

Creating a New Test

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Overview

A Member of the Internal Audit Team will review an Internal Audit Project and add a new test to a control, determining the control's effectiveness.

Related Information/Setup

Please refer to the Sending an Internal Audit Test for Review article for further information on sending a test for review.

Please refer to the Final Test Review as an Internal Audit Lead article for further information on reviewing a test.

User Account Requirements

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

Navigation

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

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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.



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Internal Audit Management 🛛 🗸	Risk Assessment	Audit Plan	Planning	Fieldwork	Reporting	Issues & Actions		
Risk Assessment	ous auditable entities &	view results fron	n the Risk Manag	ement team's ri	sk assessments to	o prioritize a risk-base	ed audit plan.	
C-1 Riverdale Industries	ssment Grid					Sorted by Uniq	ue ID (Ascer	e
Audit Universe Heat Map						Sorted by Uniq	ue ID (Ascer	iding)
C-1 Riverdale Industries							Activ	e

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.

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Internal Audit Management 🛛 🗸	Risk Assessment	Audit Plan	Planning	Fieldwork	Reporting	Issues & Actions	•••
Fieldwork Perform testing activities for audits that a	are in progress.						
Audits in Progress View the full scope of an audit (tree vie IA-1 Operations Audit 20 OPERATIONS	ew). 24 Q1					Sorted by Uniq	ue ID (Ascending) Fieldwork
Audit Project Overview						Sorted by Uniq	ue ID (Ascending)
IA-1 Operations Audit 20 OPERATIONS	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 control.
- 5. Click the control to open the **Control** *Details* tab. The process is indicated with a **C** icon next to the control name on the node.



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Review NAICS concentration report S f most recent purchasing agreements		Description	Test					
Constraints of the operation of a key IT general co Action Plan 003		Review NAICS concentration report	Unique Name ID	# of Samples	# of Samples	Working Papers	Test Result	
Most recently approved operating and procedures O No Formal Review Process	· · ·		Destaurad	Tested	Failed	🕅 Internal Audit		
Review of contract approval process Review of critical IS information		Control Owner	T-4.1 IS informa	tion 10	5	Management Artilce Tracker.xlsx	 Fail 	
Review of geographical concentration		٩	Q ADD EXISTIN	G TEST +	CREATE NEW			
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Control Node

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

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Most recently approved operating and procedures							
Review of contract approval process							
Review of critical IS information Review of geographical concentration		Process Ow	mer				18
O Customer success		Q					
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Collapse Icon

Creating a New Test

1. From the *Control Details* screen, click the + **Create New** link on the *Testing Summary* tab.

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O Revie	w of critical IS information		Contro	Owner				_		Tracker.xisx		
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- Strategic cha	inters are documented		101	arnal Controls First Line Lise	×							

+ Create New Link

2. From the *Create a New Test* pop-up, enter a test name in the **Test Name** field.



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Internal Audit Management v Risk Assessment Audit Plan Planning	Fieldwork Reporting Issues & Actions Audit Committee Dashboard	
Q. Search	TEST	>
O- Operations Audit 2024 Q1	Create a New Test	T-XXX ***
Operations Operations Operation Operation Operation	Test Details	
Review NAICS concentration report	Please select the team that is going to perform this test.	
S most recent purchasing agreements O O Deficiency in the operation of a key IT gener	Test Name	
e Action Plan 003		
Most recently approved operating and proce ON Formal Review Process	Tested By	~
Review of contract approval process		
Ceview of geographical concentration		CANCEL
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Test Name Field

3. Select a user or user group responsible for testing the test from **Tested By** dropdown menu.



Tested By Dropdown Menu

4. Enter the tests step-by-step procedure in the **Test Procedure** field.



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Output Customer success					
Fiduciary Risk					
 Operational Effectiveness 					
+ G Signature approval on checks					
+ OPrivacy Risk	~				6

Test Procedure Field

5. Click the **Create** button to create the new test and add it to the control.

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Operations Audit 2024 Q1	Create a New Test
Business Interruption	Test Details
Concentration Risk G Review NAICS concentration report	Please select the team that is going to perform this test.
 5 most recent purchasing agreements 	Test Name
O Deficiency in the operation of a key IT general c	78 Review of Contract Approval Process
e Action Plan 003	
Most recently approved operating and procedur	Tested By
O No Formal Review Process	Internal Audit Team 🗸 🗸
Review of critical IS information	
Concentration	
Outlegic endicate declinenced	s Test Procedure
Fiduciary Risk	 Obtain a sample of twenty-five approved contacts. Review the contracts to confirm that they were approved in accordance with the company
Operational Effectiveness	- policy
G Signature approval on checks	3. Follow up on exceptions, as necessary.
Privacy Risk	
 Structural Risk (Asset/Liability mismatch) 	
 Adherence to structural policy 	CREATE
Review of operating and procedures manual	
	CANCEL

Create Button