

## Moving an Internal Audit Project to Planning

Last Modified on 07/19/2024 3:34 pm EDT

# Overview

After the Internal Audit Project scope has been defined, the Internal Audit Project can be moved to the planning stage.

#### **User Account Requirements**

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

### **Required Information/Setup**

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.

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Home ~	My Tasks		
Home Internal Audit Management Internal Controls Management	¢ Sort ∽ Q Search		
Reports Library			
			~

Home Drop-Down

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



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Internal Audit Management v Risk Assessment Audit Plan	Planning	Fieldwork		_
<b>Risk Assessment</b> Perform periodic risk assessments on various auditable entities & view results from the prioritize a risk-based audit plan.	e Risk Manage	ement team's r	risk assessments to	
Auditable Entity Risk Assessment Grid		Sorted by Un	ique ID (Ascending)	
c-1 Riverdale Industries			Active	
Û.				1

Audit Plan Tab

3. From the *Audit Plan* screen, click an Internal Audit Project from the *Pending Audits* section.

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ternal Audit Management 🗸 🗸	Risk Assessment	Audit Plan	Planning	Fieldwork	Reporting Issues	& Actions 🛛 🚥		
Audit Plan	r annual risk-based audit	plans.			+ CREATE AUDIT PR	OJECT + CREA	TE AUDIT PLAN	
Audit Plans				Sorted I	by Unique ID (Ascending)	Q Search		
AP-3 2023 Audit	Plan						Active	
AP-4 2024 Audit	Plan						Draft	
AP-5 2025 Audit	Plan						Draft	
	nal Audit Plan an between 01/2024 to 06	/2024					Draft	
AP-7 Audit 2021							Draft	
Pending Audits						Sorted by Uniq	ue ID (Ascending)	
IA-1 Operations OPERATIONS	Audit 2024 Q1						Not Started	
IA-3 IT Audit 20 CORPORATE		-					Not Started	

Pending Audits Section

#### Moving an Internal Audit Project to Planning

- 1. From the *Internal Audit Project* screen, scroll to the *Define & Review Audit Scope* section.
- 2. (Optional) Click the **Review Audit Scope** button to open the *Process Tree View* screen, allowing you to view Risks, Controls, and Tests attached to the process.



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Internal Audit Management 🛛 🗸	Risk Assessment	Audit Plan Pl	anning Fieldw	vork Reporting	Issues & Actions	Audit Committee Dashboard			
			view Audit Sco	pe for the audit. Add Existi	ing or Create New proc	esses as needed.			
		Unique ID	Name	Risks					
		P-7.1	Operations	Business Interruption, Show more	Concentration Risk, Cu	stomer success, Fiduciary Risk			
		+ CRE	ATE NEW						
			Id to Scope button t REVIEW AUDIT SCO	to add individual risks, co PE (TREE VIEW)	-		to scope Rix		
		When the au will be notifie		e planning stage, the aud	lit team & audit client	PROCEED TO PLA	NNING		

Review Audit Scope Button

3. (Optional) Click the **Review Risk and Control Matrix** button to view a data grid, showing each process and its attached Risks, Controls, and Tests.

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Internal Audit Management 🛛 🗸	Risk Assessment	Audit Plan Plar	nning Fieldw	ork Reporting	Issues & Actions	Audit Committee Dashboard			
		Define & Revi View processe Process		pe for the audit. Add Existi	ng or Create New proce	esses as needed.			
		Unique ID	Name	Risks					
		P-7.1	Operations	Business Interruption, Show more	Concentration Risk, Cus	tomer success, Fiduciary Risk		-	
		+ CREA	TE NEW						
			I to Scope button f	o add individual risks, co PE (TREE VIEW)			TO SCOPE RIX		
		When the audi will be notified		e planning stage, the aud	lit team & audit client	PROCEED TO PLA	INNING		

Review Risk and Control Matrix Button

4. Click the **Process to Planning** button to move the Internal Audit Project to the planning stage.



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Internal Audit Management 🗸 🗸	Risk Assessment	Audit Plan P	lanning Fieldv	vork Reporting	Issues & Actions	Audit Committee Dashboard		
			view Audit Sco	<b>pe</b> e for the audit. Add Existi	ng or Create New proce	esses as needed.		
		Process						
		Unique ID	Name	Risks				
		P-7.1	Operations	Business Interruption, Show more	Concentration Risk, Cus	tomer success, Fiduciary Risk		
		+ CRE	ATE NEW					
		Select the Ad	dd to Scope button	to add individual risks, co	ntrols, and tests to this	audit.		
						₩ ADD	TO SCOPE	
			REVIEW AUDIT SCO	DPE (TREE VIEW)	<u>lat</u> RE	VIEW RISK AND CONTROL MAT	RIX	
		When the au will be notifie		e planning stage, the aud	it team & audit client	PROCEED TO PLA	NNING	

Process to Planning Button

- 5. Members of the audit team and audit client users will receive a system-generated email notifying them that the Internal Audit Project has moved into planning.
- 6. The Internal Audit Project will move to the *Audits in Planning* section on the *Planning* screen.

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ternal Audit Manage	ement 🗸	Risk Assessment	Audit Plan	Planning	Fieldwork	Reporting	Issues & Actions	Audit Committee Dashboard		
Planr Perform all		planning activities, inclu	ding sending initial	document requ	uest lists.					
Audits	s in Plannir	ng						Sorted by Unique ID (Ascending	3)	
IA-1	Operatio OPERATIO	ons Audit 2024 Q1						Planning		
IA-2	IT Audit							Planning		
Docum	nent Requ	est Listings						Sorted by Unique ID (Ascending	3)	
IA-1	Operatio	ons Audit 2024 Q1						Planning		
IA-2	IT Audit	2024						Planning		

Audits in Planning Section