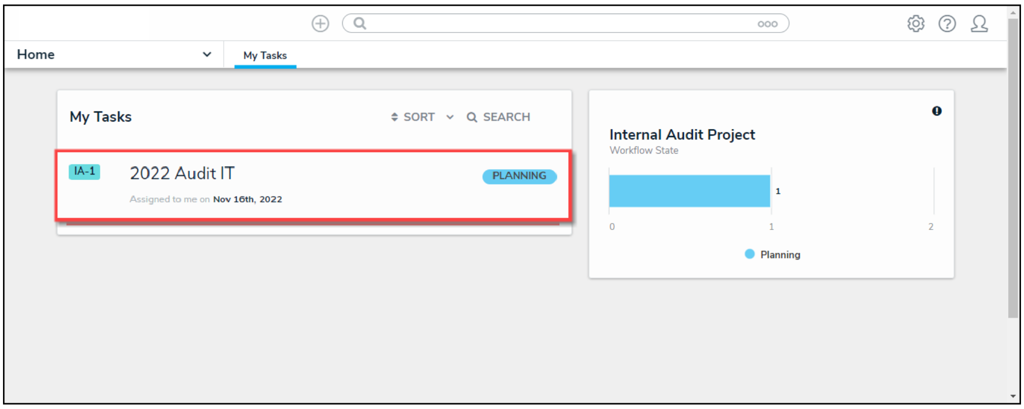
Navigation

Note:
*Your username or user group must also be in the **Internal Audit Lead** or **Internal Audit Staff** fields on the **Audit Team** section within the Internal Audit for the Audit to appear on your user's **My Tasks** section.*



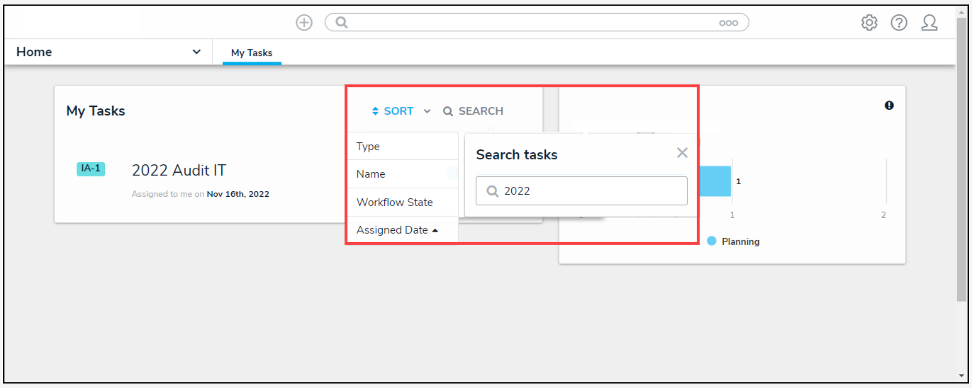
Audit Team Section

1. From the ***Resolver Home*** screen ***My Tasks*** section, click on an **Internal Audit Project** in the **Planning** stage.



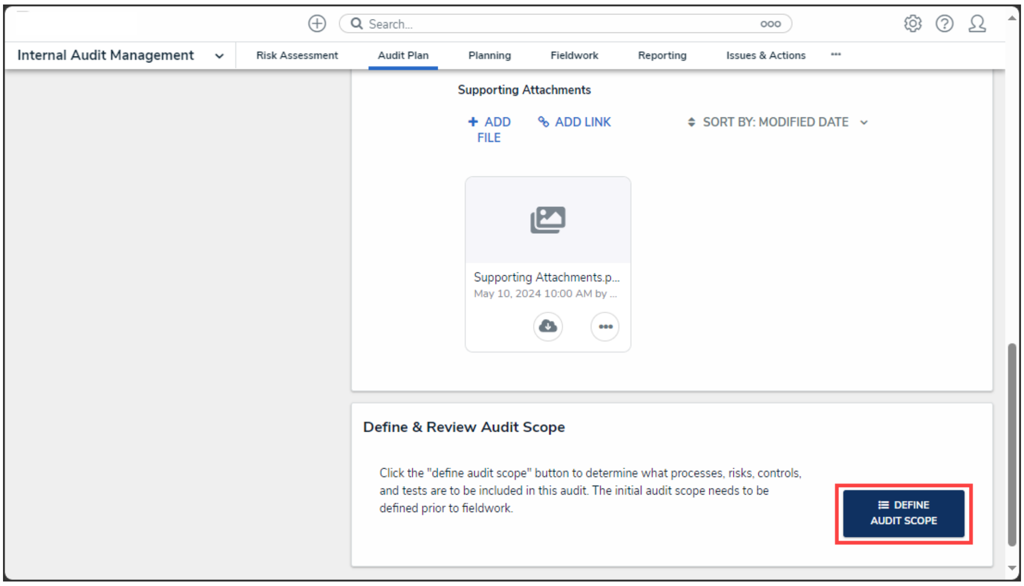
My Tasks Section - Internal Audit Project

Tip:
*If multiple tasks exist, use the **Sort** or **Search** functions to narrow the task list.*



My Tasks - Navigation Options

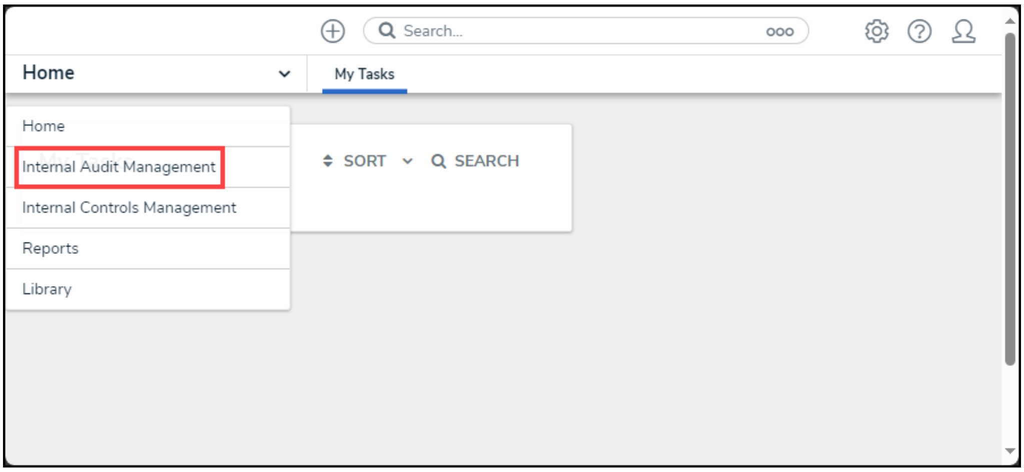
2. From the ***Internal Audit Project*** screen, scroll to the ***Define and Review Audit Scope*** section and select the **Define Audit Scope** button.



Define and Review Audit Scope Section

Alternate Navigation

1. From the ***Resolver Home*** screen, click the **Home** drop-down and select the **Internal Audit Management** link.



Home Drop-Down

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

Resolver.
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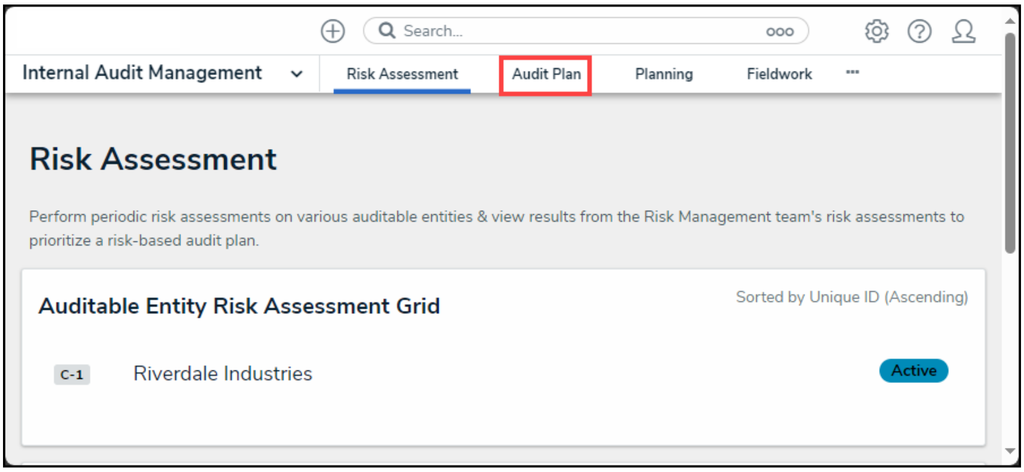
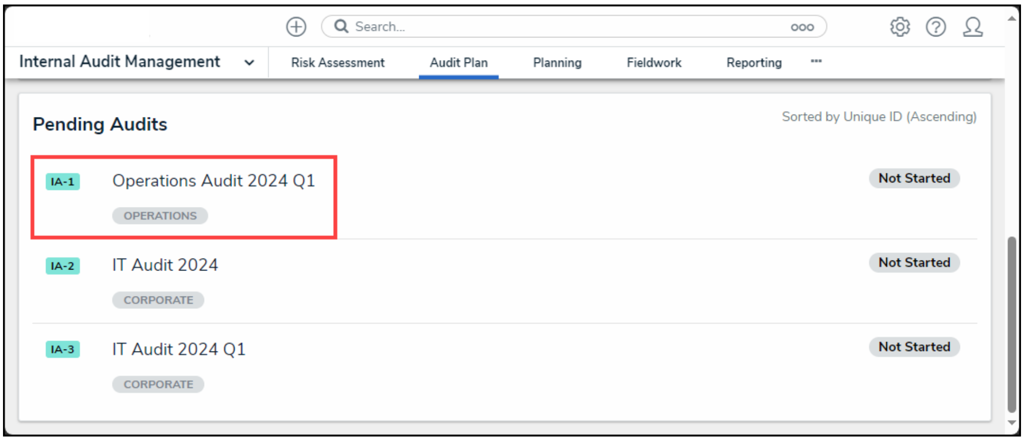


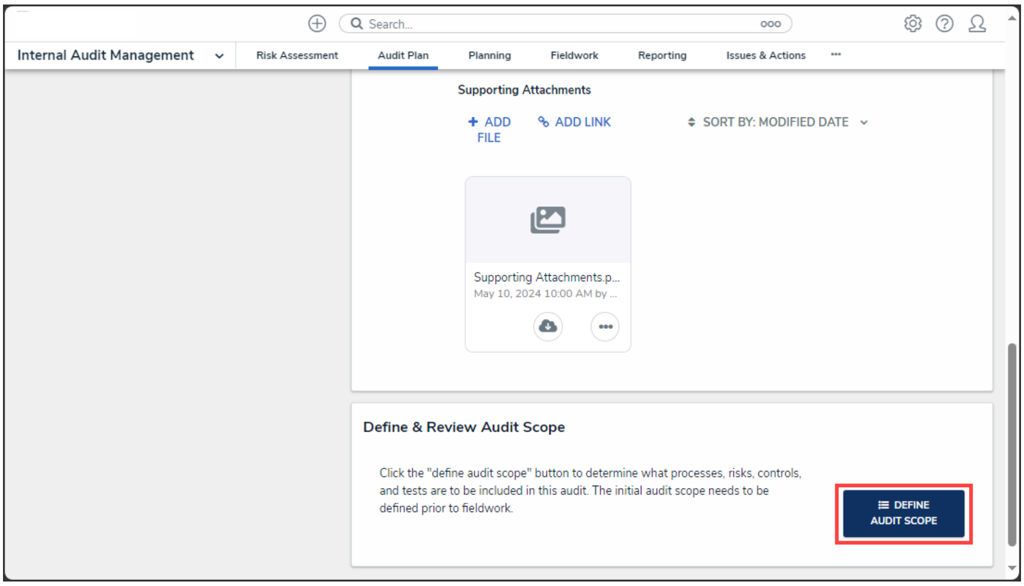
Audit Plan Link

3. From the ***Audit Plan*** screen, click on an **Internal Audit Plan** with a **Not Started** state from the ***Pending Audits*** section.



Pending Audits Section

4. From the ***Internal Audit Project*** screen, scroll to the ***Define and Review Audit Scope*** section and select the **Define Audit Scope** button.

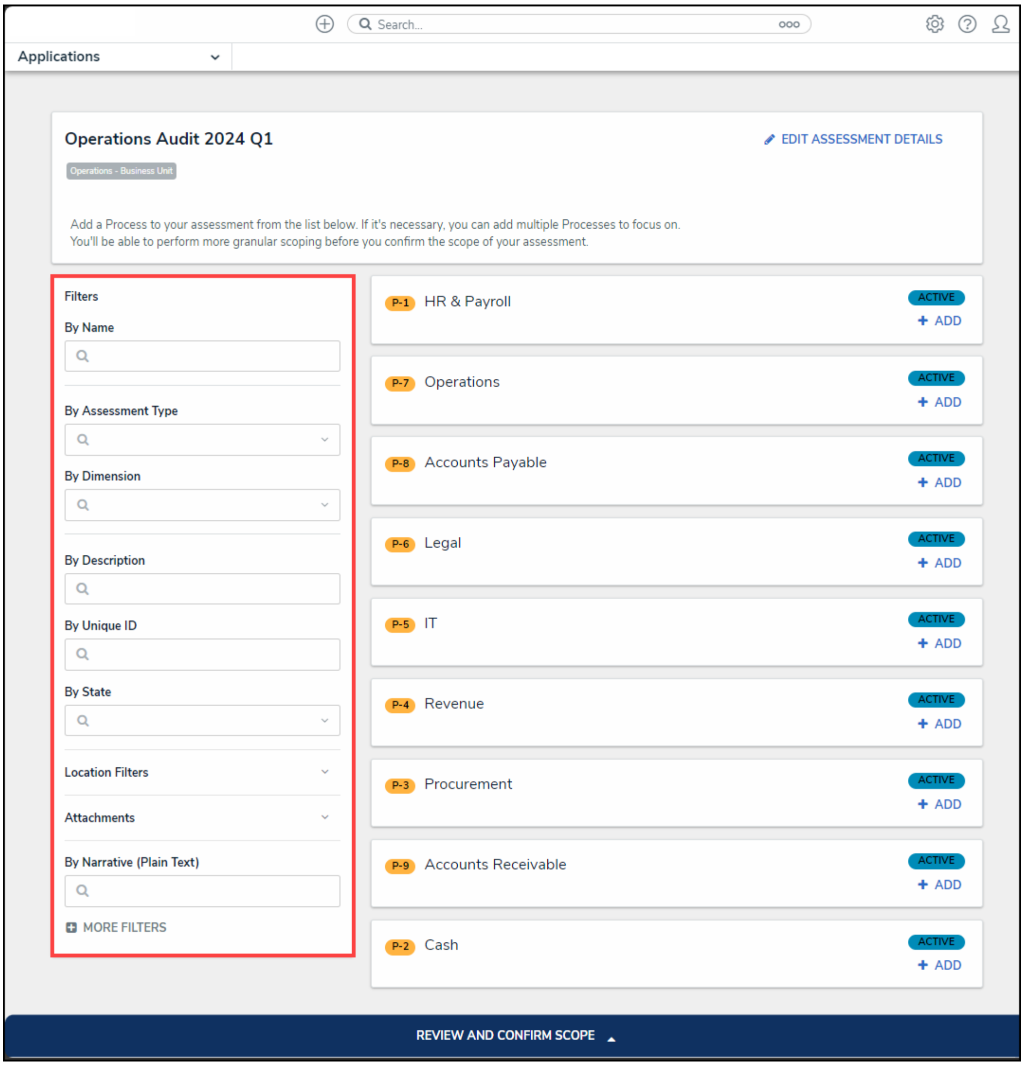


Define and Review Audit Scope Section

Defining the Scope for an Internal Audit Project

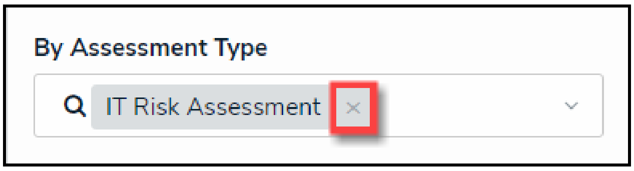
1. From the ***Define Audit Scope*** screen, use the following **Filters** options to narrow down the process list:

- **Filters:**
  - **By Name:** Filter the process list by process name.
  - **By Assessment Type:** Filter the process list by assessment or object type.
  - **By Dimension:** Filter the process list by assessment element (e.g., Quarter, Object Type, etc.). After you select a **Dimension** from the dropdown list, an additional dropdown field will appear under the **By Dimensions** field that corresponds to the selection you made in the **By Dimension** field (e.g., if you select annual, a **By Annual** drop-down field will appear). You must also select an option from the additional field to apply the filter to the process list.
  - **By Description:** Filter the process list by process description.
  - **By Unique ID:** Filter the process list by unique object IDs connected to a process.
  - **By State:** Filter the process list by workflow state (Active, Archived, etc.).
- **Location Filters:** Allow you to filter the process list using location parameters (e.g., Address, City, etc.).
- **Attachment Filters:** Allow you to filter the process list using attachments.
- **By Narrative (Plain Text):** Filter the process list by plain text narratives.
- **More Filters:** Filter the process list with additional filters based on the focus object type (e.g., plain text fields, select lists, and multi-select lists)



Filters

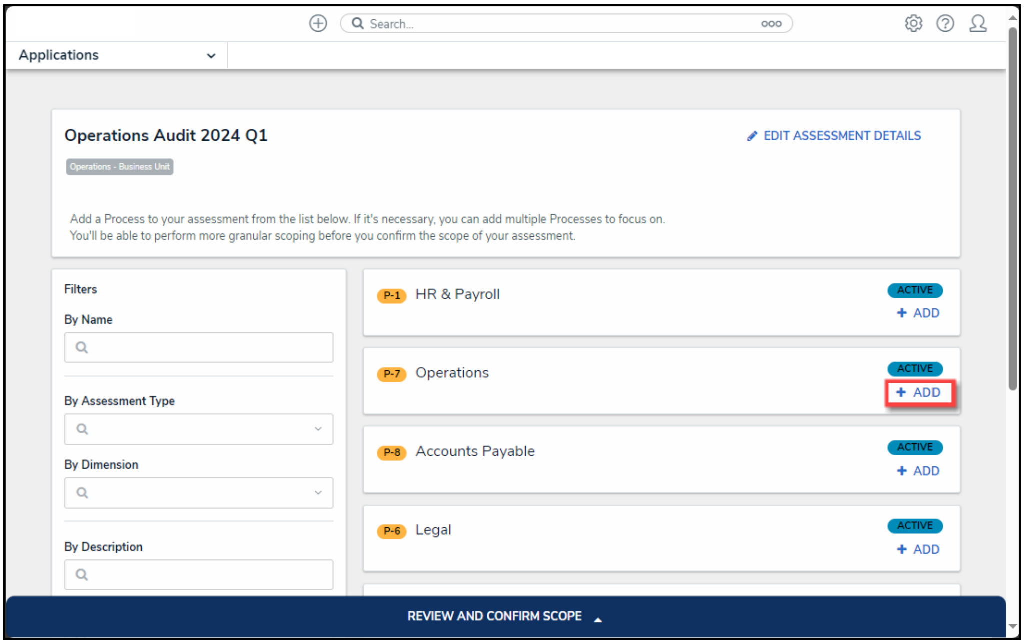
2. Press the **Enter** key on your keyboard to apply the filter to the process list.
3. Click the **X** beside the filter in the **Filter Selection** field to remove the filter from the search criteria.



Removing a Filter field

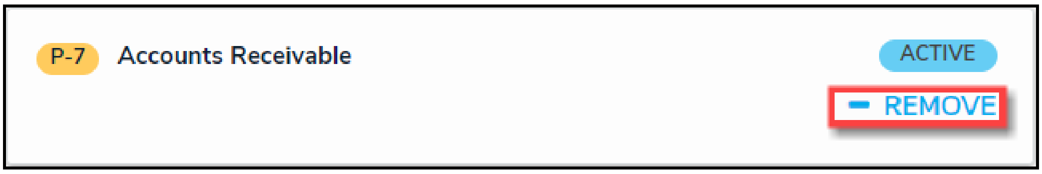
4. Add a **Process** (or processes) to the Internal Audit Project by clicking the **+ Add** link next to the process.
   - A **Process** is a set of interdependent actions or operations that make up the overarching area/activity that is reviewed during the Audit (e.g., Procure to Pay, Accounts Receivable/Revenue, Inventory or Fixed Asset, etc.).

> **Note:**
> *Using large data sets (e.g., compliance frameworks, over 2000 scoped objects, etc.) within an assessment may create timeouts and cause errors.*



Define Audit Scope Screen

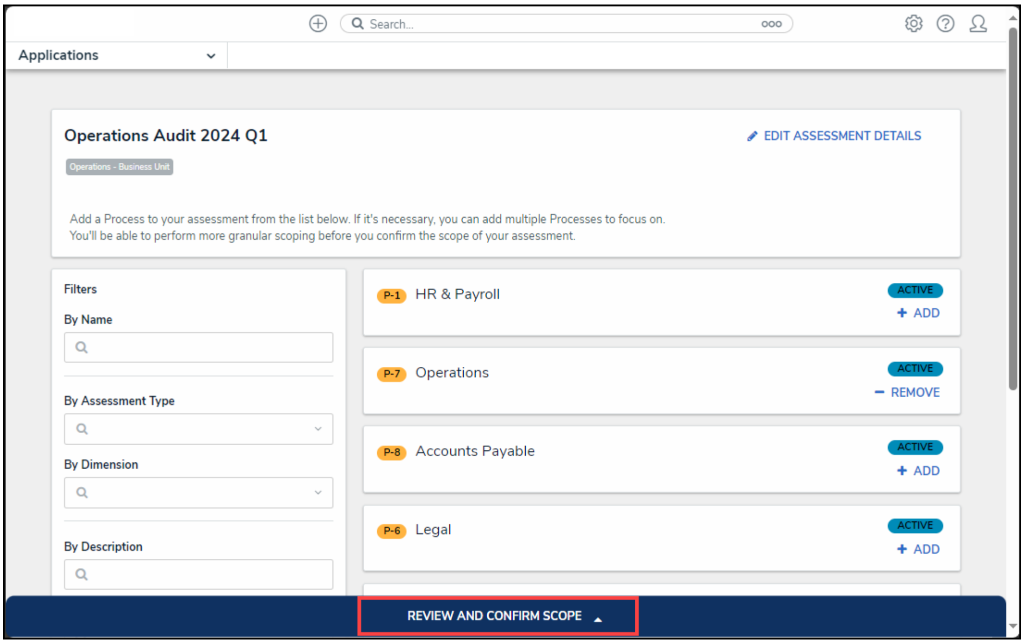
5. Remove a process by clicking the **Remove** link on the ***Process View***. The **Remove** link will appear in place of the **+ Add** link.



Remove Link

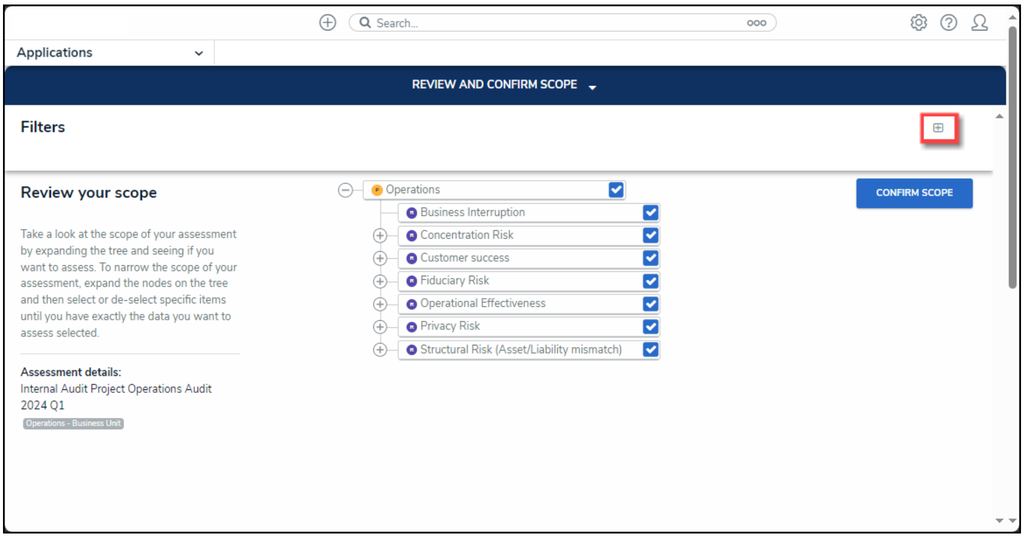
6. An **Assessment** link will appear under a **Process View** if process results from a previous audit assessment are available to pull into the current audit. Please see **Assessment Link - Using Previous Process Results (Optional)** the section for further information.
7. Click the **Object Review** banner at the bottom of the screen to open the ***Assessment Navigation*** screen.

> **Note:**
> *From the **Assessment Navigation** screen, to go back to the **Define Audit Scope** screen, click on the **Object Review** banner that will appear at the top of the **Assessment Navigation** screen.*



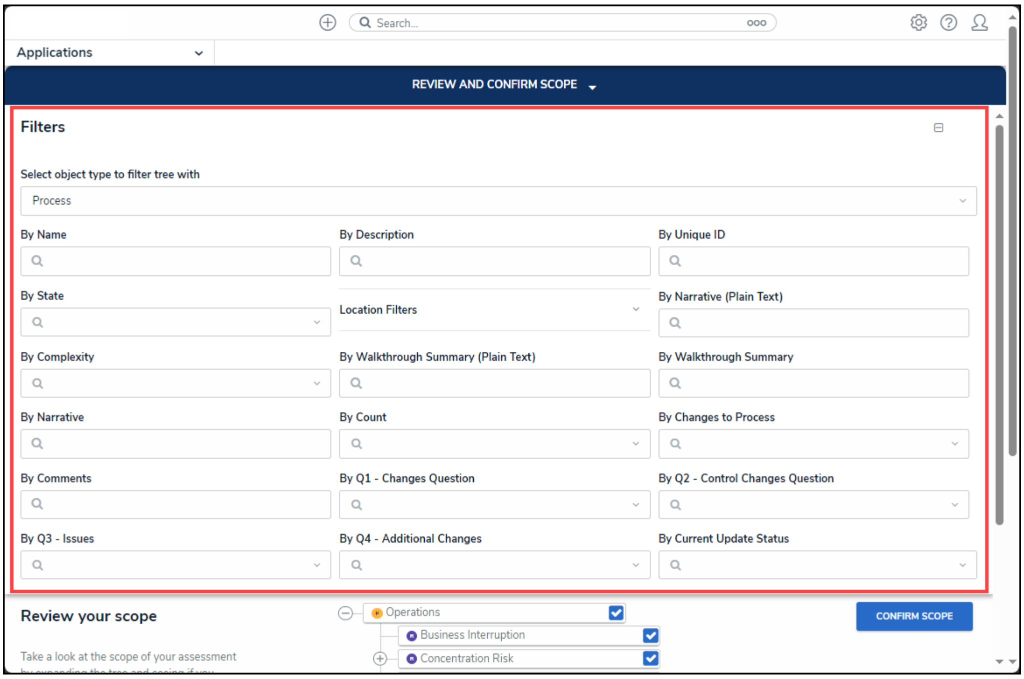
Object Review Banner

8. From the ***Assessment Navigation*** screen, click the **Expand** icon on the ***Filter*** section to expand the ***Filter*** drop-down.



Expand Icon

9. From the ***Filter*** drop-down, select an **Object Type** from the **Select object type to filter tree with** dropdown menu.



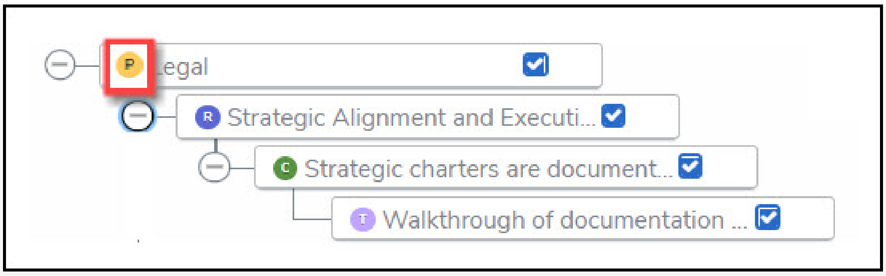
Filter Dropdown

10. A ***Confirmation*** screen will appear. Click the **OK** button. The **Filter Option** fields (e.g., plain text, select list, and property filters) will change according to the **Object Type** selected.

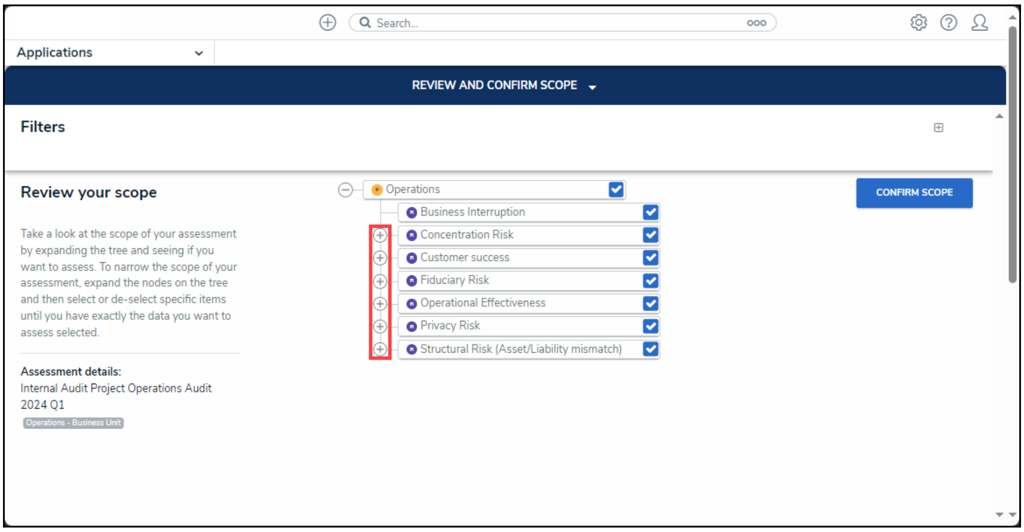
> ***Note:***
> *If you do not change the **Object Type,** the **Confirmation** screen will not appear, and you will need to enter information in the **Filter Option** fields of your choice.*

11. Click the **Less** icon to close the ***Filter*** dropdown.
12. Click the **Expand** icon on the **Navigation Tree** to expand the nodes and display sub-category relationships, risks, or controls added to the scope. For further information on adding additional Risks, Controls, or Tests to the Internal Audit Project, see the Adding a Risk, Control, or Test to an Internal Audit Plan article.

> ***Tip:***
> *Each object on the Navigation Tree has a unique monogram at the beginning of the Object's Name that identifies the Object Type, P - Process, R - Risk, C - Control, and T - Test.*

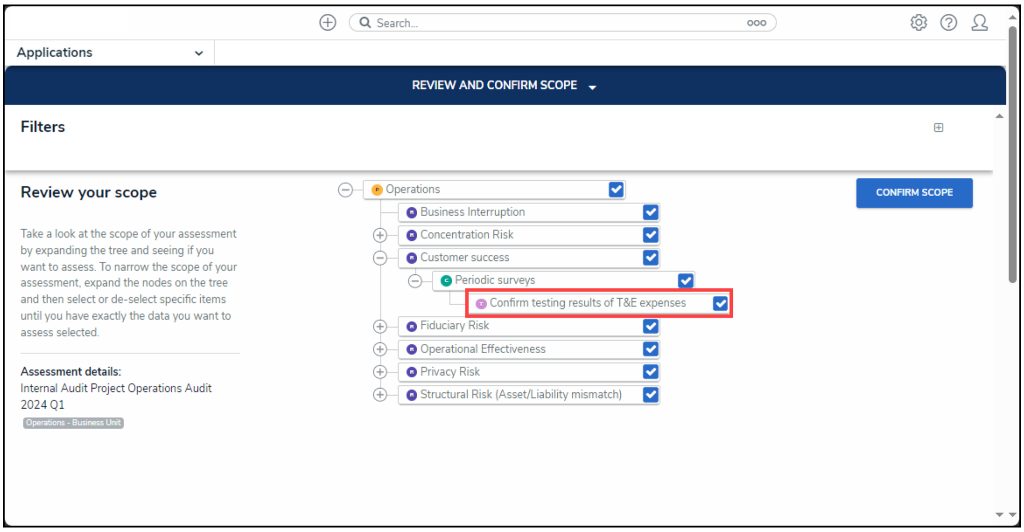


Object Monogram



Expand Icon

13. Click an **Object Name** on the **Navigation Tree.** The **Overview** pop-up will appear, allowing you to review, edit, or add any of the following requirements depending on the object selected:



Click an Object Name

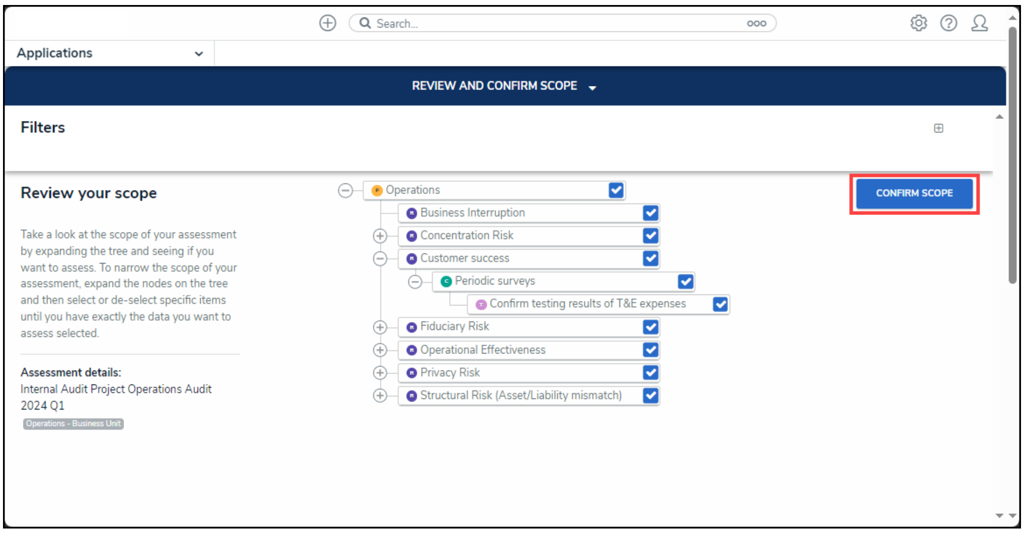
- **Process:** A **Process** is a set of interdependent actions or operations that make up the overarching area/activity that is reviewed during the audit.

  - On the ***Process Review*** pop-up, you can view, edit, or add Process Details, Attachments, Sub Processes, Risks, Controls, etc. See the Configuring an Internal Audit Process article for further information on the ***Process Review*** pop-up.

- **Risk:** A **Risk** represents the potential that an unexpected event may impact the organization.
  - On the ***Risk Overview*** pop-up, you can view, edit, or add Risk Details, Controls, Key Risk Indicators, Contributing Factors, Incident Type, etc. For further information on the ***Risk Overview*** pop-up, see the Configuring an Internal Audit Risk article.
- **Control:** A **Control** is a tool or policy that manages risk.
  - On the ***Control Overview*** pop-up, you can view, edit, or add Control Details, Attachments, Sub Processes, Risks, Controls, etc. For further information on the ***Control Overview*** pop-up, see the Configuring an Internal Audit Control article.
- **Test:** A **Test** ensures existing controls are working or determines if a new control is required.
  - On the ***Test Overview*** pop-up, you can view, edit, or add Test Details, Attachments, Sub Processes, Risks, Controls, etc. For further information on the ***Test Overview*** pop-up, see the Configuring an Internal Audit Test article.

14. Uncheck the **Checkbox** beside an object you want to remove from the scope. By default, all objects are selected. Unchecking an object (e.g. process) in an upper node will automatically uncheck the objects (e.g., risk, controls, test) in the nodes below it.

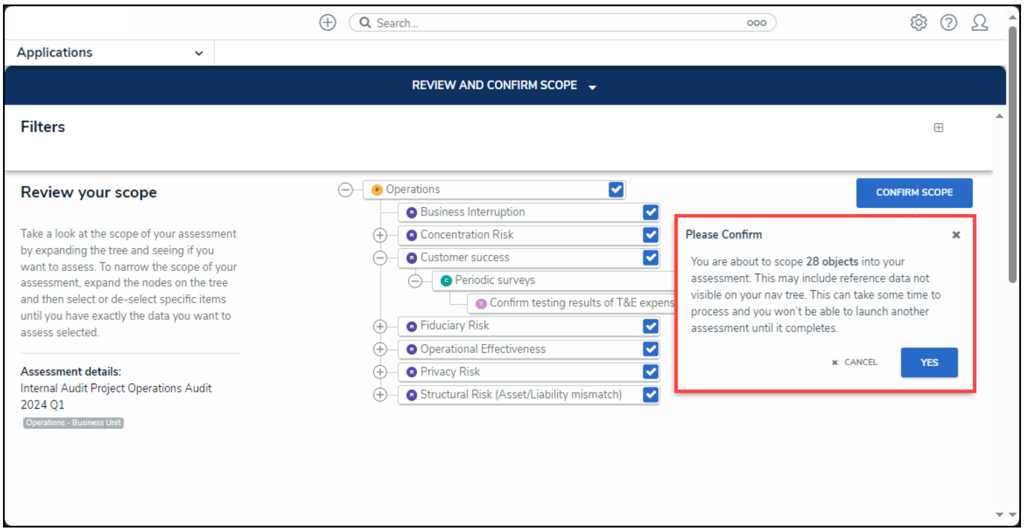
15. Click the **Confirm Scope** button.



Confirm Scope

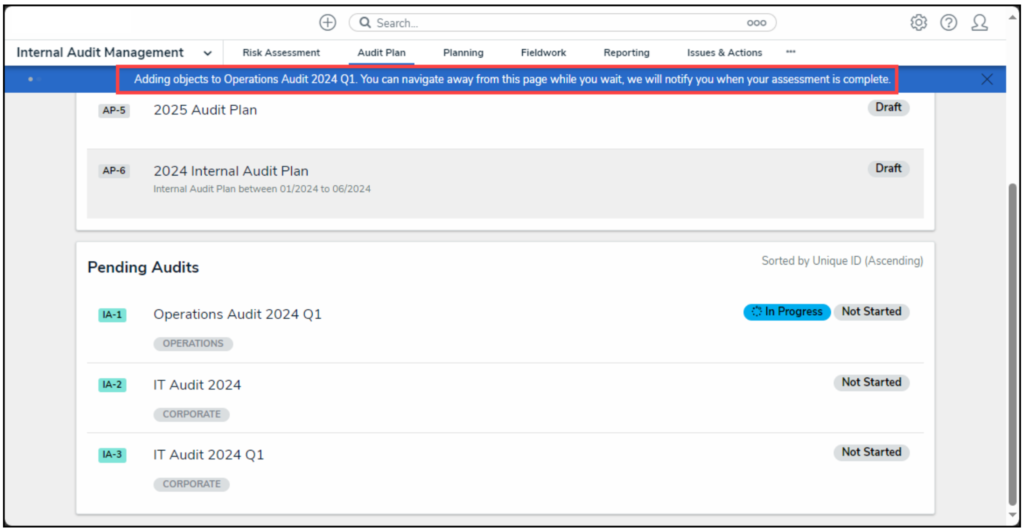
16. A ***Confirmation*** screen will appear. Click the **Yes** button to confirm and return to the

Audit Details form.



Confirmation Screen

17. The ***Audit Plan*** screen will appear. Depending on the number of objects selected, you may receive a system notification banner, indicating the request is still processing.



System Notification Banner

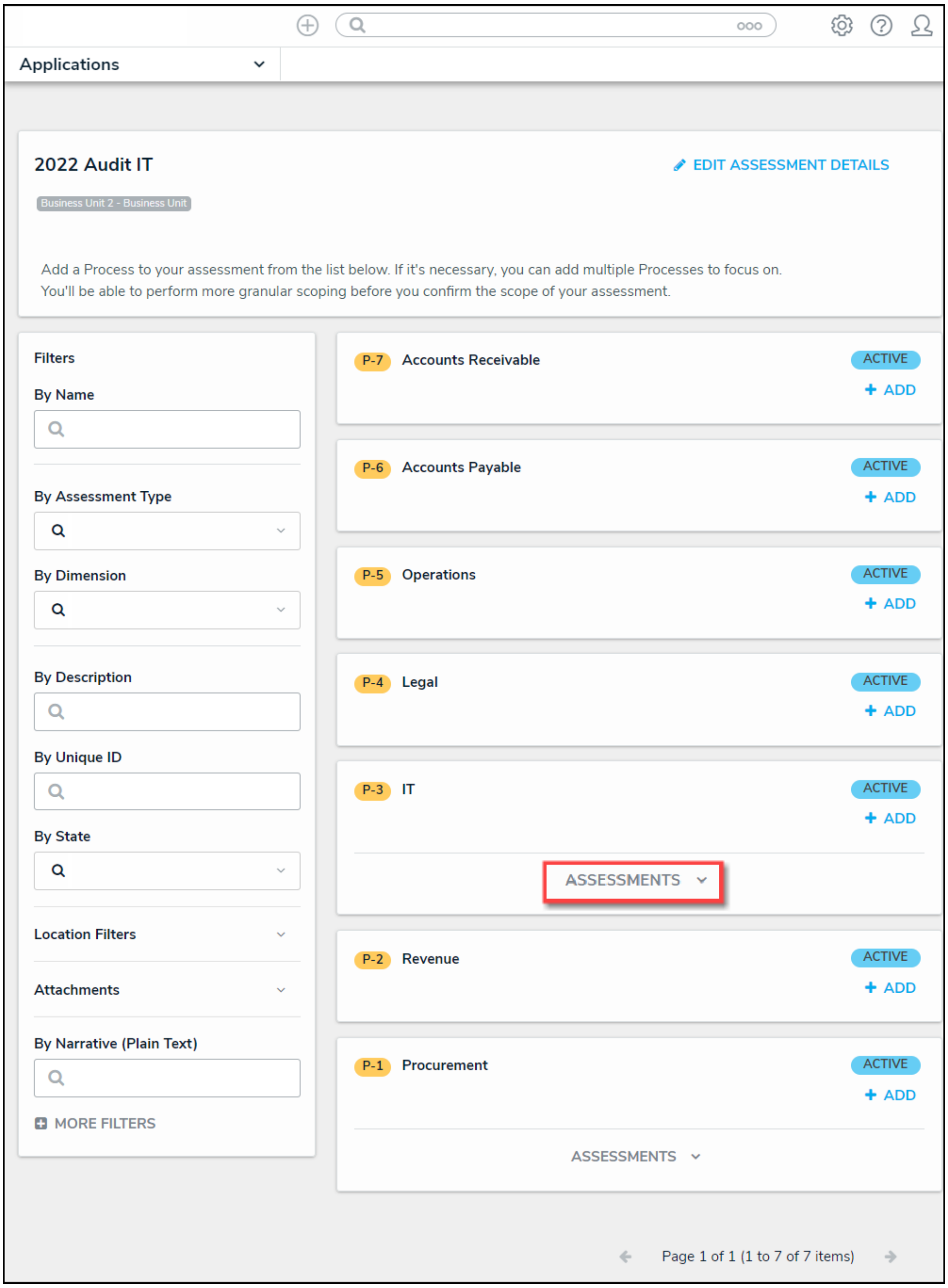
18. Users can navigate away from the screen and will receive a system notification when the process is complete.

Assessment Link - Using Previous Process Results (Optional)

An **Assessment** link will appear under a **Process View** if process results from a previous audit assessment are available to pull into the current audit. By pulling in previous process results, you can compare the previous and new process results to determine if a remediation audit is required to address any issues in the last audit. You can also compare previous process results in future audits to the new process results to determine if the issues were addressed.

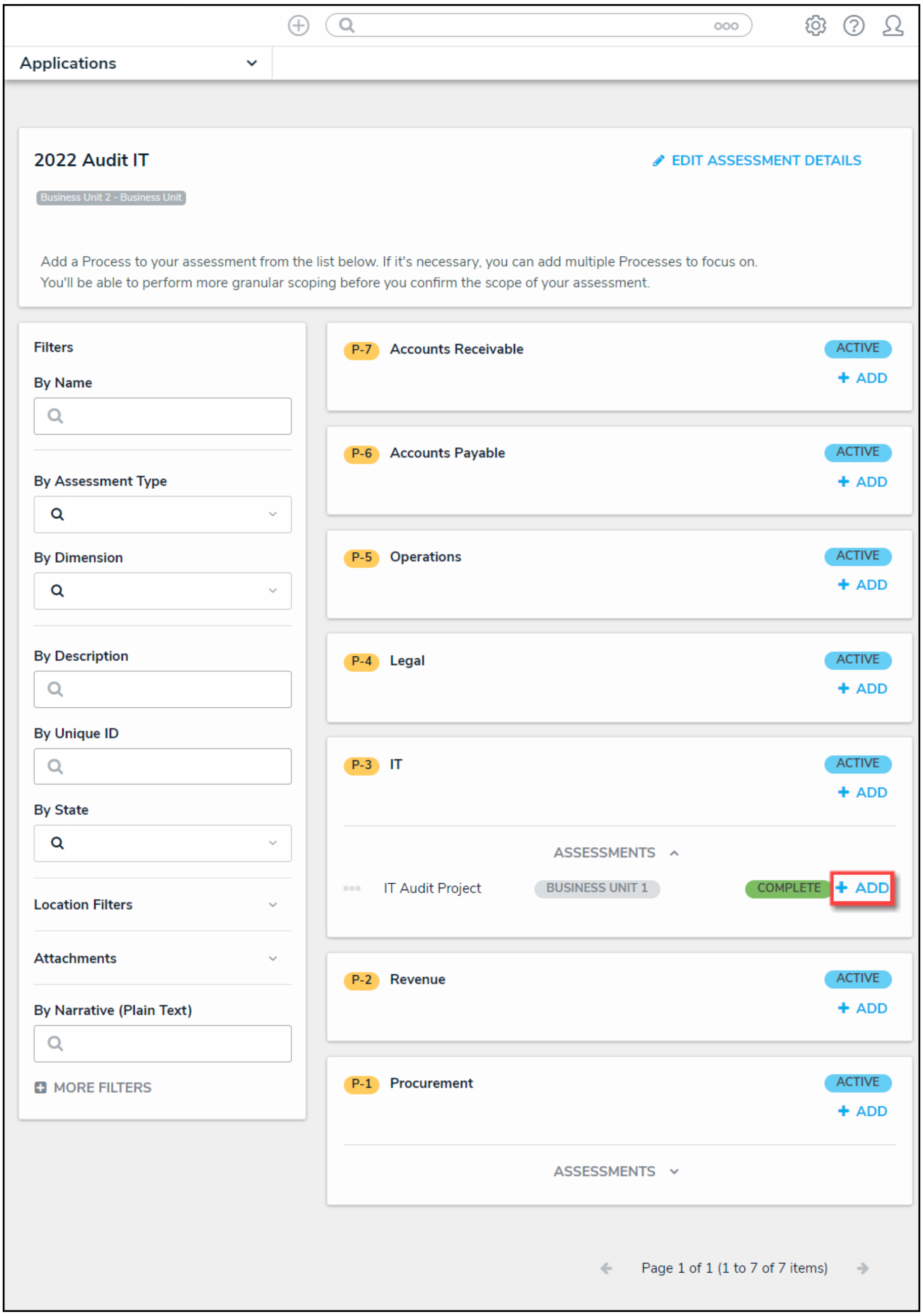
> ***Note:***
> *An **Assessment** link will only appear if the process was included in a previous audit assessment.*

1. From a ***Process View***, click the **Assessments** link.



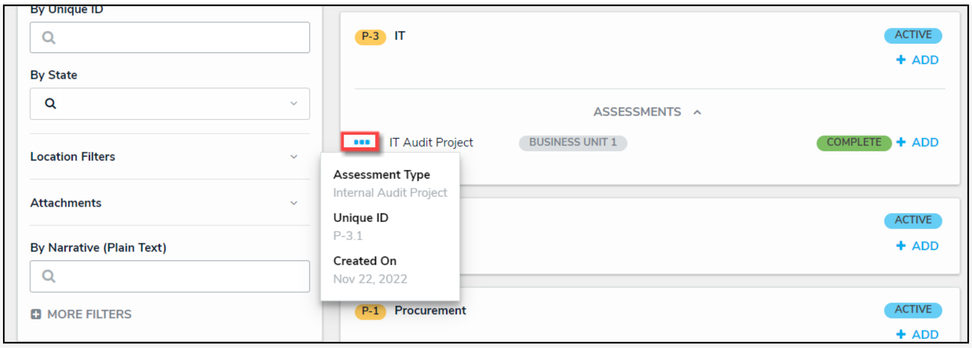
Assessment Link

18. Click the **+ Add** link to add the previous process results to the audit.



+ Add Link

Tip:
*For more information about the previous process results, hover your cursor over the **More Information** icon beside the Audit Project Name.*



More Information Icon