

Adding an Existing Test, Document Request, Policy, Corrective Action, or Issue to a Control

Last Modified on 07/10/2024 1:38 pm EDT

Overview

Users can add an existing Test, Document Request, Policy, Corrective Action, or Issue to a control instead of creating a new one.

Navigation

 From the *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 Dropdown

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

		(Q Sear	ch				000	\$?	Ω
Internal Audit Ma	nagement 🗸	Risk Assessment	Audit Plan	Planning	Fieldwork	Reporting	Issues & Actions		
Risk Asse	ssment	ous auditable entities &	view results from	n the Risk Manag	ement team's ri	sk assessments to	prioritize a risk-base	ed audit plan.	
Auditable En	tity Risk Assess	sment Grid					Sorted by Uniq	ue ID (Ascen	ding)
C-1 Rive	rdale Industries							Active	
Audit Univer	se Heat Map						Sorted by Uniq	jue ID (Ascen	ding)
C-1 Rive	rdale Industries							Active	

Fieldwork Tab



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

	(Q Searc	:h				000	\$ \$	Ω
Internal Audit Management 🛛 🗸	Risk Assessment	Audit Plan	Planning	Fieldwork	Reporting	Issues & Actions		
Fieldwork Perform testing activities for audits that an	re in progress.							
Audits in Progress	w).					Sorted by Uniq	ue ID (Ascend	ing)
IA-1 Operations Audit 202	24 Q1						Fieldwork	
Audit Project Overview						Sorted by Uniq	ue ID (Ascend	ing)
IA-1 Operations Audit 202	24 Q1						Fieldwork	

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 desired control.
- Click the control to open the *Control Details* pop-up. Controls are indicated with a C icon next to the control name on the node.

⊕ Q Search			000		\$? ?
Internal Audit Management 🗸 Risk Assessment Audit Plan P	lanning Fieldwork	Reporting	Issues & Actions	Audit Committee Dashboard	
Q, Search		Revie	w NAICS con	centration rep	ort C-36
Operations Audit 2024 Q1 Operations		Details	Trending & Analysis	Manage Assessments	Relationship Graph
O Business Interruption Concentration Risk O Review NAICS concentration report		Contro	l Details		
 5 most recent purchasing agreements 	1	Descri	ption		
O Deficiency in the operation of a key IT gener		Rev	iew NAICS concentration r	eport	
🔿 Action Plan 003					
Most recently approved operating and proce					
O No formal change management process					
Action Plan 005					
e Action Plan 006		Contro	ol Owner		
Action Plan 007		Q			
Review of critical IS information					
Review of geographical concentration		Testeo	i By		
Customer success		Risk	Team		
(+) Siduciary Risk	-	- Contraction			
	+				

Control Overview Pop-up

6. Click the **Collapse** Icon to collapse the **Navigation Tree**.



rnal Audit Management 🗸 Risk Assessment Audit Plan Planning	Q Search	\$ 0 \$
Review NAICS concentration report	•	IN PROGRESS
Details Trending & Analysis Manage Assessments Relationship Graph	History Communications	
Control Details	Testing Summary Document Requests Related Data Sampling Guidance	
Description	Test	
Review NAICS concentration report	Unique ID Name # of Samples Tested # of Samples Failed Working Papers	Test Result
	T-4.1 Review of critical IS 10 5 Dinternal Audit Management Artilice information Tracker view	● Fail ×
Control Owner	Q ADD EXISTING TEST + CREATE NEW	
Q 🔮 Internal Controls First Line Users (Limited User) 🛛 🗴	Total Samples Planned	
Tested By	15	
Internal Controls Team ~		
Control Attributes	Sampling Justification	
Document how the control operates within the organization. Provide any necessary attachments/web links to support this.		
Key Control		
Key ~	% of Samples Tested % of Samples Failed	



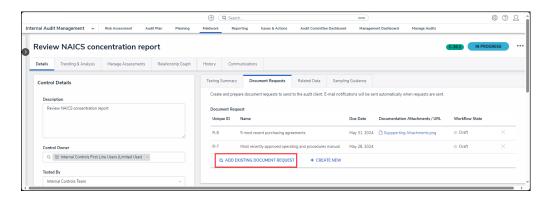
Document Request Navigation

1. From the *Testing Summary* tab, click the *Document Requests* tab.

				\oplus \bigcirc	Q Search			000			8	\$ () {
nal Audit	t Management 🗸 🗸	Risk Assessment A	udit Plan Planning	Fieldwork	Reporting	Issues & Actions	Audit Committee D	ashboard Manager	ent Dashboard N	lanage Audits		
Reviev	w NAICS cond	entration rep	ort							C-36	1 IN PROGR	ESS
Details	Trending & Analysis	Manage Assessments	Relationship Graph	History	Communications							
Control	Details			Testing S	iummary Docu	iment Requests	Related Data	Sampling Guidance				
Descrip	ption			Test								
Revi	ew NAICS concentration rep	port		Uniqu	e ID Name		# of Samples Tested	# of Samples Failed	Working Papers		Test Result	
				T-4.1	Review of cr information	ritical IS	10	5	Internal Audit Mar Tracker.xlsx	agement Artilce	Fail	×
Contro	I Owner		R	٩	ADD EXISTING TES	ST + CRE	ATE NEW					
Q	Internal Controls First Li Internal Controls First Li	ne Users (Limited User) 🛛 ×		Total S	amples Planned							
Tested	Ву			15								
	nal Controls Team		~									

Document Requests Tab

2. From the *Document Request* tab, click the Add Existing Document Request Link.



Add Existing Document Request Link

Policy Navigation

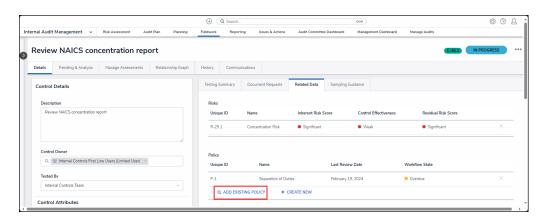
1. From the *Testing Summary* tab, click the *Related Data* tab.



				⊕ (Q	Search		000		Ę	0
nal Audit	Management 🗸	Risk Assessment Au	dit Plan Planning	Fieldwork	Reporting Issues & Actio	ns Audit Committee	Dashboard Manag	ement Dashboard Manage Audits		
leviev	v NAICS con	centration rep	ort					C-3	5.1 IN PROGR	ESS
Details	Trending & Analysis	Manage Assessments	Relationship Graph	History	Communications					
Control I	Details			Testing Su	mmary Document Requests	Related Data	Sampling Guidance			
Descrip	ition			Test						
Revie	w NAICS concentration re	port		Unique	ID Name	# of Samples Tested	# of Samples Failed	Working Papers	Test Result	
				T-4.1	Review of critical IS information	10	5	Internal Audit Management Artilice Tracker.xlsx	• Fail	×
Control	Owner			Q /	ADD EXISTING TEST + C	REATE NEW				
Q	Internal Controls First Li	ine Users (Limited User) ×								
Tested I	By			15	mples Planned					
Intern	nal Controls Team									

Related Data Tab

2. From the *Related Data* tab, click the **Add Existing Policy** link, under the **Policy** table.



Add Existing Policy Link

Issue Navigation

1. From the *Testing Summary* tab, scroll to the *Audit Finding* section.

					⊕ (Q	Search			000				\$ @	2
nterna	al Audit Management v	Risk Assessment	Audit Plan	Planning	Fieldwork	Reporting	Issues & Actions	Audit Committee Dashboard	Management Das	hboard Ma	nage Audits			
	Manual			~	Audit Find	ings								
	Information System				Record de	tails around any	issues that arise duri	ng testing.						
	Q Microsoft Dynamics ×				Issues									
					Unique II	0 Name			Date Identified	Due Date	Priority	Workflow State		
					1-9	No form	al change managem	ent process	April 20, 2024	May 20, 2024	• Low	Draft	×	
					1-7	Deficien	cy in the operation o	f a key IT general control	April 22, 2024	May 22, 2024	 Urgent 	Overdue	×	
					Q A	DD EXISTING IS	SUES + C	REATE NEW						
														_

Audit Findings Section

2. Click the Add Existing Issues link.



					⊕ (Q	Search			000				\$?	Ω
terna	al Audit Management v	Risk Assessment	Audit Plan	Planning	Fieldwork	Reporting	Issues & Actions	Audit Committee Dashboard	Management Das	hboard Ma	nage Audits			
	Manual			~	Audit Find	lings								
	Information System				Record de	tails around an	rissues that arise durin	g testing.						
	Q. Microsoft Dynamics ×				Issues									
					Unique I	D Name			Date Identified	Due Date	Priority	Workflow State		
					1-9	No for	nal change manageme	nt process	April 20, 2024	May 20, 2024	Low	Draft	×	
					1-7	Deficie	ncy in the operation of	a key IT general control	April 22, 2024	May 22, 2024	 Urgent 	Overdue	×	
					Q A	DD EXISTING	SSUES + CR	EATE NEW						

Add Existing Issues Link

Corrective Action Navigation

1. From the *Control Overview* pop-up, scroll to the *Audit Findings* section.

	Q Search			000					® (?)	Ω
ternal Audit Management v Risk Assessment Audit Plan Planning Fieldwork	Reporting Issues & Actions	Audit Committee Dashboard	Management D	ishboard Manage Audits						
3 Search.			Audit Findir	gs						
Operations Audit 2024 Q1			Record detai	is around any issues that arise during t	esting.					
Operations			Issues							
Business Interruption			Unique ID	Name	Date	Due Date	Priority	Workflow		
Concentration Risk					Identified			State		
S most recent purchasing agreements			1-9	No formal change management process	April 20, 2024	May 20, 2024	• Low	Draft	×	
Oeficiency in the operation of a key IT general co			1-7	Deficiency in the operation of a key IT	April 22, 2024	May 22,	•	Overdue		
😁 Action Plan 003				general control	Abia 55, 5054	2024	Urgent	- Offerdae		
Most recently approved operating and procedures			Q, ADI	EXISTING ISSUES + CREA	TE NEW					
O No formal change management process										
Action Plan 005										
Action Plan 006										

Audit Findings Section

2. Click an **Issue** with an open workflow status from on the **Issues** table.

	⊕ (Q s	iearch		000				\$ @ L
nternal Audit Management v Risk Assessment Audit Plan Planning	Fieldwork	Reporting	Issues & Actions	Audit Committee Dashboard M	anagement Dashboard	Manage Audits		
Q. Search	🗆 į	Audit Fi	ndings					
Operations Audit 2024 Q1		Record	details around any issue	as that arise during testing.				
Operations Business Interruption	- II	Issues						
Concentration Risk Operations - Business Unit	- U	Uniqu	e ID Name		Date Identified	Due Date	Priority	Workflow State
Review NAICS concentration report	- U							
 5 most recent purchasing agreements 		1-14	No Formal Re	wiew Process				 Open
Operation of a key IT general co		1-7	Deficiency in	the operation of a key IT general control	April 22, 2024	May 22, 2024	Liconet	Ouerdue
Action Plan 003		1-7	Dendency III	the operation of a key in general control	April 22, 2024	May 22, 2024	• orgent	- Overdue
Most recently approved operating and procedures		٥	ADD EXISTING ISSUE	S + CREATE NEW				
O O No formal change management process								
Action Plan 005								
Action Plan 006	- J							

Issue

 From the *Issue* pop-up, scroll to the *Corrective Actions* tab and click the Add Existing Corrective Actions link.



al Audit Mana	gement v Risk Asses	sment Audit I	Plan Plan			orting	Issues & Ar	ctions	Audit Committee Da	shboard ***	_
Testing Summa	ry Document Requests	Related Data	Sampling	- 1	ISSUE Risk Team			~			6
Test					Corrective Action	IS	Related Data				
Unique ID	Name	# of Sar	nples Tested	# of					the issue. To find an ex		
T-9.1	Review of contract approval	process 25		4		w at the I	bottom of the t		able. If a new correctiv ective Actions related t		
T-4.1	Review of critical IS informat	ion 10		5	Corrective Acti	ons					
Q ADD	EXISTING TEST + CR	REATE NEW		_	Unique N ID	ame D	Description I	Priority	Expected Completion Date	Workflow State	
Total Samples	s Planned						٨	lo data to	display		
15					Q ADD E	XISTING	CORRECTIVE	ACTION	5 + CREATE	NEW	
Sampling Just	lification										

Add Existing Corrective Actions Link

Adding an Existing Test, Document Request, Policy, Corrective Action, or Issue to a Control

The process for adding an existing Test, Document Request, Policy, or Issue to a control is the same. The only difference is the navigation. For this illustration we will be adding a Test to a control.

1. From the *Testing Summary* tab, click the **Add Existing Test** link.

					⊕ (Q Search			000				0	95	3
Ir	nternal A	Audit Management 🛛 🗸	Risk Assessment	Audit Plan Planning	Fieldwork	Reporting	Issues & Actions	Audit Committee Di	ashboard Manager	nent Dashboard	Manage Audits				
>	Rev	view NAICS co	ncentration re	eport								C-36.1	IN PROGRESS		
	Detai	Is Trending & Analysis	Manage Assessment	ts Relationship Graph	History	Communication	;								
Control Details					Testing	Summary Do	cument Requests	Related Data	Sampling Guidance						
Description				Test											
Review NAICS concentration report			Uniq	ue ID Name		# of Samples Tested	# of Samples Failed	Working Pap	ers		Test Result				
					T-4.1	Review of informatio		10	5	Internal Au Tracker.xlsx	udit Management Artil	ice .	• Fail		
4	_	Control Owner				Q ADD EXISTING T	EST + CR	EATE NEW						_	+



2. From the *Add Existing Test* pop-up, enter a test name in the **Search** field if the test you are looking for is not listed under the 24 most recently created test list.



	(Q Search	000	\$ @ L
Internal Audit Management v Risk Assessment Audit Plan Planning	Fieldwork Reporting Issues & Actions Audit Committee D	Dashboard Management Dashboard Manage Audits	
Review NAICS concentration report		ADD EXISTING TEST	
2		Q. Start typing to find an existing Test	î
Details Trending & Analysis Manage Assessments Relationship Graph	History Communications	Showing 24 most recently created Test If you don't see what you were searching for, try searching from all Tests above.	-
Control Details	Testing Summary Document Requests Related Data	in you can cace what you were scareding to, by scareding normal residuatore.	
		(Trag) Review of contract approval process	ACTIVE
Description	Test		+ ADD
Review NAICS concentration report	Unique ID Name # of Samples Tested	Te Confirm that review of purchasing agreements is	ACTIVE
	T-4.1 Review of critical IS 10	completed periodically	
	information		+ ADD
Control Owner	Q ADD EXISTING TEST + CREATE NEW		
Q 🔮 Internal Controls First Line Users (Limited User) 🛛 ×		Review of operating and procedures manual	+ ADD
Tested By	Total Samples Planned		+ AUU
Internal Controls Team		ASSESSMENTS ~	
	Sampling Justification		
Control Attributes		(16) Walkthrough of documentation facilities	ACTIVE
Document how the control operates within the organization. Provide any necessary attachments/web links to support this.			+ ADD

Search Field

3. Click the + Add link to add the test to the control.

rnal Audit	t Management 🗸 🗸	Risk Assessment Au	sit Plan Planning	Fieldwork	Q Search Reportin	ng Issues & Act	ions Audit Committee D	Dashbo	ooo) ard Management Dashboard Manage Audits	\$ 0	-
Povio		centration rep	ort					A	DD EXISTING TEST		
vevier	W NAICS COIL	centration rep							Q. Start typing to find an existing Test)	
Details	Trending & Analysis	Manage Assessments	Relationship Graph	History	Communi	cations		s	Showing 24 most recently created Test		
				Testing	Summary	Document Reque	sts Related Data	н	If you don't see what you were searching for, try searching from all Tests above.		
Control	Details			resting	Summary	Document Reque	Neiated Data		Review of contract approval process	ACTIVE	
Description					Test				-		L
Review NAICS concentration report				Unique ID Name # of Samples Tested			# of Samples Tested	4 k			
									Confirm that review of purchasing agreements is	ACTIVE	
Control Dwner					T-4.1 Review of critical IS 10				completed periodically	+ ADD	
					Q ADD EXISTING TEST + CREATE NEW						
Q Minternal Controls First Line Users (Limited User) ×									(1-7) Review of operating and procedures manual		
					Total Samples Planned						
Tested By				15					ASSESSMENTS ~		
Internal Controls Team v					Sampling Justification						
Contro	ol Attributes							1	(T+6) Walkthrough of documentation facilities	ACTIVE	
		es within the organization. Pr								+ ADD	

+ Add Link

4. Click the **x** icon to close the **Add Existing Test** pop-up.

	Q Search	000	\$
ernal Audit Management v Risk Assessment Audit Plan Planning	Fieldwork Reporting Issues & Actions Audit Committee D	Dashboard Management Dashboard Manage Audits	
Review NAICS concentration report		ADD EXISTING TEST	
Neview NAICS concentration report		Q. Start typing to find an existing Test	\supset
Details Trending & Analysis Manage Assessments Relationship Graph	History Communications	Showing 24 most recently created Test	
Control Details	Testing Summary Document Requests Related Data	If you don't see what you were searching for, try searching from all Tests above.	
Control Details		19 Review of contract approval process	ACTIVE
Description	Test		+ ADD
Review NAICS concentration report	Unique ID Name # of Samples Test	ASSESSMENTS ~	
	T-9.1 Review of contract approval 25	_	
6	T-4.1 Review of critical IS information 10	10 Confirm that review of purchasing agreements is completed periodically	ACTIVE
Control Owner	1-4.1 Review of critical IS information 10	completed periodically	+ ADD
Q 🛛 🔮 Internal Controls First Line Users (Limited User) 🛛 ×	Q ADD EXISTING TEST + CREATE NEW		
Tested By		(1-7) Review of operating and procedures manual	ACTIVE
Internal Controls Team ~	Total Samples Planned		+ ADD
Control Attributes	15	ASSESSMENTS V	
Control Attributes	Sampling Justification		
Document how the control operates within the organization. Provide any necessary attachments/web links to support this.		T-6 Walkthrough of documentation facilities	ACTIVE

X Icon

5. The selected test will be listed under the **Test** table on the control.



		000	\$ @
ernal Audit Management v Risk Assessment Audit Plan Planning	Fieldwork Reporting Issues & Actions	Audit Committee Dashboard Management Dashboard Manage Audits	
Review NAICS concentration report		•	C-36.1 IN PROGRESS
Details Trending & Analysis Manage Assessments Relationship Graph	History Communications		
Control Details	Testing Summary Document Requests	Related Data Sampling Guidance	
Description	Test		
Review NAICS concentration report	Unique ID Name	# of Samples Tested # of Samples Failed Working Papers	Test Result
	T-9.1 Review of contract approval process	25 4	ullet Fail $ightarrow$
Control Owner	T-4.1 Review of critical IS information	10 5 Internal Audit Management Artilice Tracker xlsx	● Fail ×
Q 🛛 🖀 Internal Controls First Line Users (Limited User) 🛛 ×	Q ADD EXISTING TEST + CREAT	E NEW	

Test Table