Review and Perform Control Testing

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Once a control has been added to a requirement and assessed by its Control Owner, the Compliance Team can add and complete tests on the control. This testing will ensure that all controls are sufficient and allow the organization to easily correct and mitigate any weaknesses.
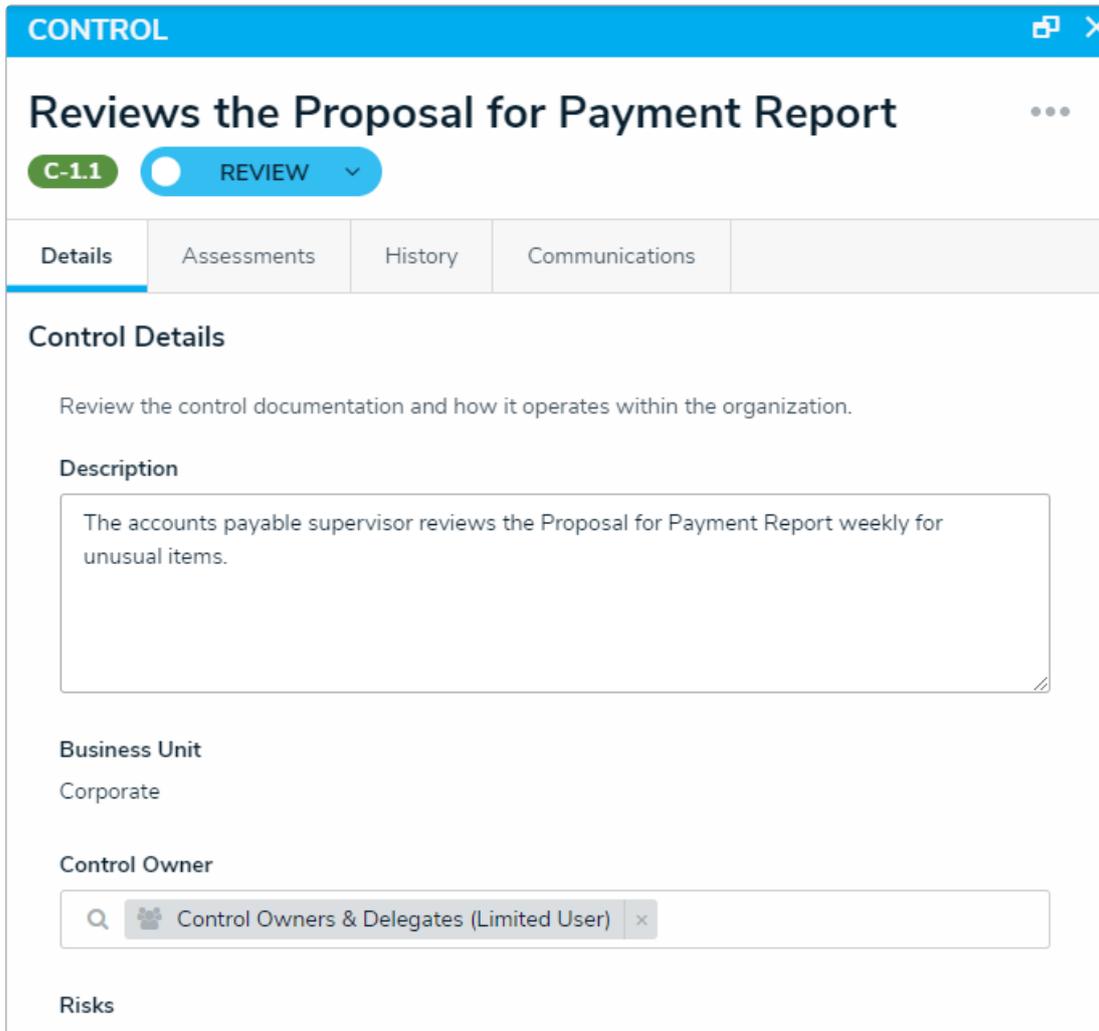
To review and perform control tests:

1. Log into a user account from the **Compliance Team** user group to open the **My Tasks** page.
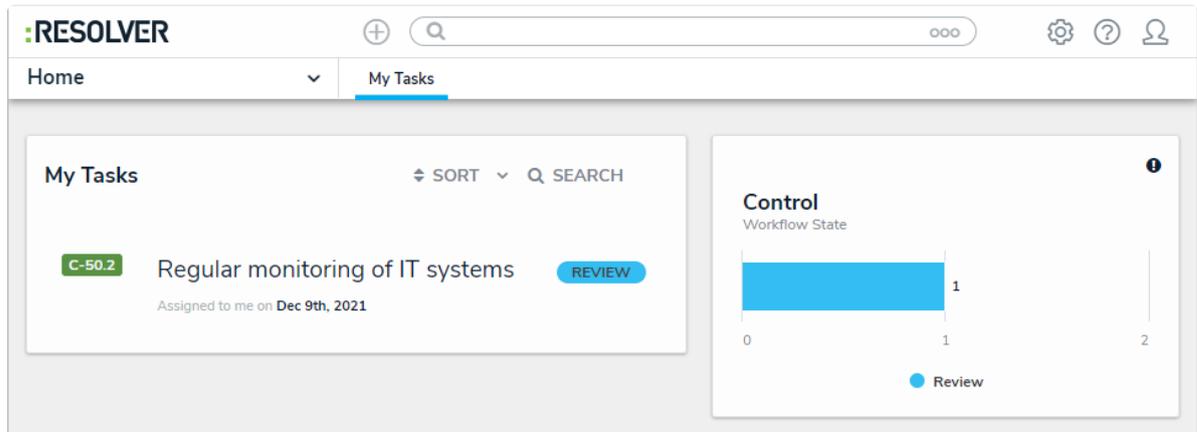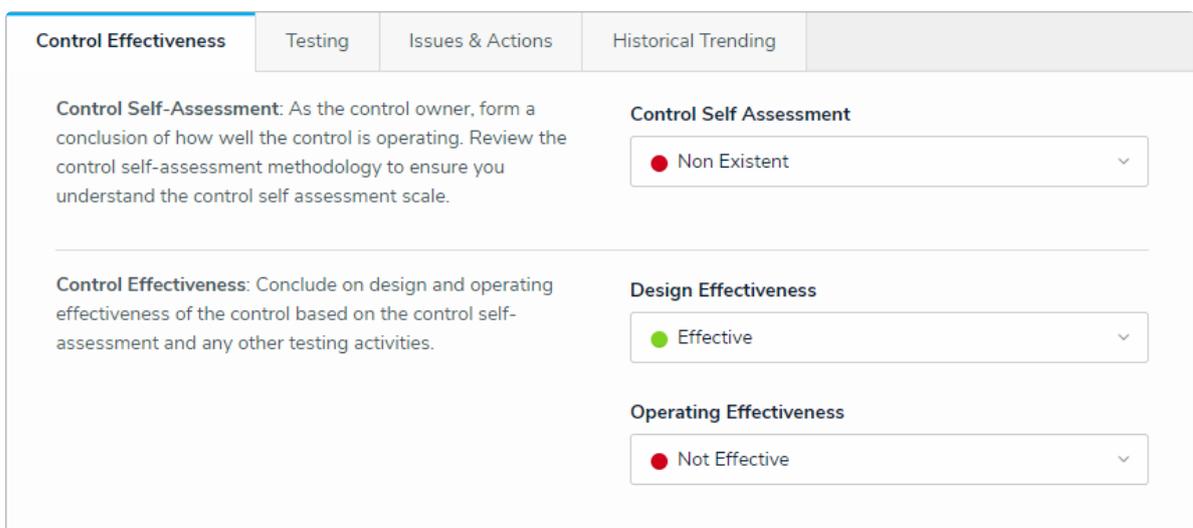

Assigned Controls on the My Tasks page.

2. Click the relevant control in the **Review** state to open the **Control** form.

The Control screen.

3. **Optional:** Navigate to the **Review Inherent Risk Assessment** section to review the inherent risk.

4. Scroll down to the **Control Effectiveness** section.

The Control Effectiveness section.

5. To add a new test to the control, perform one of the following actions in the Testing section:

- Click **Add Existing Test** and either click **+ Add** next to the desired text, or begin typing the test name in the search bar to narrow the results; or

- Click **Create New** to bring up the **Create a New Test** form. Fill in the required fields and click **Create Test** to create the test and attach it to the control.

The Create a New Test form.

6. To perform a test through to completion:

   a. Click an **In Progress** test in the **Test** table to open the **Test** form.

   b. **Optional:** Edit the name of the test in the **Test Name** field.

   c. **Optional:** Edit the administrative procedure in the **Test Procedure** field.

   d. **Optional:** Enter a description of the test in the **Description** field.

   e. Select from the testing **Method** dropdown list. More than one method can be applied to a single test.

   f. Enter how many samples were tested in the **# of Samples Tested** field.

g. Enter how many samples failed the test in the **# of Samples Failed** field.

h. Describe the results of the test in the **Test Result Summary** field.

i. Click the box under **Working Papers** to browse your computers for files to attach to the test or drag the files to the box to attach.

j. Select from the **Test Result** dropdown list.

k. Click **Send for Review** when you are finished.

> **i** Sending the test for review will automatically enter the current user's name in the Prepared By field, and the current date in the Prepared On fields below. The Reviewed By and Reviewed On fields will be filled in when the test is reviewed.

TEST

Review of Computer Program Functions T-17 IN PROGRESS •••

Details   History

Test Name

Review of Computer Program Functions

Test Procedure

1. Review a sample of Proposal for Payment reports to ensure supervisor approval was obtained.
2. Confirm that all unusual items were flagged and followed up on.
3. Follow up on exceptions as necessary.

Description

Method

Analytical Procedure ×

The Control Test form.