

Creating a Document Request

Last Modified on 06/11/2024 10:55 am EDT

Overview

Document Requests for an Internal Audit Project are created and attached to Controls by the Internal Audit Lead when an Internal Audit Project's Scope is complete.

Audit Clients must complete their assigned document request before an Internal Audit Project can be marked complete.

All document requests not sent to Audit Clients before the Internal Audit Project moves from the Planning stage to the Fieldwork stage will be automatically moved from the Draft stage to Outstanding, which will send the document requests to the Audit Clients.

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

For further information on how to scope an Internal Audit Project, please refer to the Define the Scope of an Internal Audit Project article.

Navigation

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

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Home v	My Tasks		
My Tasks	¢ SORT ∽ Q SEARCH	Internal Audit Project	θ
Internal Audit 202 Assigned to me on Dec 19th, 20	2 PLANNING		2
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My Task - Internal Audit Project - Planning



2. From the Internal Audit Project screen, click the Document Request tab.

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Populate all key audit dates & information prior to	Audit Background		
fieldwork.	A comprehensive evaluation	of a company's operations, systems, and process	ses.
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Q 2024 Internal Audit Plan ×			
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Document Request Listings Tab

3. From the *Documentation Request* tab, click the **Document Request Listing** button to create and review document requests for the Internal Audit.

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Populate all key audit dates & information prior to fieldwork. Audit Plan		to	Create, review, and send document requests for the audit Document Request List: Create and review an initial document request listing for the audit.			Send all Document Requests: 3 Document Requests to Request The audit will remain in fieldwo	Send all t Owners. rk.			
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Document Request Listing Button

4. From the *Document Request Listing* screen, click a Control.



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Control Unique ID	Control Name	Document Request Unique ID	Document Request Name	Document Request Description	Request Owner	Due Date	Documentation Attachments / URL	Request State
0-52.1	Mandatory privacy training							
C-47.1	Periodic surveys							
C-46.1	Fiduciary controls							
0-37.1	Review of geographical concentration							
C-36.1	Review NAICS concentration report							

Click on a Control

Alternate Navigation

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

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Reports			
Library			

Home Drop-Down

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



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Audit Universe Heat Map						Sorted by U	nique ID (As	cending)	
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Planning Tab

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



Create Audit Project Button

4. From the Intern Audit Project screen, click the Document Request tab.



Document Request Tab



5. From the *Documents Request* tab, click the **Document Request Listing** button.



Document Request Listing Button

6. From the Document Request Listing screen, click a Control.

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-52.1	Mandatory privacy training								
-47.1	Periodic surveys								
-46.1	Fiduciary controls								
-37.1	Review of geographical concentration								
-36.1	Review NAICS concentration report								

Click a Control

Creating a Document Request

- 1. From the *Manage Document Request* screen, edit the following fields:
 - (Optional) Control Name: Enter a Control Name. The Control Name is used to identify the Control throughout the system.



• (Optional) Description: Enter a Control Description outlining further details or

instructions.

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C-23.1	Adherence to structural policy			Document R	equest					
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Manage Document Request Screen

- 2. Select one of the following options to add a document request to the Internal Audit Project:
 - Add Existing Document Request: Click the Add Existing Document Request link to select an existing document request from the Add Existing Document Request popup.
 - + Create New: Click the + Create New link to create a new document request on the Create a New Document Request pop-up.



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Document Request Links

 The Document Request will appear on the Document Request table on the Mange Document Request pop-up.

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Document Request Table

4. Click the **x** icon to close the **Mange Document Request** screen.



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