

Adding a New Document Request to an Internal Audit Project

Last Modified on 07/10/2024 11:40 am EDT

Overview

Users can request specific documents for their audits from an Audit Client. Audit Clients can be another user in the organization that we are auditing one of their process or controls.

User Account Requirements

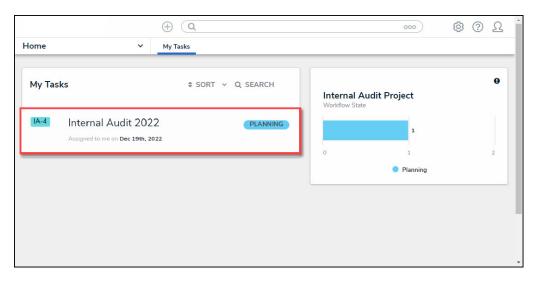
The user account used to log into Resolver must be added to either the Internal Audit Leads or Internal Audit Managers user group.

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.



My Task - Internal Audit Project - Planning

2. From the *Audit Details* screen, click the **Document Request** tab.



	(Q Search		000	\$ ® \$
Applications ~				
Operations Audit 2024 Q1			IA-1	PLANNING ••
Details Relationship Graph History Comm	nunications			
Audit Details	Audit Planning Memo	Key Dates and Resource Planning	Document Requests	
Populate all key audit dates & information prior to	Audit	Background		
fieldwork.	A co	mprehensive evaluation of a company's o	perations, systems, and proce	esses.
Audit Plan				
Q 2024 Internal Audit Plan ×				4
Audit Type	Audit	Objectives		
 Operational 		it the company's operations, systems, and	processes.	
Auditable Entity				
Q U.S.A. ×				
Business Unit				10
Q Operations ×	Audit	Approach		
Audit Client				
Q				
矕 Internal Audit Clients (Limited User) 🛛 ×				le
Planned Quarter	Audit	Scope uation of internal controls		
Q1 ~		uation of internal controls uation of recruitment, training, performan	ce management, and employ	ee relations
				li li

Document Request Listings Button

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

			\oplus	Q Se	earch		000	\$? 2	Â
Applications	· ~									
Operati	ons Audit 2	2024 Q	1				IA-1	PLANNING		
Details	Relationship Graph	History	Communicati	ons						
Audit Det	ails			Audit	it Planning Memo	Key Dates and Resource Planning	Document Requests			ľ
fieldwork. Audit Pla			to	Cre	Docum	d document requests for the audit ent Request List: Create and an initial document request listing audit.	Send all Document Reque Document Requests to Rec The audit will remain in fiel	quest Owners.		
Audit Typ			~		La	L DOCUMENT REQUEST LISTING	SEND ALL DOCUMENT	REQUESTS		Ļ

Document Request Listing Button

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



plications	~											
											_	
A - Do	ocument Request	Listing					Can's .	ት ፕ	Ø	C 🕅	X	*
		5					La	st Update	ed: May	13, 202	4 11:14	AM
IA-1 0	perations Audit 2024 Q1											
	in a second s											
		D										
		Doci	ument Request S	tatus								
Audit team n	nembers can click on a control's uni	que ID or name to add new	v document requests for	that control. All documer	t requests will p	progress to c	outstandin	q when th	ne audit	moves ir	ito	
	nembers can click on a control's uni ternatively, document requests can			that control. All documer	t requests will p	progress to c	outstandin	g when th	ne audit	moves ir	ito	
				that control. All documen	t requests will p	progress to c	outstandin				ito	
				that control. All documen	t requests will p	progress to c	outstandin		ne audit arch Tal		ito	
ieldwork. Al Control		be sent to audit clients on Document Request		Document Request	Request	progress to c Due	Docur	Q Se	arch Tal	ble	ito	
ieldwork. Al Control	ternatively, document requests can	be sent to audit clients on	an individual basis.				Docur	Q Se	arch Tal	ble		
ieldwork. Al Control Jnique ID	ternatively, document requests can	be sent to audit clients on Document Request	an individual basis. Document Request	Document Request	Request	Due	Docur	Q Se	arch Tal	ble	equest	
ieldwork. Al Control Jnique ID C-52.1	ternatively, document requests can Control Name	be sent to audit clients on Document Request	an individual basis. Document Request	Document Request	Request	Due	Docur	Q Se	arch Tal	ble	equest	
	ternatively, document requests can Control Name Mandatory privacy training	be sent to audit clients on Document Request	an individual basis. Document Request	Document Request	Request	Due	Docur	Q Se	arch Tal	ble	equest	
fieldwork. Al Control Unique ID C-52.1 C-47.1	ternatively, document requests can Control Name Mandatory privacy training Periodic surveys	be sent to audit clients on Document Request	an individual basis. Document Request	Document Request	Request	Due	Docur	Q Se	arch Tal	ble	equest	

Click on a Control

5. From the *ManageDocumentation Requests* pop-up, click the + Create New button.

		⊕ (Q		000	\$ © \$
pplications	~				
IA-4 Inte	ernal Audit 2022		CONTROL		e ×
		Document R	Manage Docume	•	IN PROGRESS ***
			Details Trending & Analys	sis History Communications	
			Control Name		
			Strategic charters are docur	mented	
			Description		
			Strategic charters are docur	mented	
	nembers can click on a control's uni rematively, document requests can				ĥ
Control Unique ID	Control Name	Document Request Document Request Document			
C-54.1	Strategic charters are documented		Create and prepare document automatically when requests a	t requests to send to the audit client. E-mail n are sent.	otifications will be sent
C-23.1	Adherence to structural policy		Document Request		
C-18.1	Appropriate supplier selection process in place		Unique ID Name Due	Date Documentation Attachments / URL	Workflow State
				No data to display	
			Q ADD EXISTING DOC	CUMENT REQUEST + CREATE NE	EW

+ Create New Button

Alternate Navigation

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



	€ Q Search	000	\$ @ L
Home ~	My Tasks		
Home			
Internal Audit Management	♦ SORT ∨ Q SEARCH		
Internal Controls Management			
Reports			
Library			
			-

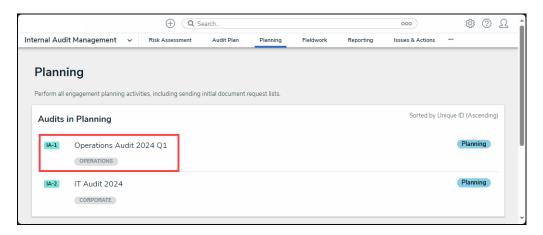
Home Drop-Down

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

	⊕ (Q s	Bearch				000	<u>ت</u>	?	Ω
Internal Audit Management 🛛 🗸	Risk Assessment	Audit Plan	Planning	Fieldwork	Reporting	Issues & Actions			
Risk Assessment	various auditable entitie	es & view results fro	om the Risk M	anagement team's	risk assessments	s to prioritize a risk-base	d audit plan.		
Auditable Entity Risk Ass						Sorted by Uniq	ue ID (Ascer Activ		
Audit Universe Heat Map						Sorted by Uniq	ue ID (Asce	nding)	
C-1 Riverdale Industrie	S						Activ	e	

Planning Tab

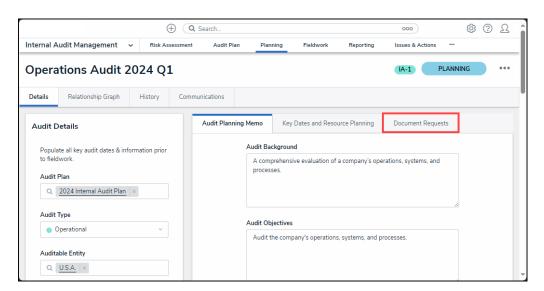
3. From the *Planning* screen, click the **Create Audit Project** button.



Create Audit Project Button

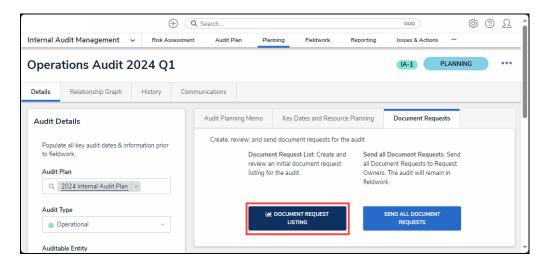


4. From the Intern Audit Project screen, click the Document Request tab.



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.



		(Q s	Search			00	10		\$ \$) {
plications	~									
A - Do	cument Request	Listing					🖉 🏠 🕇 🕯	C 🗋	2	*
	cument nequest	Listing					Last Updated:	May 13, 20	24 11:1	4 AM
IA-1 Op	erations Audit 2024 Q	1								
		Doci	ument Request S	tatus						
	nembers can click on a control's un ternatively, document requests can			that control. All documer	it requests will p	progress to o	outstanding when the	audit moves	into	
IEIGWORK, AN	ernatively, document requests can	the sent to addit clients on	an individual basis.							
							Q Searc	h Table		
Control	Control Name	Document Request	Document Request		Request	Due	Documentation		Reques	t
Unique ID		Unique ID	Name	Description	Owner	Date	Attachments / UR	L	State	
C-52.1	Mandatory privacy training									
C-47.1	Periodic surveys									
C-46.1	Fiduciary controls									
C-37.1	Review of geographical concentration									
	Review NAICS concentration									
C-36.1	report									

Click a Control

7. From the *ManageDocumentation Requests* pop-up, click the + Create New button.

		⊕ (Q						000	<u>n</u> (0)	2
pplications	~									
IA-4 Inte	ernal Audit 2022			CONTRO	L				e :	×
		Documen	t Rec		ge Doc d manage do		•		IN PROGRESS ••••	Î
				Details	Trending 8	& Analysis	History	Communications		
				Control	Name					1
			1	Strate	gic charters a	re documente	d			l
				Descript	ion					l
	rembers can click on a control's un ternatively, document requests can			Strate	gic charters ar	re documente	d			
Control Unique ID	Control Name		umen		nt Reques					
C-54.1	Strategic charters are documented				nd prepare do ically when re			the audit client. E-mail	notifications will be sent	1
C-23.1	Adherence to structural policy			Docume	nt Request					
C-18.1	Appropriate supplier selection process in place			Unique	ID Name	Due Date	Document URL	ation Attachments /	Workflow State	
			_				No data	to display		
				٩	ADD EXISTIN		NT REQUEST	+ CREATE N	IEW	Ŧ

+ Create New Button

Fieldwork Tab Navigation

Users can also add a new documentation request through the *Fieldwork* tab.



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

	(Q Search	000	\$ \$ \$
Home	✓ My Tasks		
Home			
Internal Audit Management	♦ SORT ∨ Q SEARCH		
Internal Controls Management			
Reports			
Library			

Home Dropdown

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

) Q Sear	ch				000	\$? 2
Internal Audit Management 🛛 🗸	Risk Assessment	Audit Plan	Planning	Fieldwork	Reporting	Issues & Actions	
Risk Assessment	ious auditable entities 8	k view results from	n the Risk Manag	jement team's ris	sk assessments to	prioritize a risk-base	d audit plan.
Auditable Entity Risk Asse	ssment Grid					Sorted by Uniq	ue ID (Ascending)
C-1 Riverdale Industries							Active
Audit Universe Heat Map						Sorted by Uniq	ue ID (Ascending)
C-1 Riverdale Industries							Active

Fieldwork Tab

3. From the *Fieldwork* screen, click on the **Internal Audit** report name that contains the control you want to perform from the *Audits in Progress* section.



	(Q Search					000	\$?	Ω
Internal Audit Management 🗸 🖓	Risk Assessment	Audit Plan	Planning	Fieldwork	Reporting	Issues & Actions		
Fieldwork Perform testing activities for audits that are in	progress.							
Audits in Progress View the full scope of an audit (tree view). IA-1 Operations Audit 2024 (OPERATIONS	Q1					Sorted by Uniqu	EID (Ascer	
Audit Project Overview						Sorted by Uniqu	ie ID (Ascer	ding)
IA-1 Operations Audit 2024 (OPERATIONS	Q1						Fieldwor	

Internal Audit Report

- From the *Audit Project Overview* screen, click on the **Expand** icon on the **Navigation** Tree to expand the nodes until you find the control.
- Click the control to open the Control Details screen. The process is indicated with a C icon next to the control name on the node.

6	C Search	000	\$ @ £ 🕯
Internal Audit Management V Risk Assessment Audit Plan Planning Fieldwork	Reporting Issues & Actions Audit Committee Dashboar	ard Management Dashboard Manage Audits	
(Q. Search.	Review NAICS concentration rep	port	C-36.1 IN PROGRESS
Operations Audit 2024 Q1	Details Trending & Analysis Manage Assessments	Relationship Graph History Communications	
Concentration Risk Concentration Risk	Control Details	Testing Summary Document Requests Related Da	lata Sampling Guidance
S most recent purchasing agreements	Description	Test	
Oeficiency in the operation of a key IT general co e Action Plan 003	Review NAICS concentration report	Unique Name # of # of ID Samples Samples	Working Papers Test Result
Most recently approved operating and procedures		Tested Failed	
O No Formal Review Process O Review of contract approval process		T-4.1 Review of critical IS information 10 5	Internal Audit Management Artilce Fail Tracker.xisx
Review of critical IS information Review of geographical concentration	Control Owner	Q ADD EXISTING TEST + CREATE NEW	
Oracle Contraction Charters are documented	· 이 아파 이 아		

Control Node

6. From the *Control Details* screen, click the **Document Request** tab.



\oplus	Q. Search	000	\$ @ L
Internal Audit Management v Risk Assessment Audit Plan Planning Fieldword	k Reporting Issues & Actions Audit Committee Dat	shboard Management Dashboard Manage Audits	
Q. Search	Review NAICS concentration	report (C36)	1 IN PROGRESS
Operations Audit 2024 Q1	-		
Operations	Details Trending & Analysis Manage Assessn	nents Relationship Graph History Communications	
 Business Interruption 			
Concentration Risk	Control Details	Testing Summary Document Requests Related Data Sam	npling Guidance
Review NAICS concentration report			
5 most recent purchasing agreements	Description	Test	
O Deficiency in the operation of a key IT general co	Review NAICS concentration report	Unique Name # of # of Working Pape	ers Test
e Action Plan 003		ID Samples Samples	Result
Most recently approved operating and procedures		Tested Failed	
O No Formal Review Process		Review of	
 Review of critical IS information 	A	T-25.1 Contract	
⊕ —	Control Owner	Approval Process	
+ - Strategic charters are documented	9	R Internal Aug	dit
+- Customer success	24 ×		Artilce 😐 Fail
+ S Fiduciary Risk	Internal Controls First Line Users	Tracker.xisx	
Operational Effectiveness	(Limited User)	Q ADD EXISTING TEST + CREATE NEW	
G Signature approval on checks			
+ O Privacy Risk	Tested By		
Compared Structural Risk (Asset/Liability mismatch)	Internal Controls Team 🗸	Total Samples Planned	
Adherence to structural policy		15	
Review of operating and procedures manual	Control Attributes		
	Document how the control operates within the organization. Provide any necessary attachments/web links to support this.	Sampling Justification	
	Var Canteal		

Document Request Tab

7. From the *Document Request* tab, click the + Create New link.

						⊕ (ª	Search			000			6	9 O 2
rnal Audit N	lanaç	ement	✓ Risk Assessment As	idit Plan Planni	g Fieldwork	Reporting	Issues & Actions	Audit Committee Dashboard	Manageme	nt Dashboard Manage A	odits			
Search					j	Revie	w NAICS con	centration rep	ort			(C-3	5.1 IN PROC	RESS
Operation						Details	Trending & Analysis	Manage Assessments	Relationship	Graph History C	ommunications			
Θ 0						Details	menoing a cherysts	manage cosessments	reasonany	orapin matory c	on manice bons			
	-	isiness Inti												
	• Co	ncentratio				Contro	ol Details		Testing Sum	nary Document Reque	sts Related	Data Sampling Guid	lance	
		C Revie	w NAICS concentration report						Create and	prepare document requests t	n send to the aud	t client E-mail potifications	will be sent automa	tically when
		- 0	5 most recent purchasing agreeme	ents		Desc	ription		requests a					
		Θ-	Deficiency in the operation of a key	y IT general co		Re	view NAICS concentration re	port						
			Action Plan 003						Document	Request				
			Most recently approved operating	and procedures					Unique	Name	Due	Documentation	Workflow	
		÷ (No Formal Review Process						ID		Date	Attachments / URL	State	
		-	Review of critical IS information							5 most recent purchasing	May 31,	Supporting		
		O Revie	w of geographical concentration			Cont	rol Owner		R-8	agreements	2024	Attachments.png	Draft	×
		G Strate	gic charters are documented			Q				Most recently approved	May 28,			
<u>.</u>	00	istomer su	coess				6	×	R-7	operating and procedures manual	2024		Oraft	
÷-	0 Fi	luciary Ris	k				iternal Controls First Line Use	ers						
	00	erational	Effectiveness			0	.imited User)		Q AI	D EXISTING DOCUMENT R	EQUEST	CREATE NEW		
	٠	Signal	ture approval on checks											
	© Pr	ivacy Risk				Test	id By							
		numbered Di			*	Int	ernal Controls Team	~						

+ Create New Link

Adding a New Document Request

- 1. From the *Create a New Request* pop-up, enter the following information in the following fields:
 - **Request Name:** Enter the name of the document request. The **Request Name** represents the document request throughout the system.
 - **Description:** Enter a document request description. The **Description** field allows you to enter detailed information or instructions.
 - **Request Date:** The system will tag the document request with the date the request was created.
 - Request Owner: Enter the name of a user group and select the user group from the dropdown list. The Request Owner field indicates the user group responsible for the document request. When the Document Request is sent users entered in the Request Owner field will receive an email notification and a Documentation Request task in their My Task list on their *Home* screen.



- **Request For:** Select a **Request For** option from the dropdown list. The **Request For** indicates the reasons for the document request.
 - Internal Audit Project
 - Internal Controls Testing
- **Document Request Type:** Select a document request type from the dropdown list:
 - Population Listing
 - Evidence for Sample
 - Policy/Procedure
 - Spreadsheet/Report
 - Narrative
 - Scanned Notes
 - Workflow Diagram
 - Shared Link
 - IPE (Information Provide by the Entity)
- **Due Date:** Select a document request due date from the *Calendar* pop-up.

⊕ (Q		000	\$\$ @ L
Applications Y	REQUEST		×
IA - Document Request			(R-XXX) ••••
IA-4 Internal Audit 2022	Documentation Request		
	Request Name		
	Description		
	Request Date		
Audit team members can click on a control's unique ID outstanding when the audit moves into fieldwork. Alte		Document Request Type	
Control Control Name Document Do	Q		×**
Unique Request Rec ID Unique ID Name	Request For	Due Date	
	~	Ê	~

New Request Details

2. From the *Policy* section, click on the **Add Existing Policy** link.



		\oplus	Q				000	ු	?	Ω
Applications	~									
				REQUEST						×
IA - Docu	ument	Requ	est	Attachments						•
Internal	Audit 2022	2		Policy						
			_	Unique ID	Name	Last Review Date	Workflow State			
						No data to display	·			-
				Q ADD EX	ISTING POLI	CY.				
				L						-
				-						
				Comments						- 1
				Auditor Commer	its					
Audit team member	s can click on a	control's uni	que ID (- /	8
outstanding when th				Audit Client Com	iments					- 1
										- 1
Control Control Unique		Document Request	Doci Regi							
ID		Jnique ID	Nam	Related Contro	ols				ſ	\mp
-									l	

Add Existing Policy Link

3. From the **Add Existing Policy** pop-up, all recently created policies will be listed. Enter key search terms in the **Search** field if the policy you are looking for is not listed. A Policy describes an Internal Audit Project's procedures and requirements.

		\oplus	Q		000	ත	?	2
plication	ıs	~						
IA-4	nternal Audit 20	22		ADD EXISTING POLICY				
				Q Start typing to find an existing Policy				
			ľ	Showing 7 most recently created Policy If you don't see what you were searching for, try searching from	n all Policies above.			
				(P-4) Standardized Financial Documentation		ACT	IVE	
				Standardizing documents used for financial transactions, suc requests, inventory receipts and travel expense reports, can		al materia		
				P-1 Segregation of Duties		OVERD +		
	n members can click o ng when the audit mov			Segregation of duties involves splitting responsibility for boo auditing. The further duties are separated, the less chance ar			and	
				P-3 Physical Audits of Assets		ACT	IVE	
Control Jnique D	Control Name	Document Request Unique ID	Doci Requ Nam	Physical audits include hand-counting cash and any physical system, such as inventory, materials and tools. Physical count		e account	ADD ing	
0-54.1	Strategic charters are documented	R-1	Man Expe Recc	P-6 Periodic Reconciliations in Accounting Systems		ACT	ADD	
222.1	Adherence to			Occasional accounting reconciliations can ensure that balance match up with balances in accounts held by other entities, in			red	

Search Field

4. When you have located the policy, click the + ADD link to add the policy to the document



request.

		U	(Q	 (000 (000 	25
plication	ıs	~			
IA-4	nternal Audit 20	22		ADD EXISTING POLICY	Ş
				Q Start typing to find an existing Policy	\supset
				Showing 7 most recently created Policy If you don't see what you were searching for, try searching from all Policies above.	
				P-4 Standardized Financial Documentation ACTIVE	
				+ ADD Standardizing documents used for financial transactions, such as invoices, internal materials]
				requests, inventory receipts and travel expense reports, can help to maintain consistency in	
				P-1 Segregation of Duties OVERDUE + ADD	Q.
A	n members can click c			Segregation of duties involves splitting responsibility for bookkeeping, deposits, reporting and auditing. The further duties are separated, the less chance any single employee has of	
	ng when the audit mo			audiung. The fulluler duties are separated, the ress thanks any single employee has or	
Control	Control Name	Document	Doci	(P-3) Physical Audits of Assets (ACTIVE	ē
Unique ID	Control Name	Request Unique ID	Requ Nam	+ ADD Physical audits include hand-counting cash and any physical assets tracked in the accounting system, such as inventory, materials and tools. Physical counting can reveal well-hidden	
C-54 1	Strategic charters	R-1	Man Expe	P-6 Periodic Reconciliations in Accounting Systems	
	are documented		Recc	+ ADD	
			_	Occasional accounting reconciliations can ensure that balances in your accounting system match up with balances in accounts held by other entities, including banks, suppliers and cred	

+ ADD Link

 From the Comments section, enter any comments related to the document request in the Auditor Comments text box.

plications	5	~						
			Doc	REQUEST				1
				P-4 Standardized Financial Documentation	April 1, 2020	 Active 	\times	
				Q ADD EXISTING POLICY				_
			ſ	Comments				
				Auditor Comments				
	members can click or oves into fieldwork. A							
the audit m								li
he audit m Control	oves into fieldwork. A	Alternatively, doc	ument reque	Audit Client Comments				1
he audit m Control Jnique ID	oves into fieldwork. A	Document Request Unique ID	ument reque Docume Request Name Manager	Audit Client Comments				11
the audit m Control Unique ID	oves into fieldwork. A Control Name	Alternatively, doc Document Request	ument reque Docume Request Name	Audit Client Comments Related Controls				
he audit m Control Jnique ID C-54.1	oves into fieldwork. A Control Name Strategic charters	Document Request Unique ID	ument reque Docume Request Name Manager Expense					#
the audit m Control Unique ID C-54.1 C-23.1	oves into fieldwork. A Control Name Strategic charters are documented Adherence to	Document Request Unique ID	ument reque Docume Request Name Manager Expense			CR	EATE	//
	oves into fieldwork. A Control Name Strategic charters are documented Adherence to structural policy Appropriate	Document Request Unique ID	ument reque Docume Request Name Manager Expense			CR		

Auditor Comments Section



6. Click the **Create** button to add the Document Request to the Control.

plication	IS	~							
			Doc	REQUEST					
				P-4	Standardized Financial Documentation	April 1, 2020	Active	×	
				Q ADD) EXISTING POLICY				
				Comments					
				Auditor Com	ments				
			_						
	n members can click on noves into fieldwork. A								H
	noves into fieldwork. A Control Name			Audit Client 0	Comments				Ĥ
the audit m Control	noves into fieldwork. A Control Name	Iternatively, doc Document Request	ument request Documen Request Name Manager Expense	Audit Client 0					
the audit m Control Unique ID	noves into fieldwork. A Control Name Strategic charters	Uternatively, doci Document Request Unique ID	ument request Documen Request Name Manager						#

Create Button