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

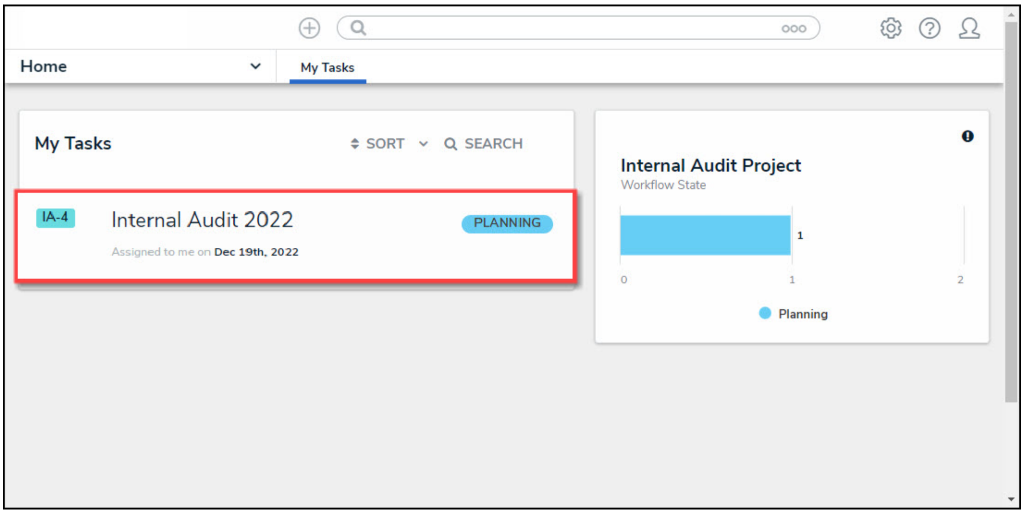
The user account used to log into Resolver must be added to either the Internal Audit Leads or Internal Audit Managers user group.

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.

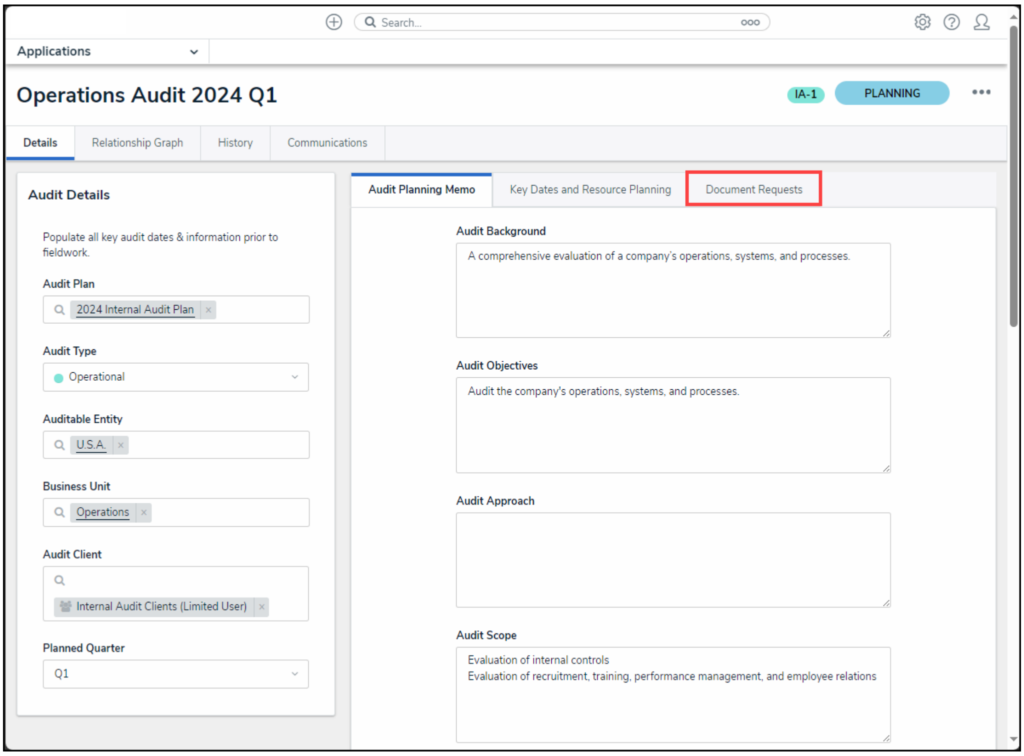
Navigation

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



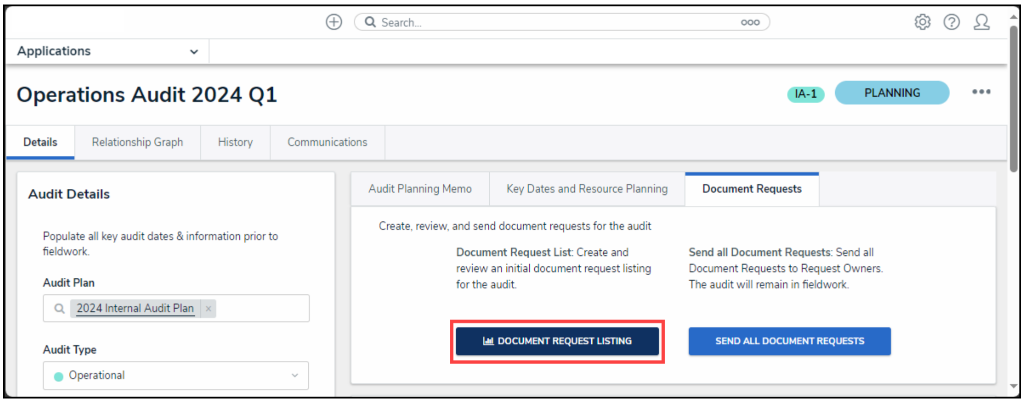
My Task - Internal Audit Project - Planning

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



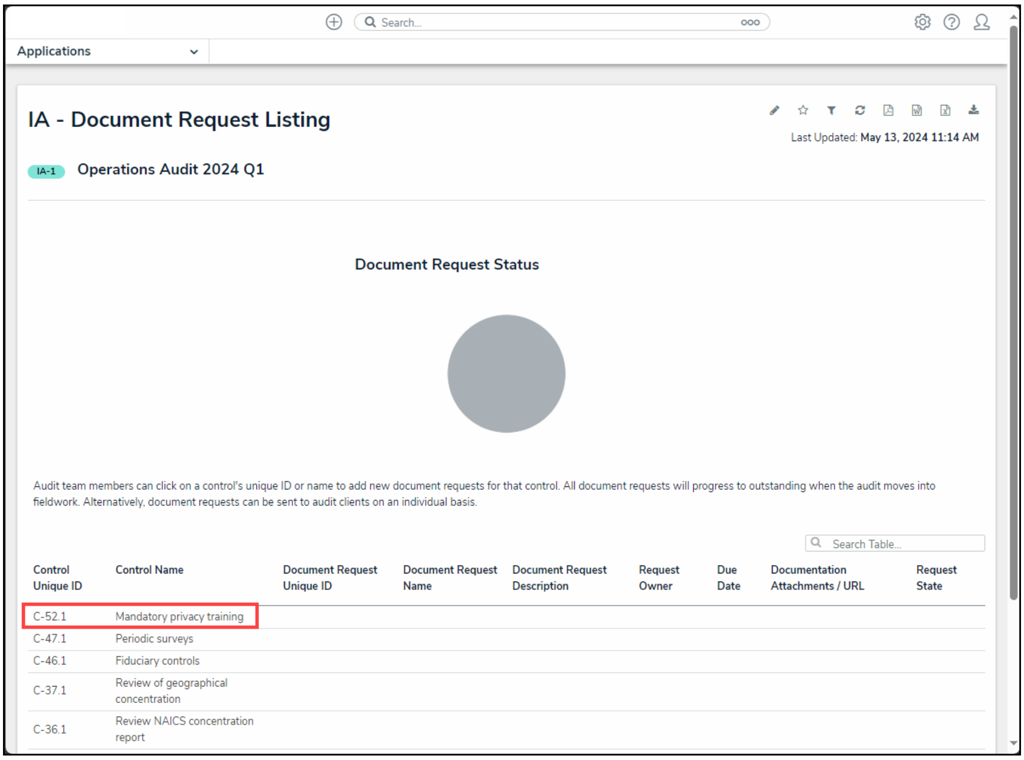
Document Request Listings Button

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



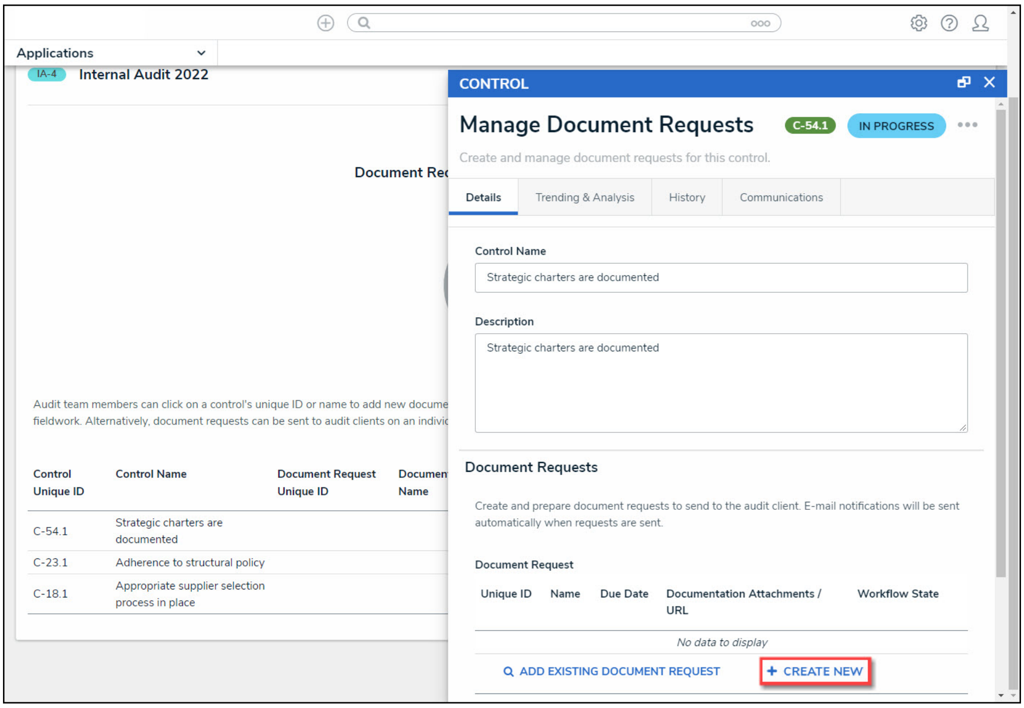
Document Request Listing Button

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



Click on a Control

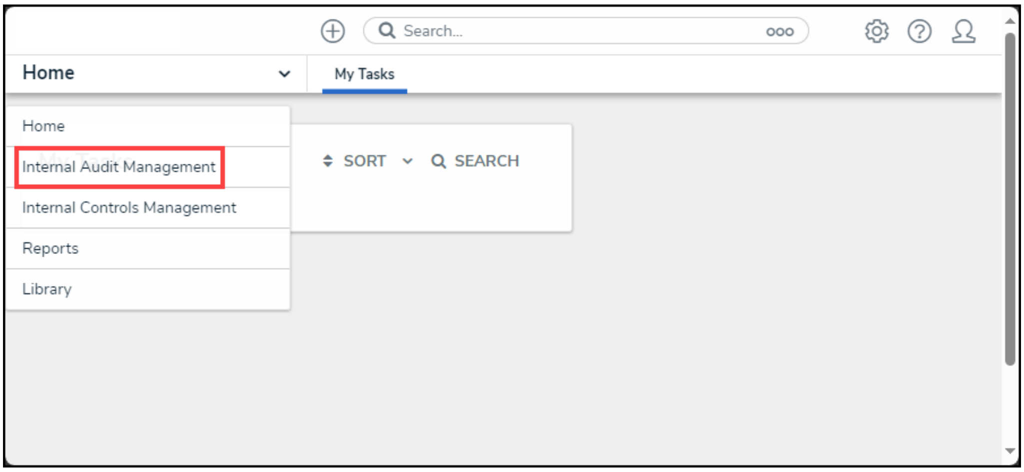
5. From the ***ManageDocumentation Requests*** pop-up, click the **+ Create New** button.



+ Create New Button

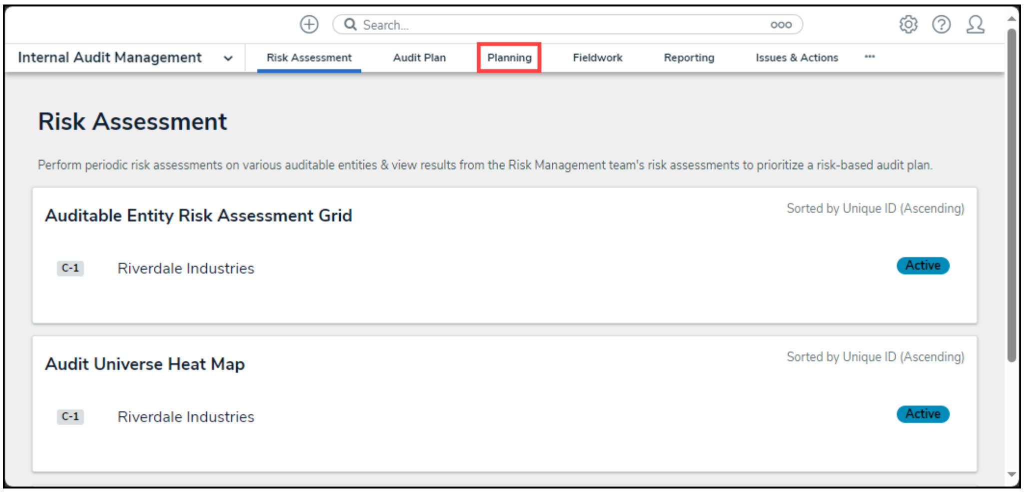
Alternate Navigation

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



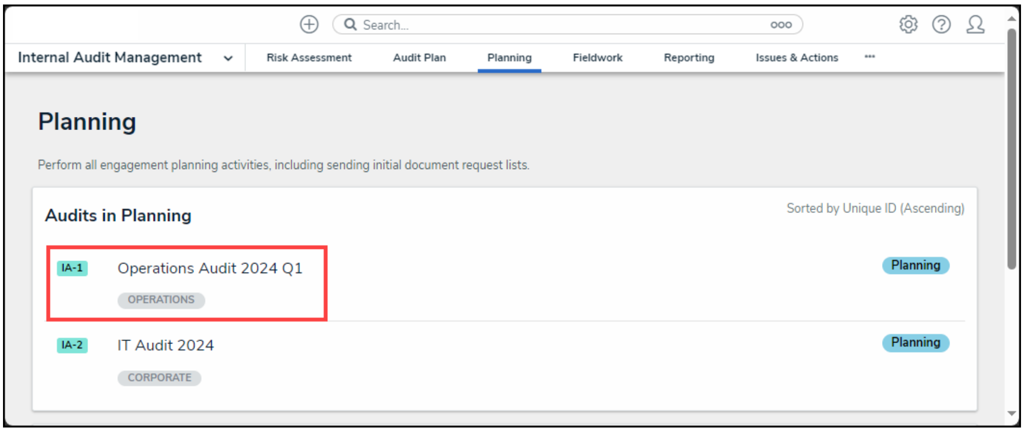
Home Drop-Down

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



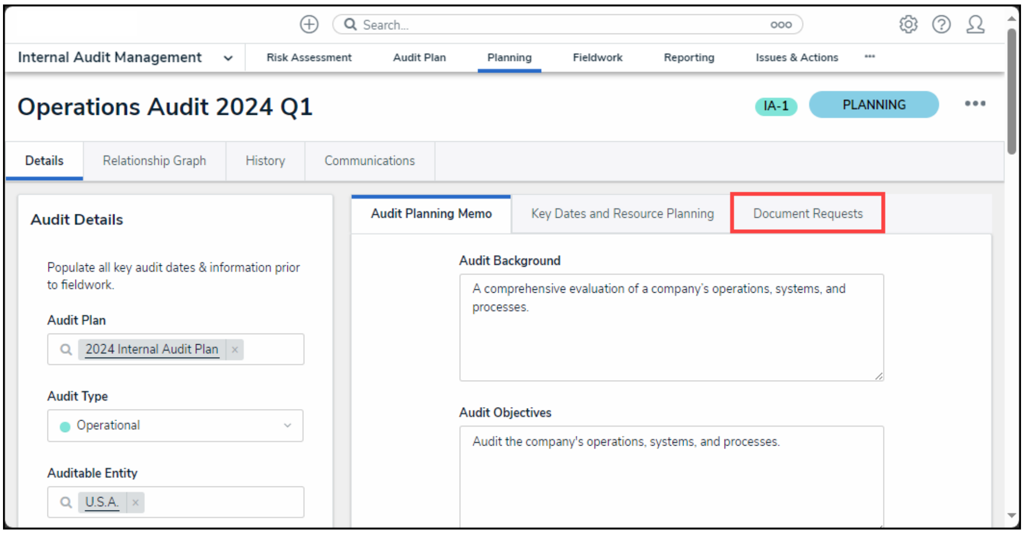
Planning Tab

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



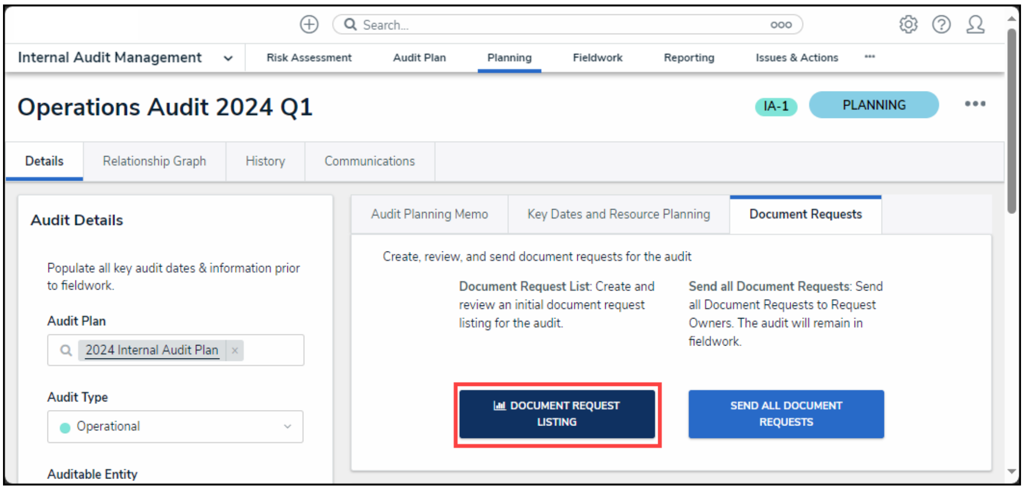
Create Audit Project Button

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



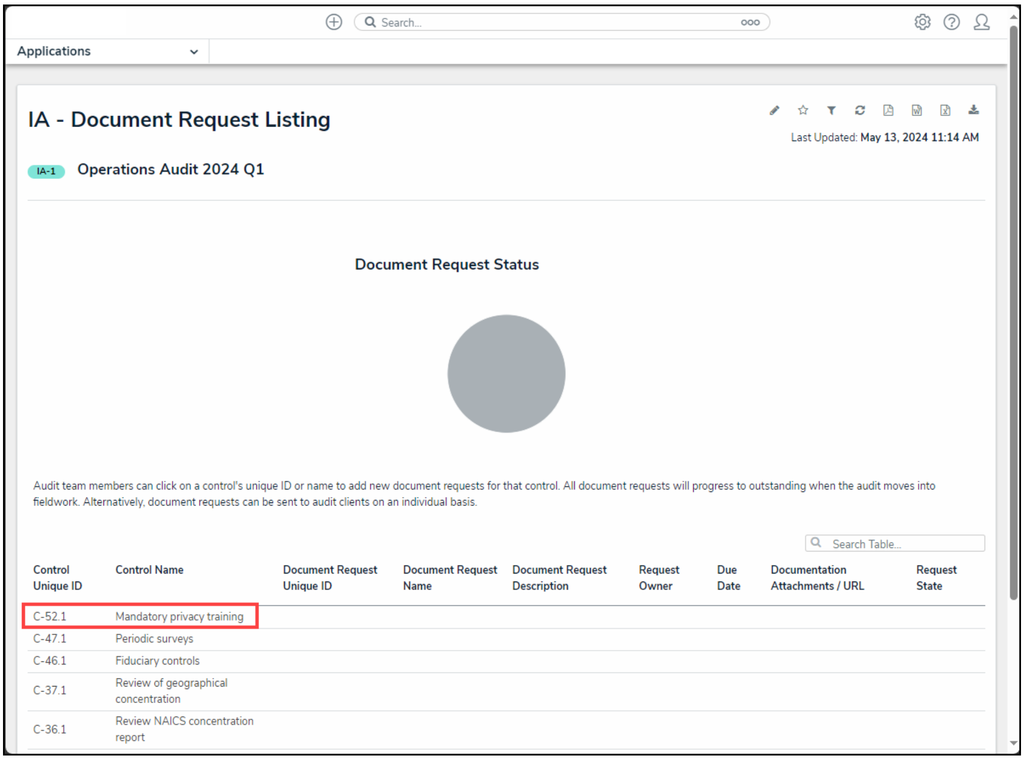
Document Request Tab

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



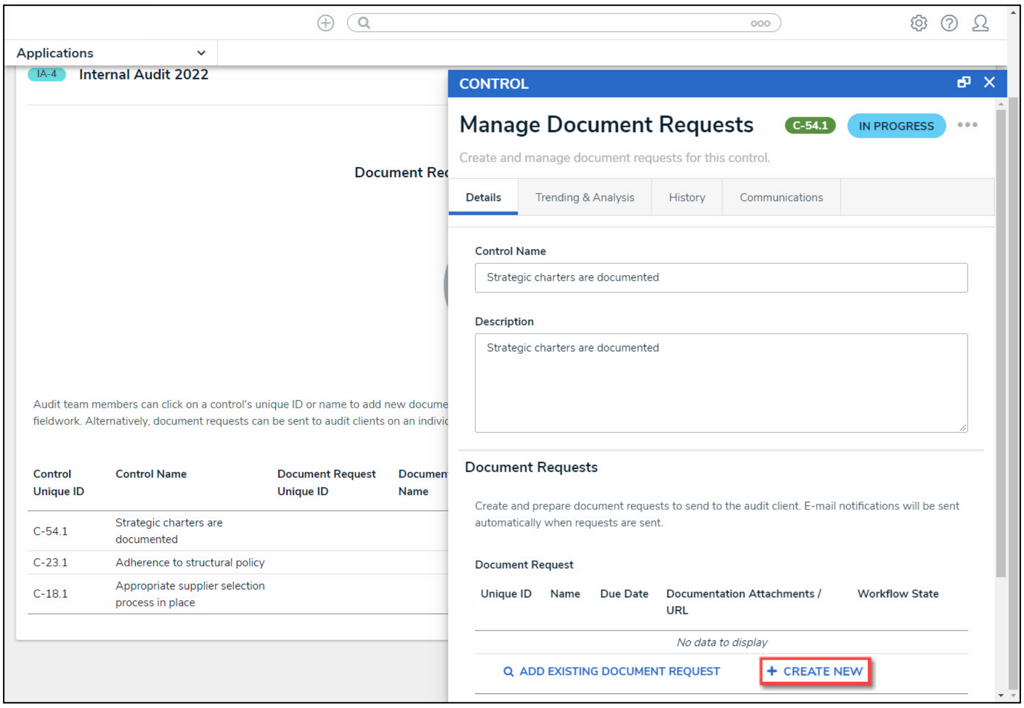
Document Request Listing Button

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



Click a Control

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

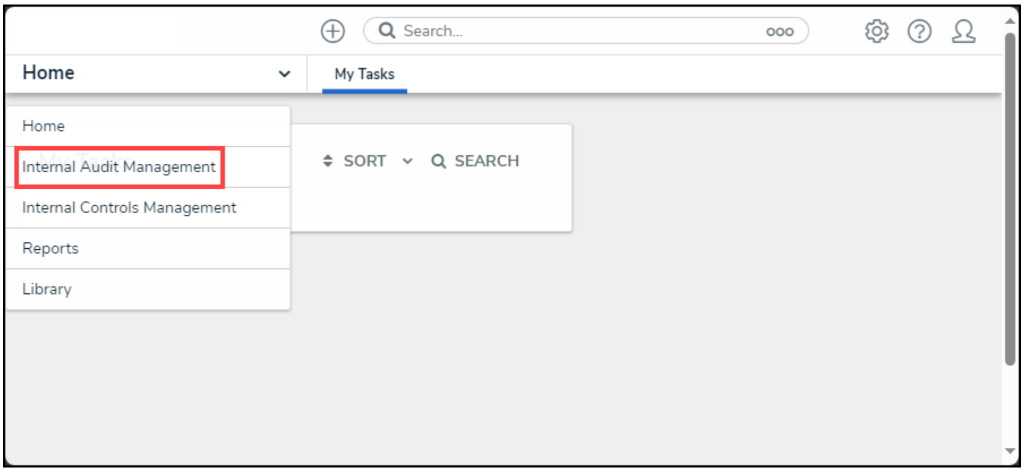


+ Create New Button

Fieldwork Tab Navigation

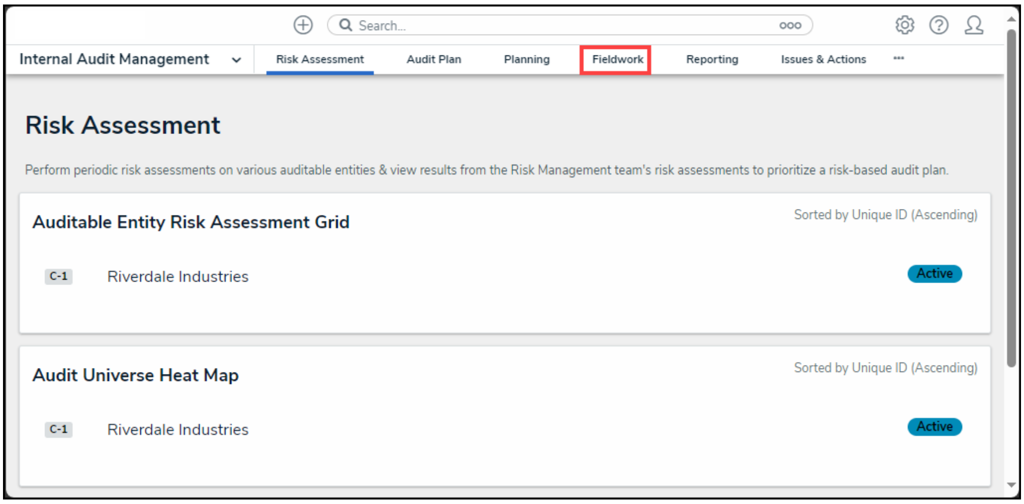
Users can also add a new documentation request through the ***Fieldwork*** tab.

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



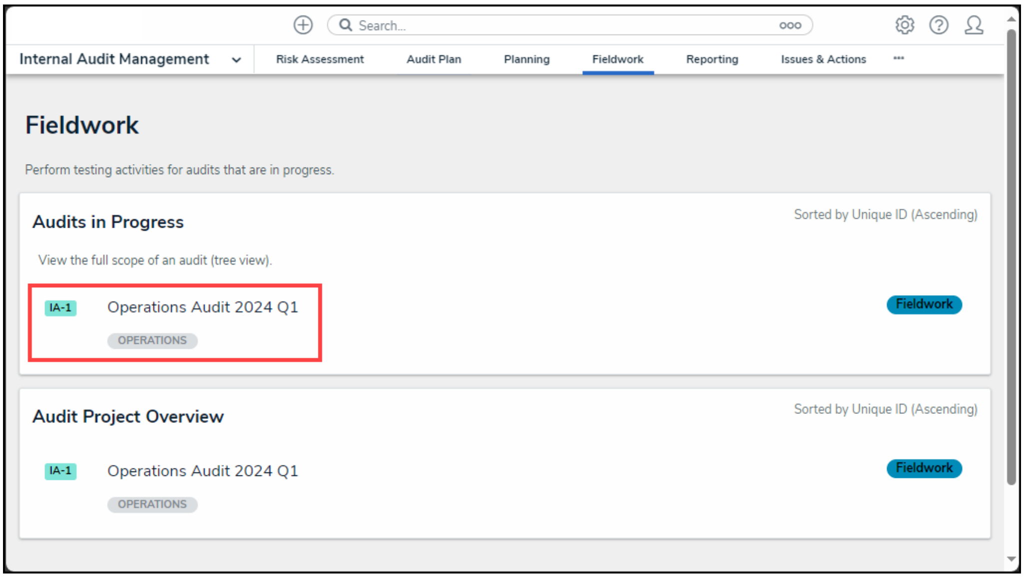
Home Dropdown

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



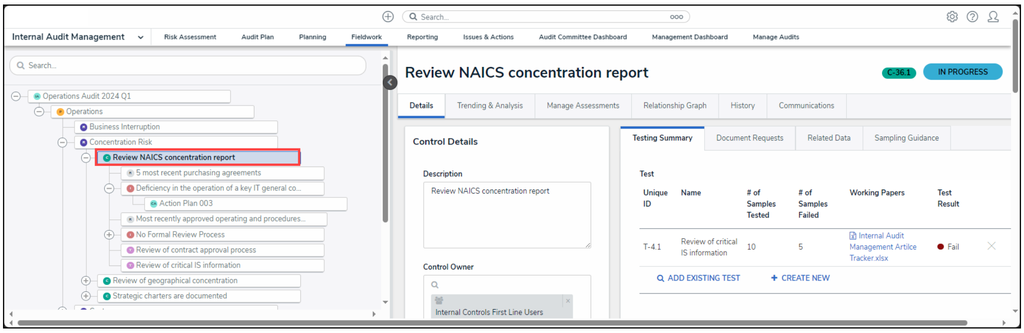
Fieldwork Tab

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.



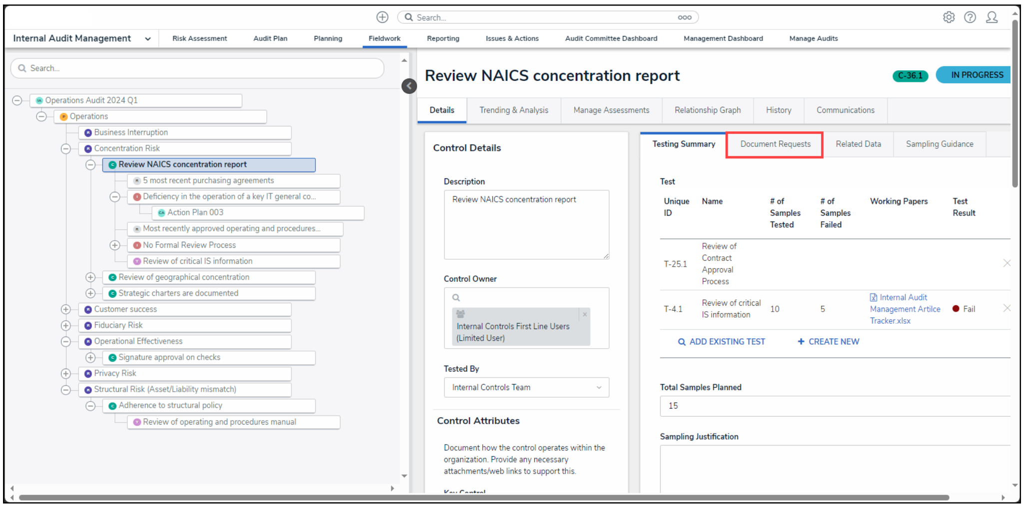
Internal Audit Report

4. From the ***Audit Project Overview*** screen, click on the **Expand** icon on the **Navigation Tree** to expand the nodes until you find the control.
5. 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.



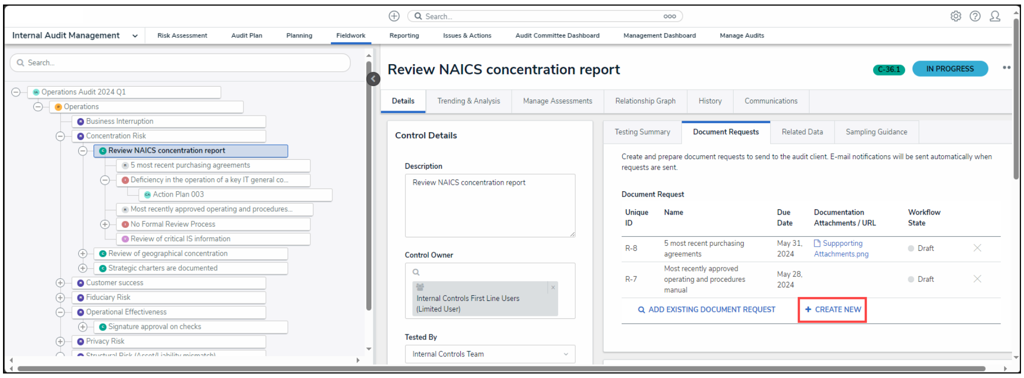
Control Node

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



Document Request Tab

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



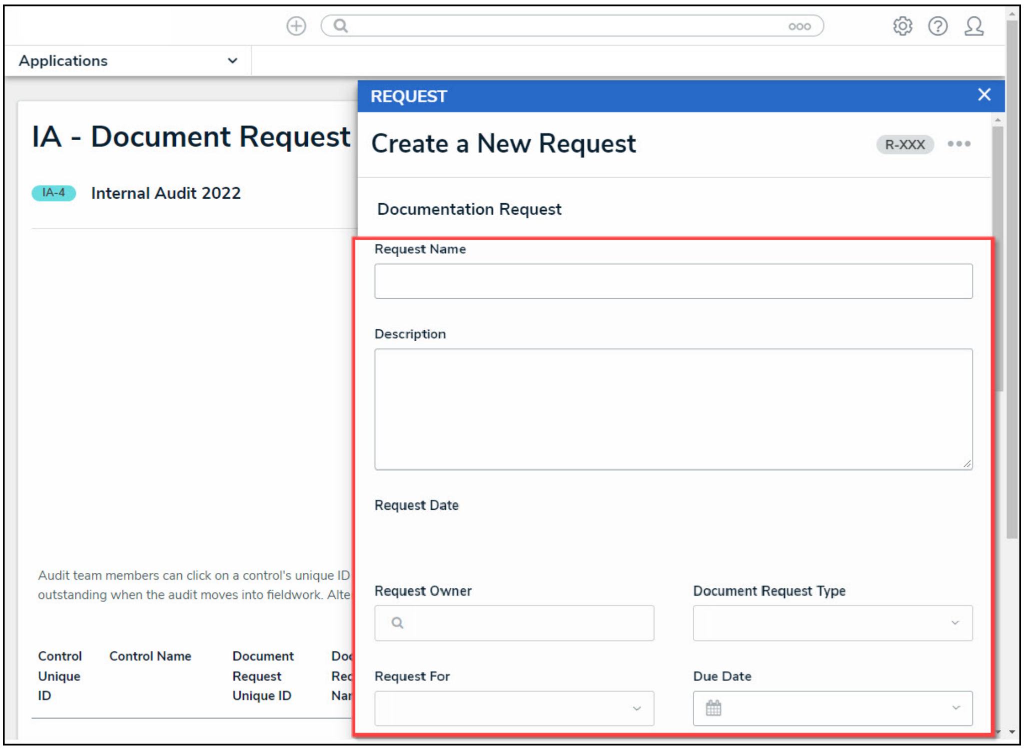
+ Create New Link

Adding a New Document Request

1. From the ***Create a New Request*** pop-up, enter the following information in the following fields:

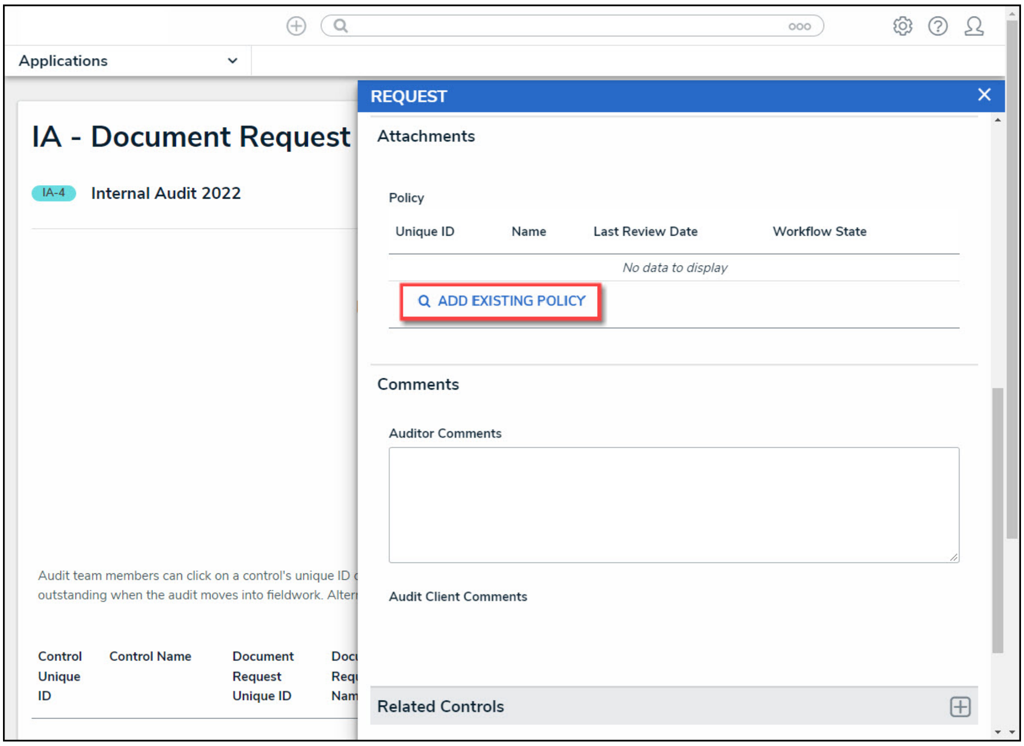
   - **Request Name:** Enter the name of the document request. The **Request Name** represents the document request throughout the system.
   - **Description:** Enter a document request description. The **Description** field allows you to enter detailed information or instructions.
   - **Request Date:** 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.



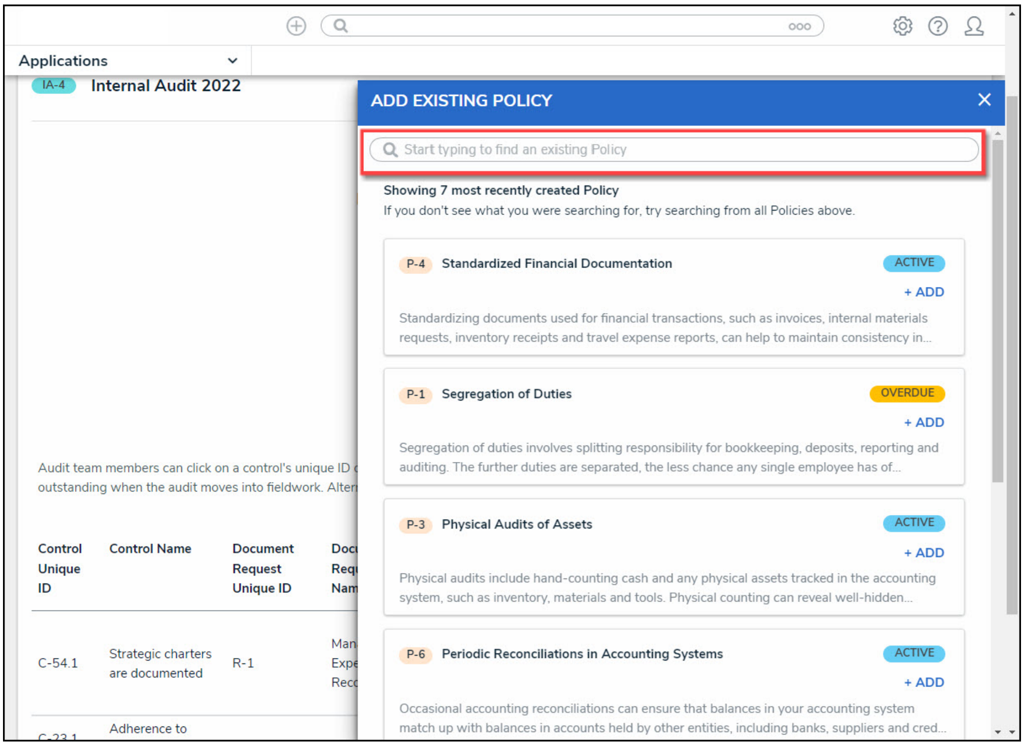
New Request Details

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



Add Existing Policy Link

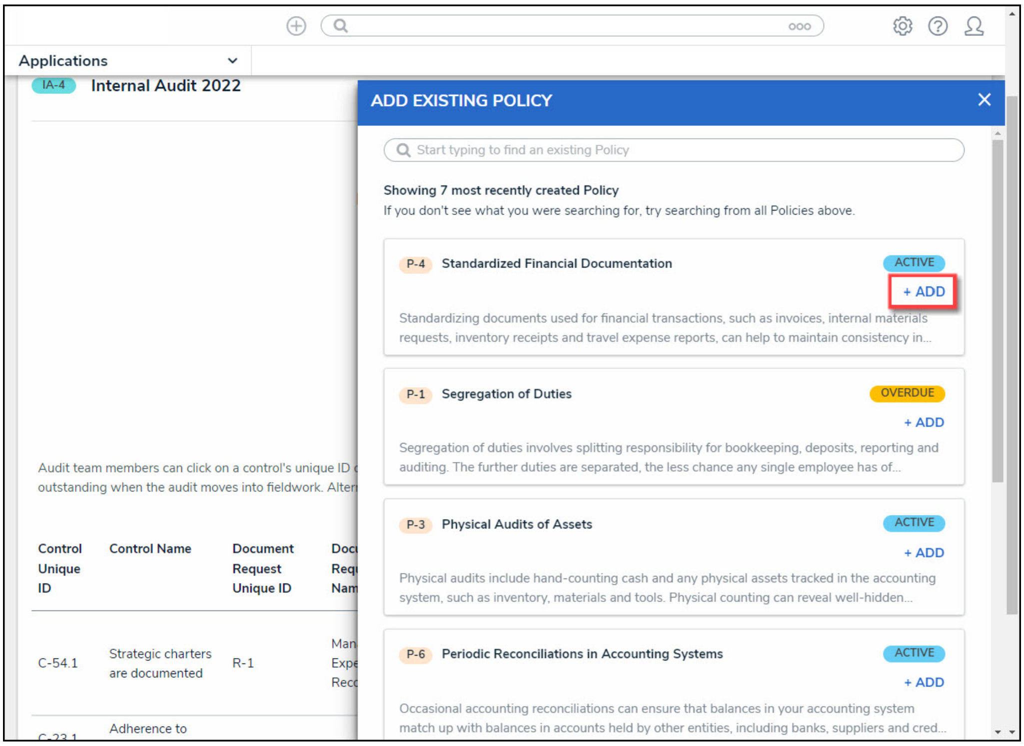
3. From the **Add Existing Policy** pop-up**,** all recently created policies will be listed**.** Enter key search terms in the **Search** field if the policy you are looking for is not listed. A Policy describes an Internal Audit Project's procedures and requirements.



Search Field

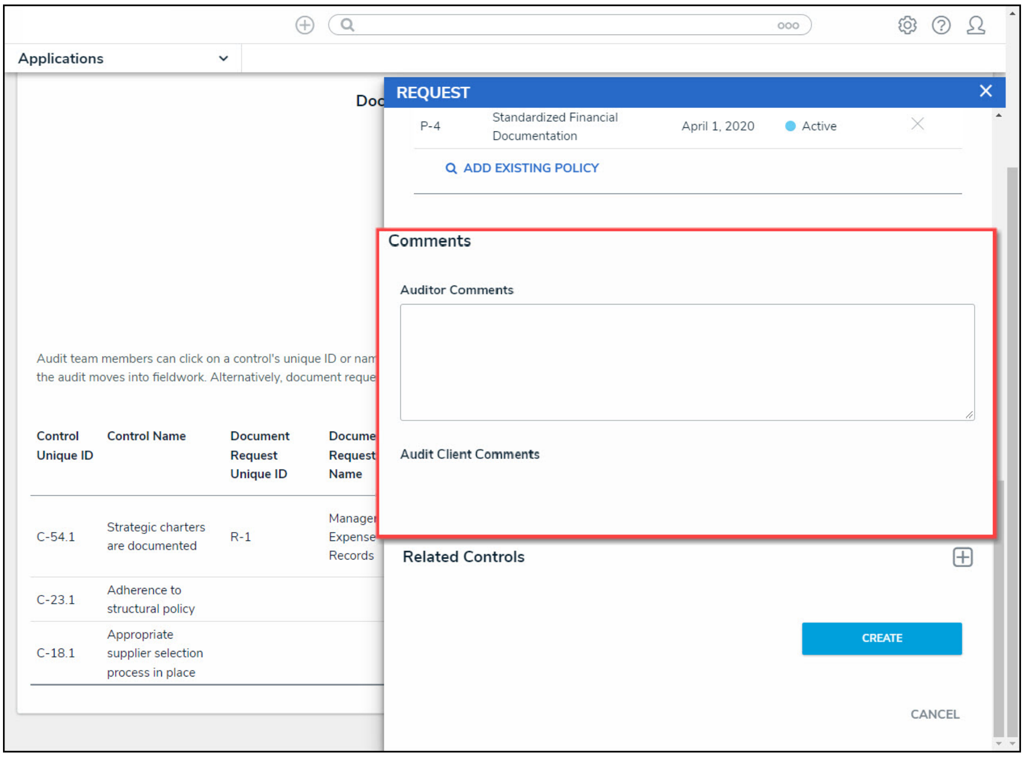
4. When you have located the policy, click the **+ ADD** link to add the policy to the document

request.



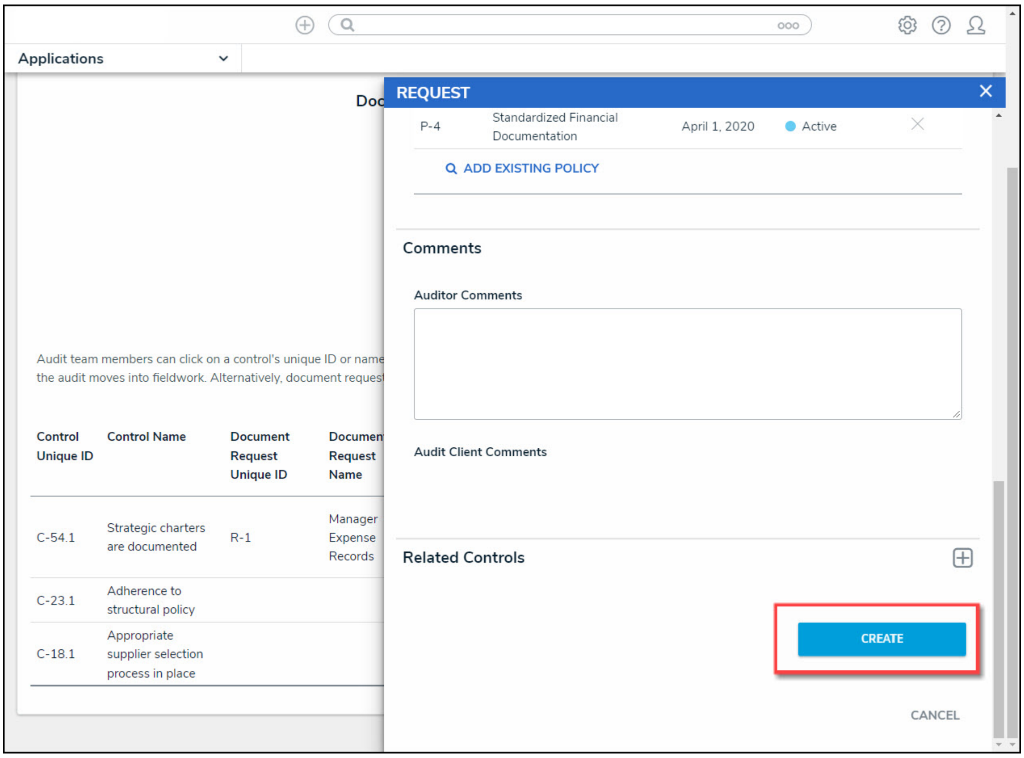
+ ADD Link

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



Auditor Comments Section

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



Create Button