Submitting an Issue for Review Using the Portal

Last Modified on 07/12/2024 4:57 pm EDT

Overview

After creating an issue for an Internal Audit Project's Control, a member of the Interna Audit Team must review the issue and add further information before the issue can be submitted for review.

User Account Requirements

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

Related Information/Setup

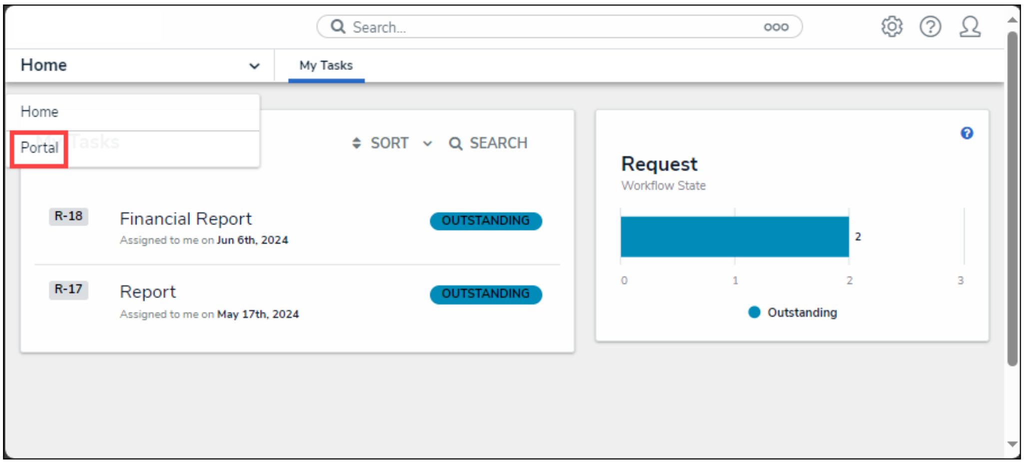
Please refer to the Creating a New Issue article for more information on how to add a new issue to an Internal Audit Project's Control.

Please refer to the Creating a New Corrective Action article for more information on creating a new corrective action for an issue.

Please refer to the Using an Existing Corrective Action on an Issue article for more information on using an existing corrective action for an issue.

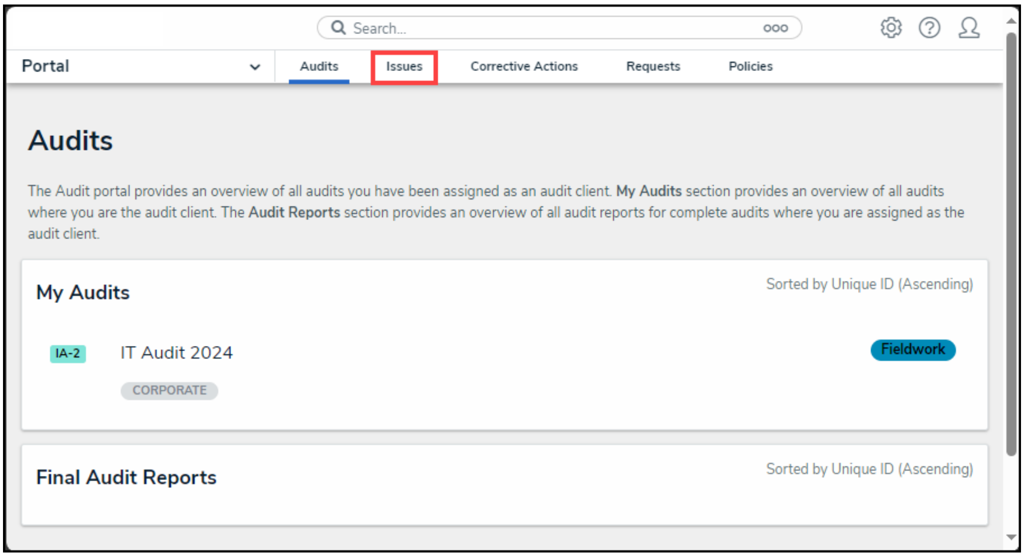
Navigation

1. From the ***Home*** screen, click the **Home** dropdown and select the **Portal** link.



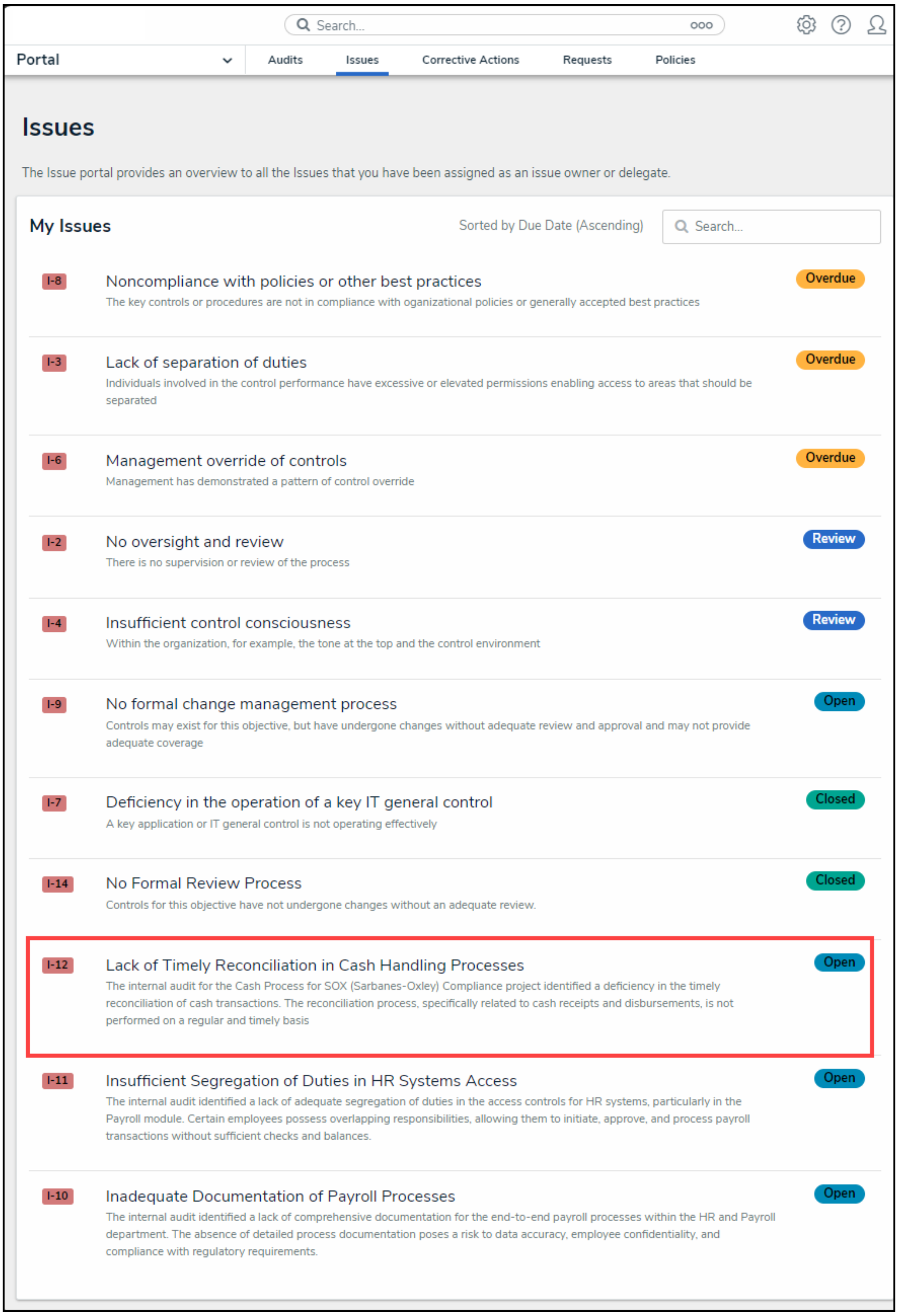
Home Dropdown

2. From the ***Audits*** screen, click on the **Issues** tab.



Issues Tab

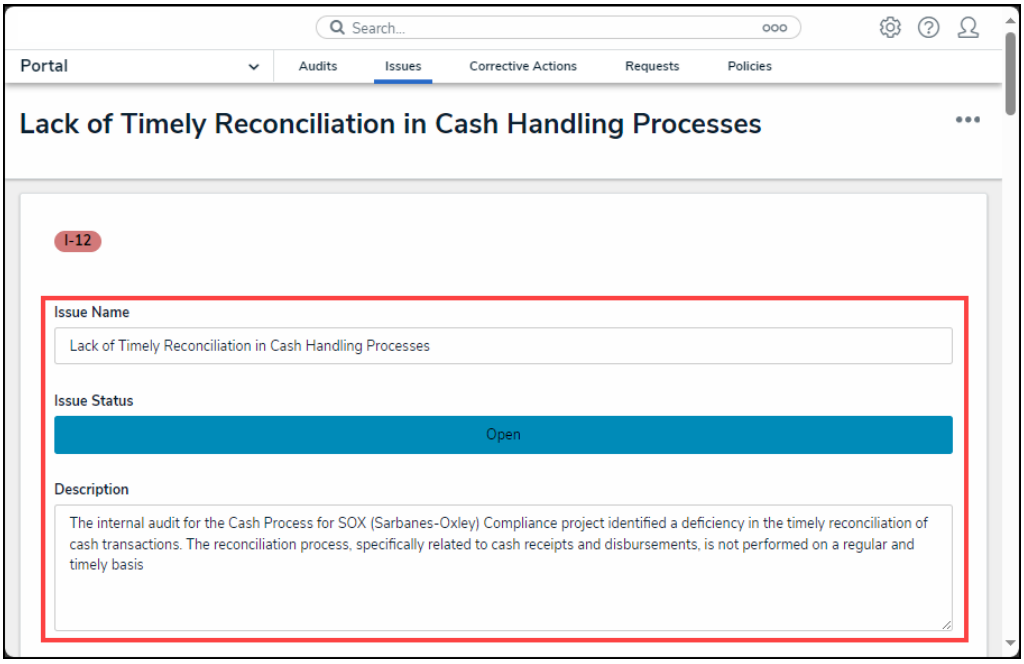
3. From the ***Issues*** screen, click on an open issue from the ***My Issues*** section.



Open Issue

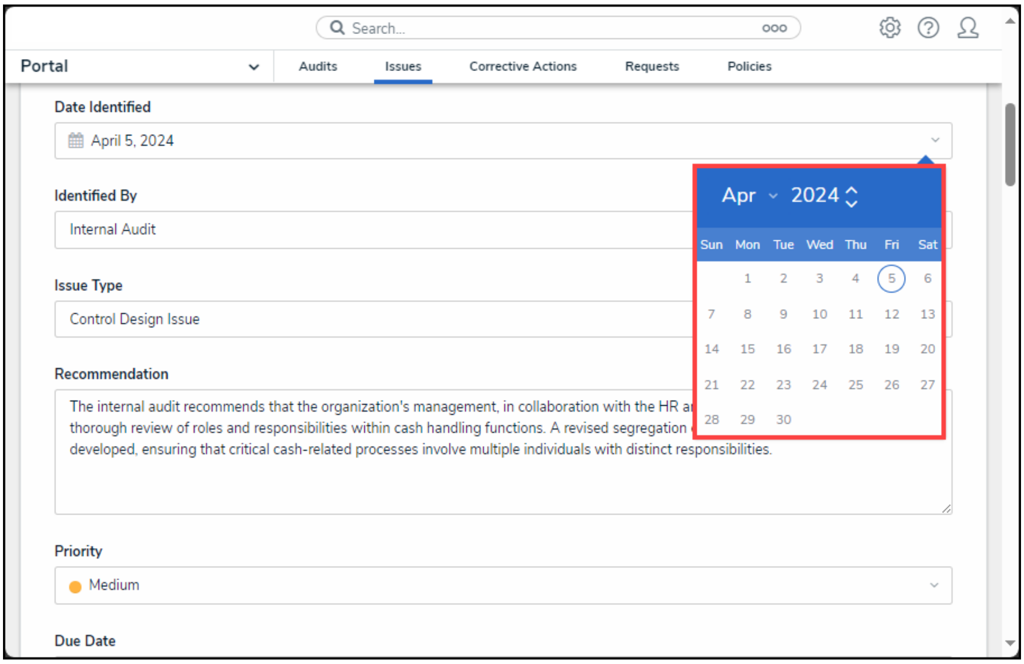
Submitting an Issue for Review

1. From the ***Issues*** screen, review the following fields:
    - **Issue Name:** The issue's name.
    - **Issue Status:** The issue's current workflow status.
    - **Description:** Enter a brief description outlining the issue.



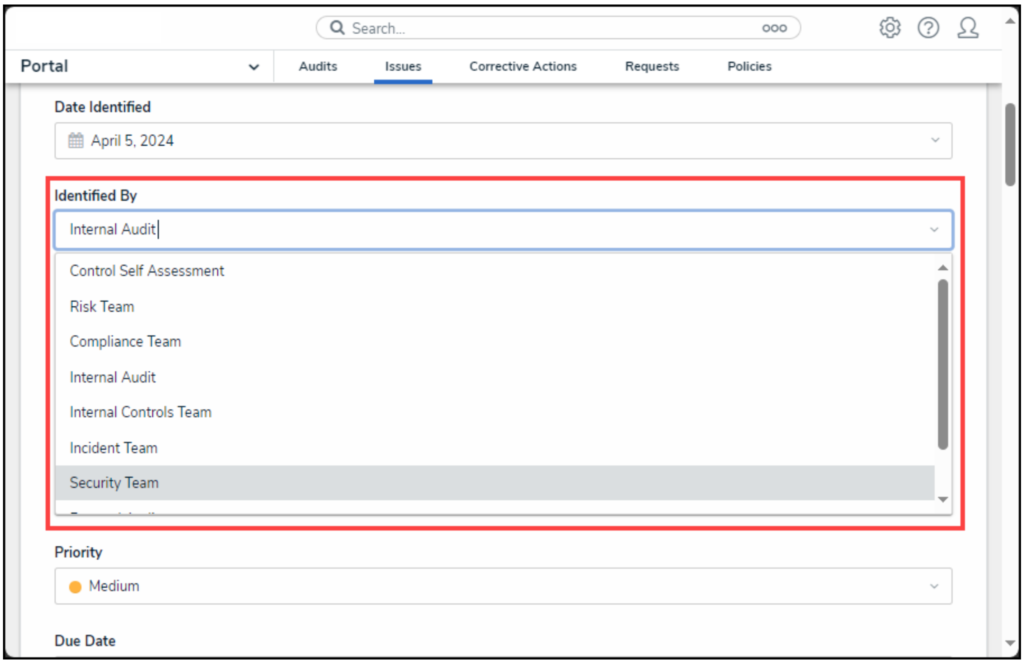
Review the following Fields

2. Select the date the issue was identified from the ***Calendar*** pop-up under the **Data Identified** field by clicking on a **Date**.



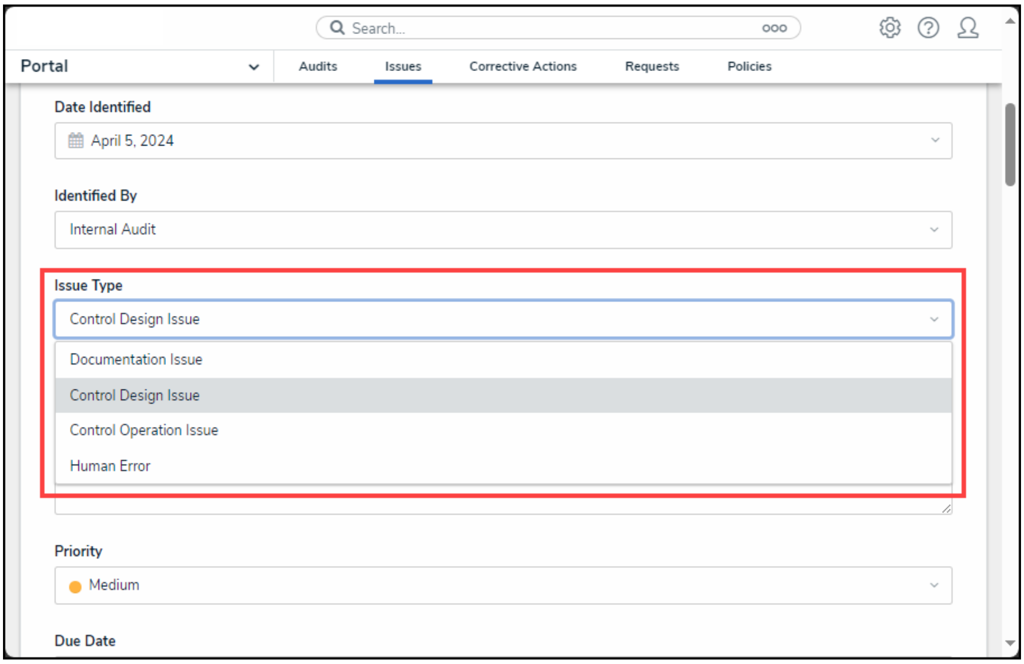
Calendar Pop-up

3. Select the user group who initially identified the issue from the **Identified By** dropdown menu.



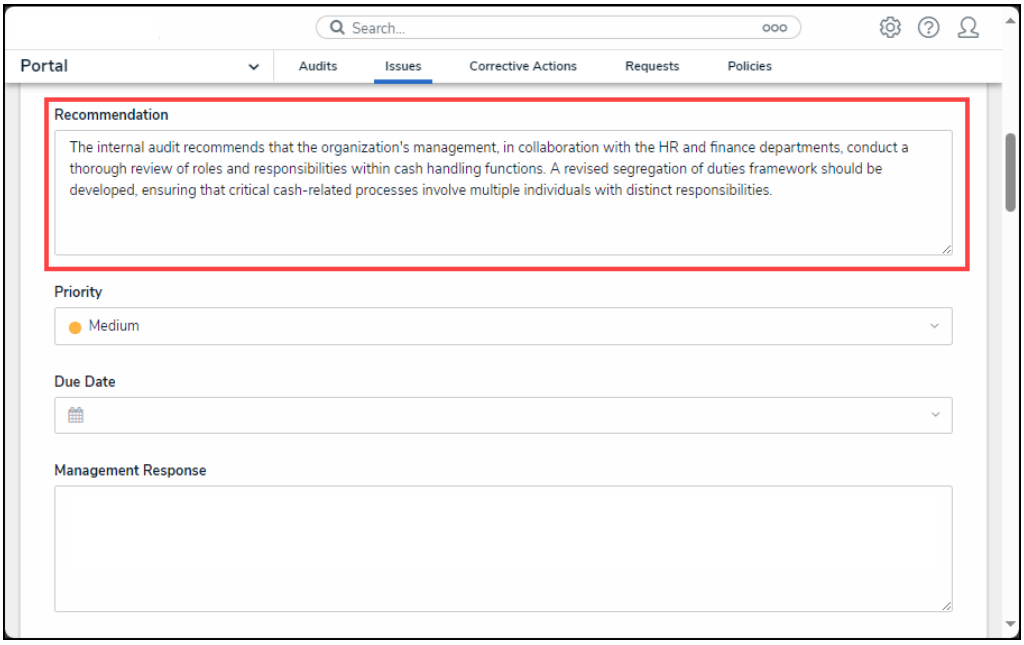
Identified By Dropdown Menu

4. Select an issue type from the **Issue Type** dropdown menu to help identify the issue within the system.
    - Documentation Issue
    - Control Design
    - Issue Control
    - Operation Issue
    - Human Error



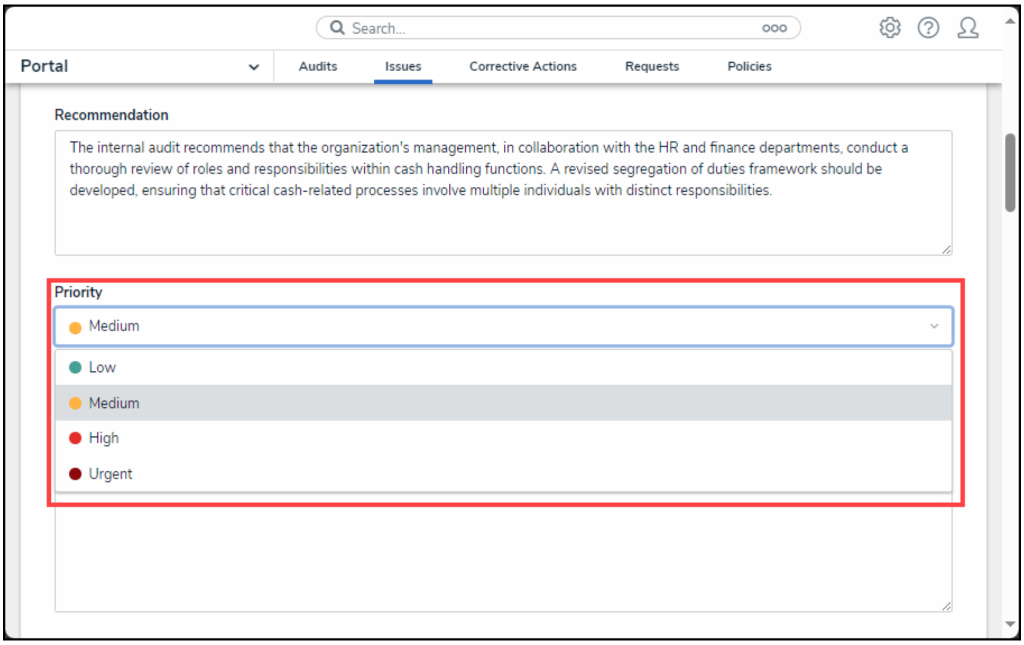
Issue Type Dropdown Menu

5. Enter a brief recommendation used to address the issue in the **Recommendation** field. The **Recommendation** field is a free form field.



Recommendation Field

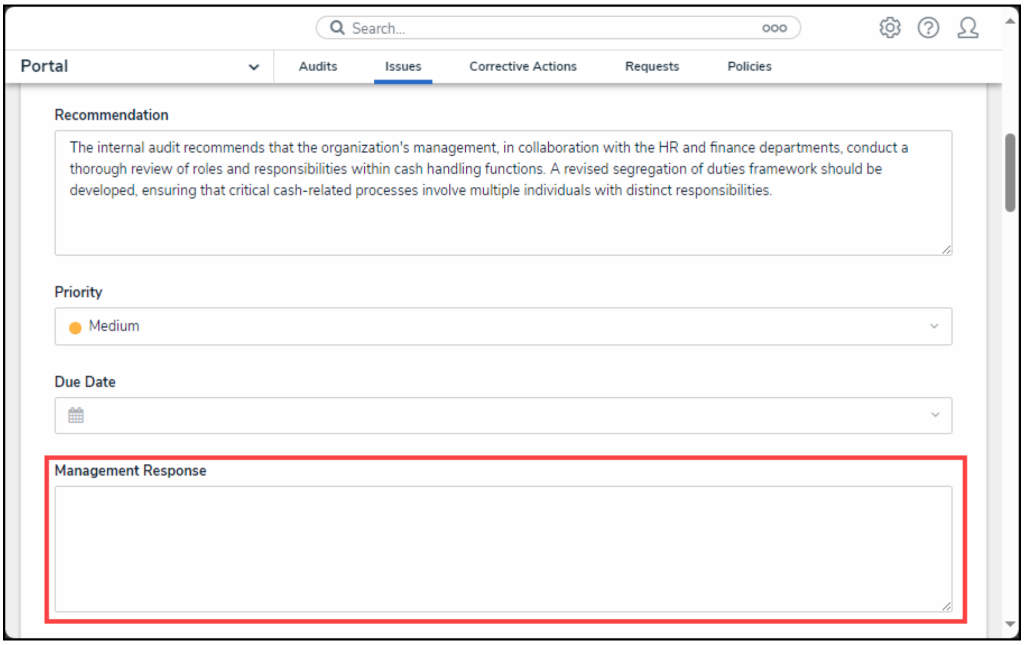
6. Select an issue priority indicating the severity of the issue (e.g., Low, Medium, High, or Urgent) from the **Priority** dropdown menu.



Priority Dropdown Menu

7. Select the date the issue must be resolved from the **Calendar** pop-up under the **Due Date** field by clicking on a **Date**.
8. Management will enter a response to the issue and resolution in the **Management**

Response field. User may see information in this field if an issue was sent for review and sent back to the owner requesting further information.



Management Response Field

9. Select the date the issue was resolved from the ***Calendar*** pop-up under the **Issue Resolution Date** field by clicking on a **Date**. The **Issue Resolution Date** field should be filled out just before the issue is completed.
10. Users can attach an image to the issue by dragging and dropping an image in the **Issue Field Photo** field or clicking the **Drag an image here or click to select** link and selecting an image from the connected PC. The maximum size for Files is 100 MB.

Issue Field Photo Field

11. **(Optional)** Hover the cursor over an image and click the **Click to Edit Image** button to edit, rotate, or delete the image.

Click to Edit Image Button

12. Users can attach documents to the issue by dragging and dropping a file in the **Issue Additional Attachment** field, clicking the **Drag an image here or click to select** link and selecting an image from the connected PC, or by clicking the **+ Add File** link. The maximum size for Files is 100 MB.

Issue Additional Attachment Field

9. The **Time to Fix** field will display a status which indicates the time it took (Date Complete - Date Identified) to resolve the issue. This field will be filled out once the issue is completed:
    - **Low:** Indicates that it should not take long (below average) to resolve the issue.
    - **Medium:** Indicates that it should take an average amount of time to resolve the issue.
    - **High:** Indicates that it will take a while (above average) to resolve the issue.

Time to Fix Field

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11.

Issue Field Photo

Issues Additional Attachments

Time to Fix

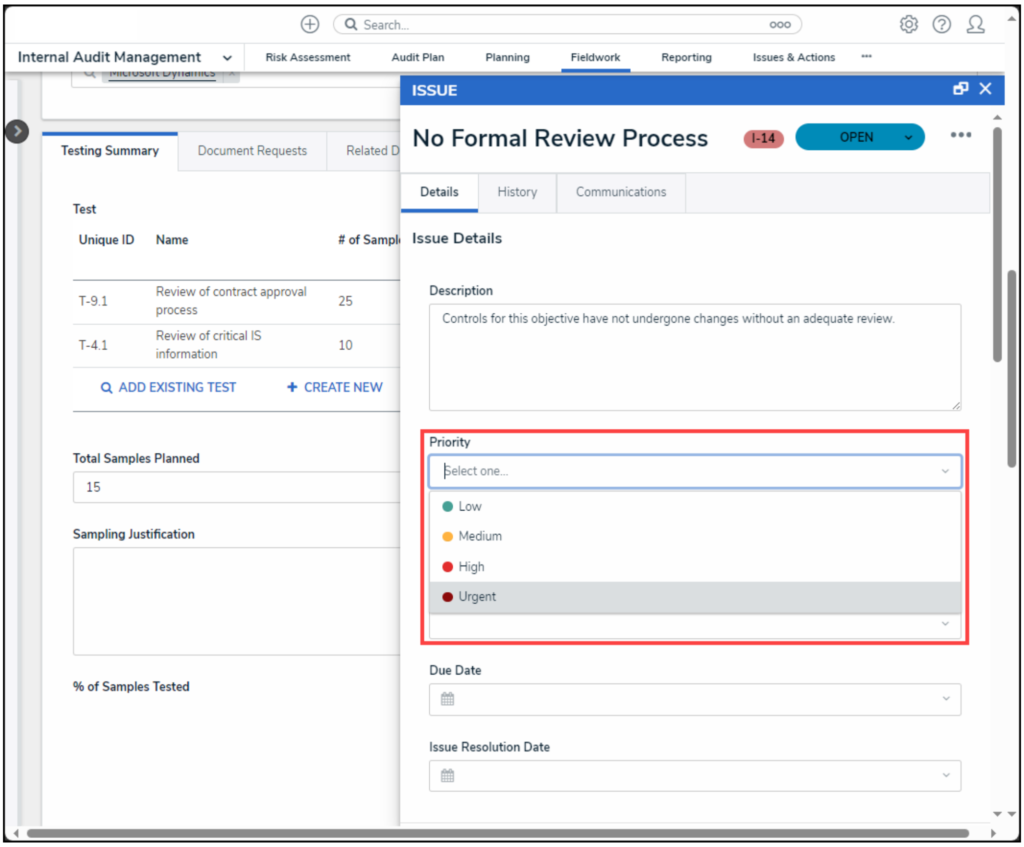
Location

- Count - Past 30 Days
- Count - Past QTR
- Count - Past Year
- Count
- Number of Corrective Actions
- Corrective Actions
- Reviewed On
- Issue Classification
- # Material Weakness
- # Significant Deficiencies
- # Open Actions
- Days Past Resolution
- Overdue Status
- Count
- Issue Status
- **Supporting Attachments:** Users can attach evidence to the issue by dragging and dropping an image in the **Supporting Attachments** field or clicking the **+ Add File** link

and selecting an image from the connected PC. The maximum size for Files is 100 MB. the following file types are not valid (.bat, .exe, .gif, .sh, .dll, or .com).

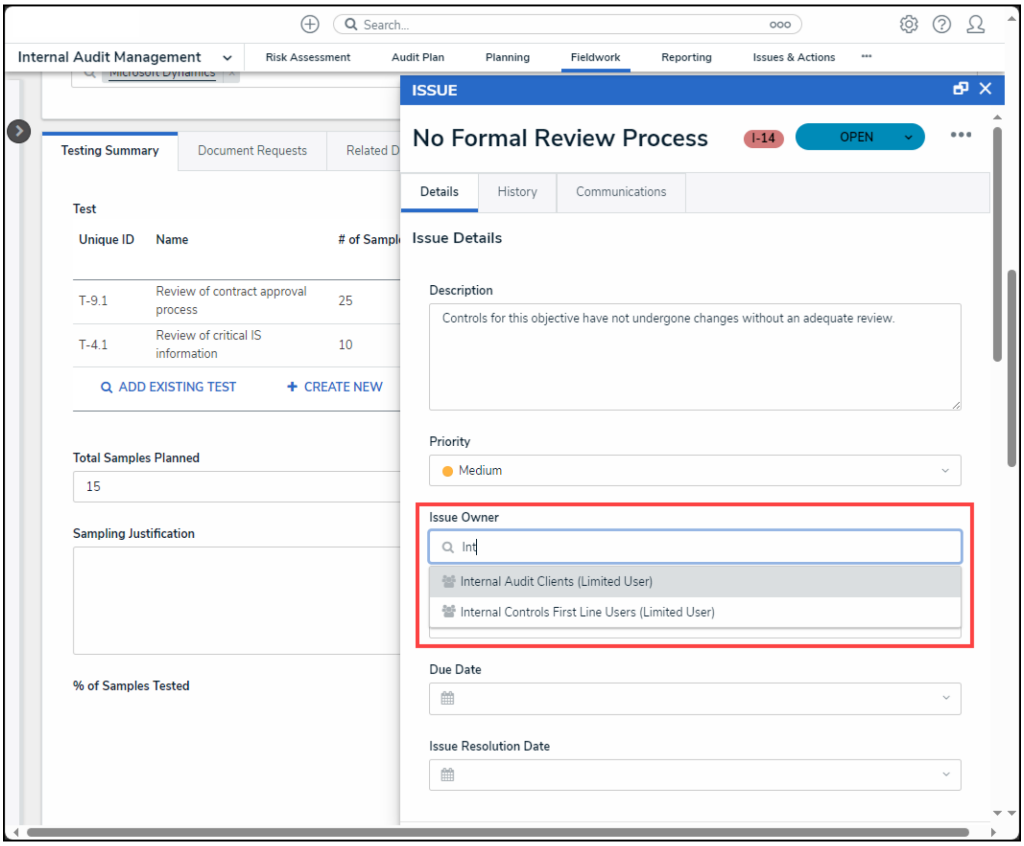
- Completed
- Number of Risks
- Outstanding Actions
- Issue Identification Month
- Overdue Reminder Date
- Security Issue Type
- Close Date/Time
- Archived Date
- Created
- Number of Related Citations

3. From the ***Issues*** pop-up, select an issue priority indicating the severity of the issue (e.g., Low, Medium, High, or Urgent) from the **Priority** dropdown menu.



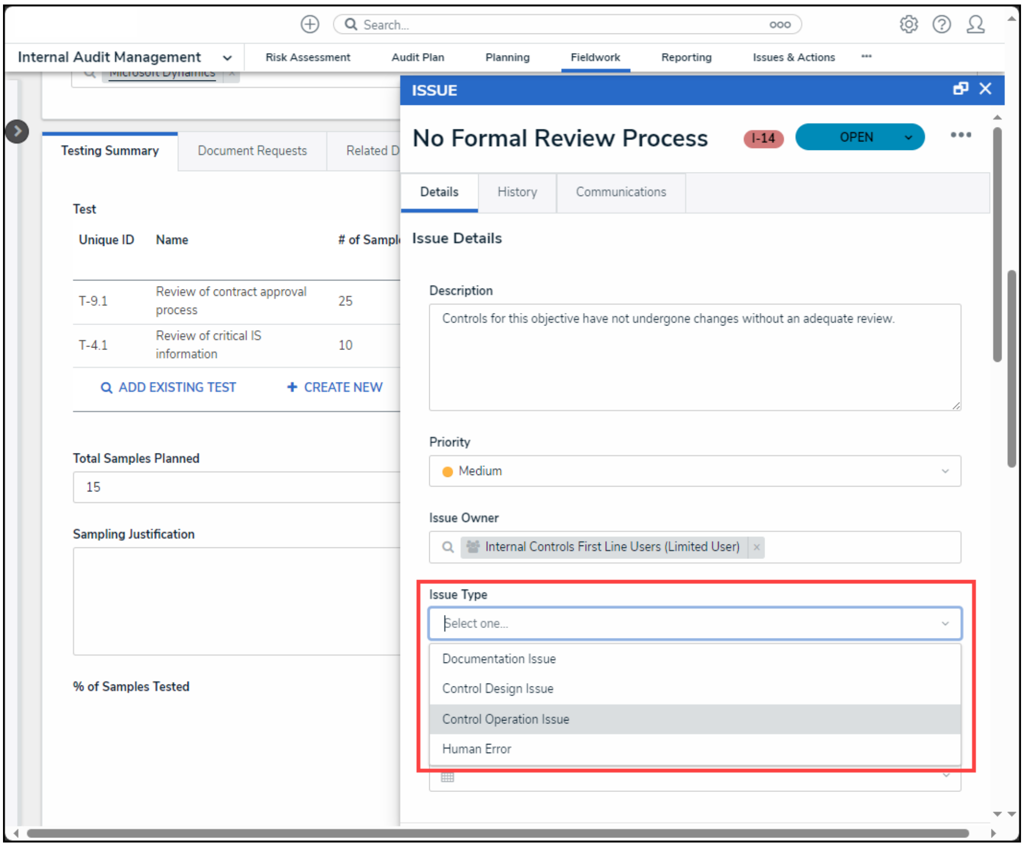
Priority Dropdown Menu

4. Enter the name of a user or user group in the **Issues Owner** field and select the owner(s) from the dropdown menu. The **Issue Owner** is responsible for adding corrective actions to issues, assigning a corrective action owner, and submitting the issues to the Risk Team for review.



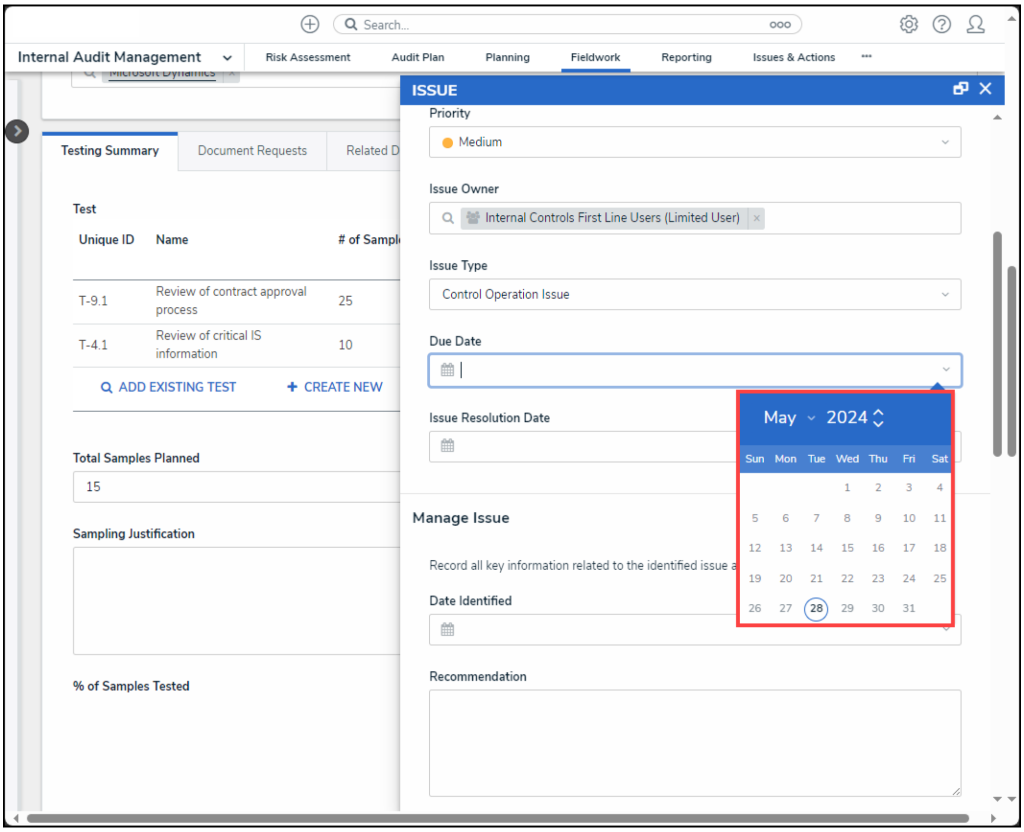
Issues Owner Dropdown Menu

5. Select an issue type to categorize the issue from the **Issue Type** dropdown menu.



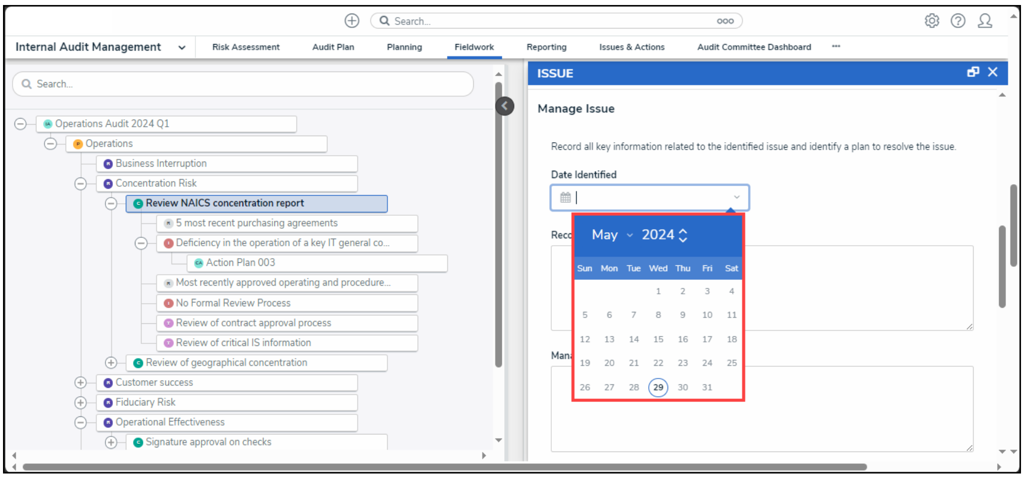
Issue Type Dropdown Menu

6. Select an issue due date from the ***Calendar*** pop-up by clicking on a **Date**.



Calendar Pop-up

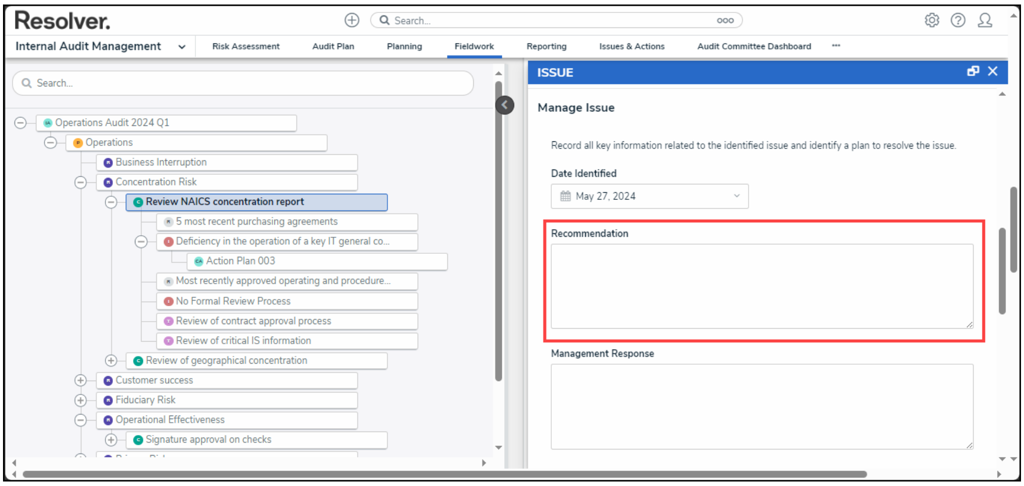
7. Select the date the issue was resolved from the ***Calendar*** pop-up by clicking on a **Date**.
8. From the ***Manage Issue*** section, select the date the issue was identified from the ***Calendar*** pop-up under the **Date Identified** field by clicking on a **Date**.



Calendar Pop-up

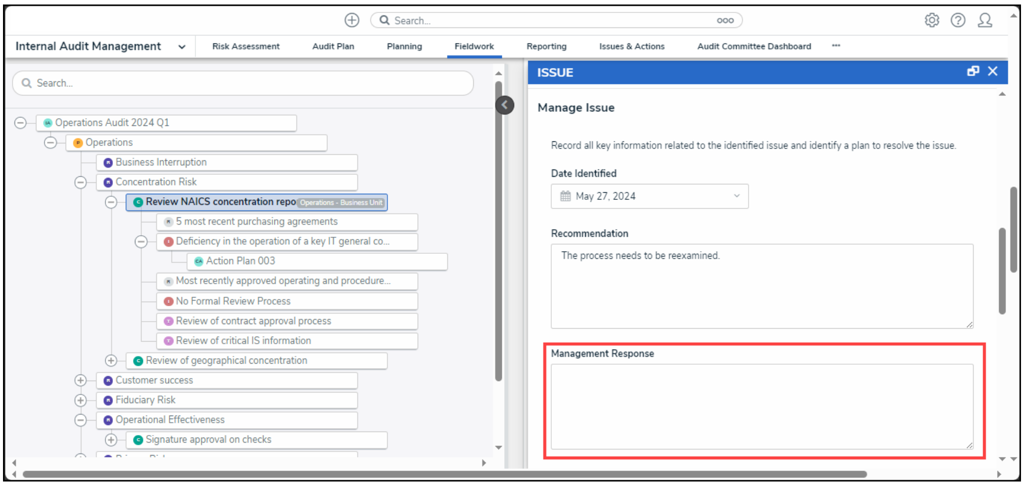
9. Users can enter recommendations, further details, and additional instructions in

the **Recommendation** field text box.



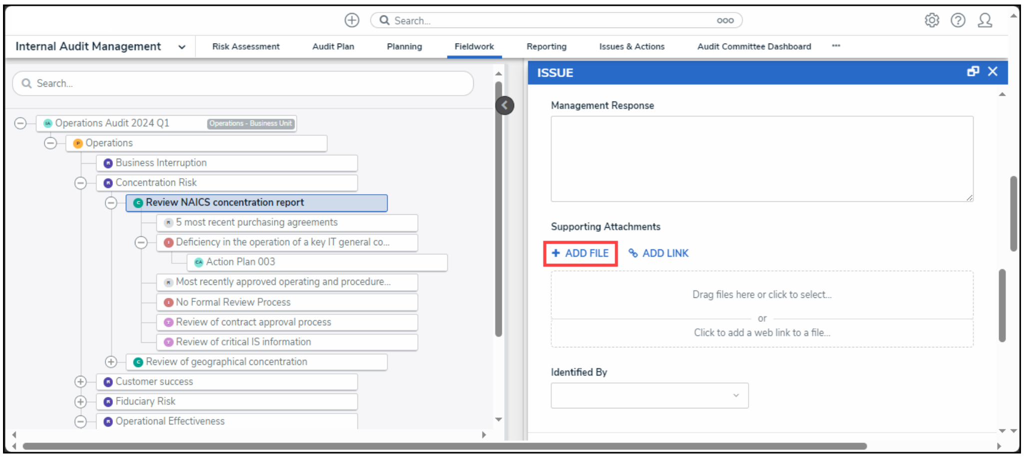
Recommendation Field

10. Management can enter a response in the **Management Response** text box, including further detail and instructions.



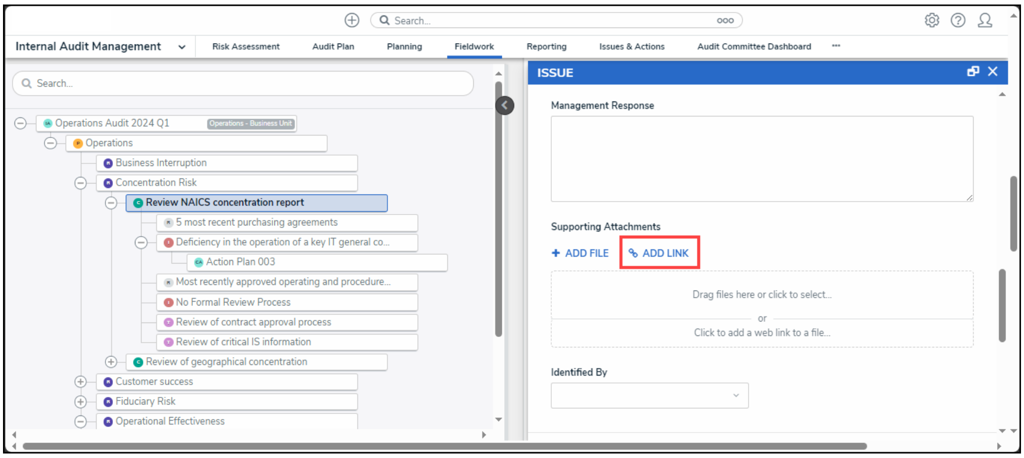
Management Response Field

11. Users can attach evidence to the issue by dragging and dropping an image in the **Supporting Attachments** field or clicking the **+ Add File** link and selecting an image from the connected PC. The maximum size for Files is 100 MB. the following file types are not valid (.bat, .exe, .gif, .sh, .dll, or .com).



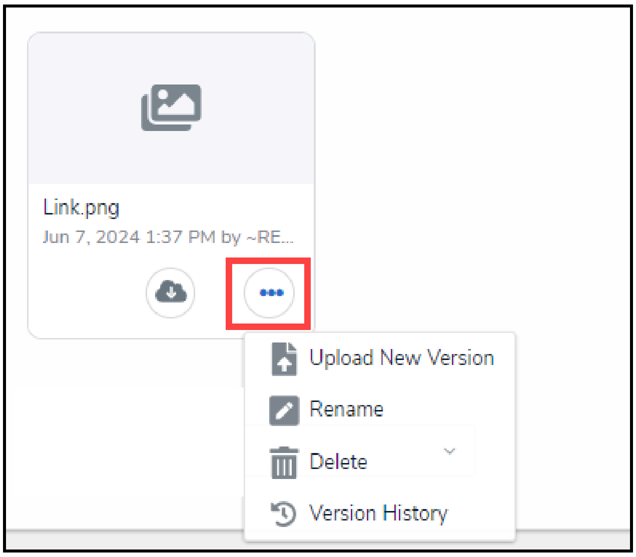
+ Add File Link

12. Users can attach evidence to the issue by clicking on the **Add Link** link to attach a web link to the issue or click the **Click to add a web link to a file** link.



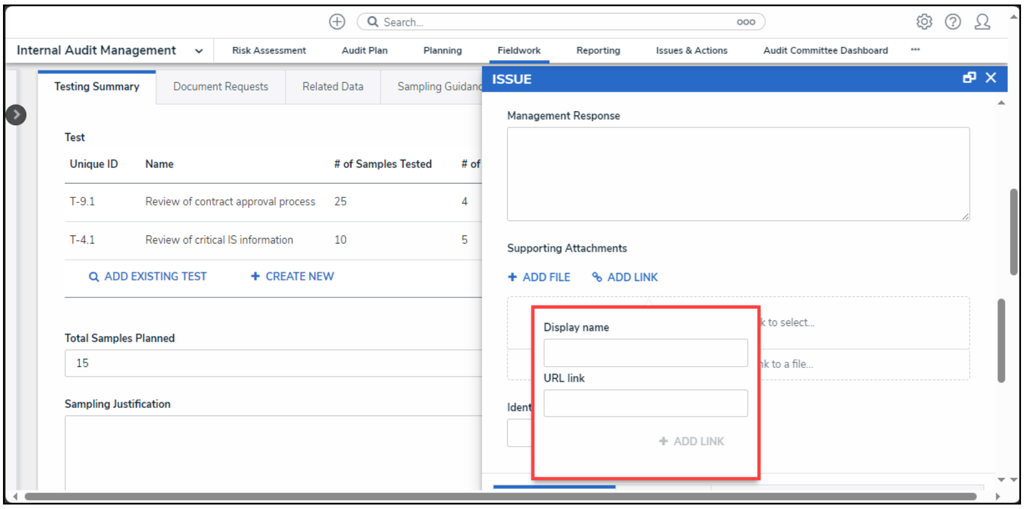
Add Link

13. **(Optional)** Click the **More** icon on the uploaded file card to upload new version, rename, delete, or check version history.



More Icon

14. From the ***Add Web Link*** pop-up, enter a **Display Name** and **URL Link**.



Add Web Link Pop-up

15. Click the **+ Add Link** link to add the web link to the issue.

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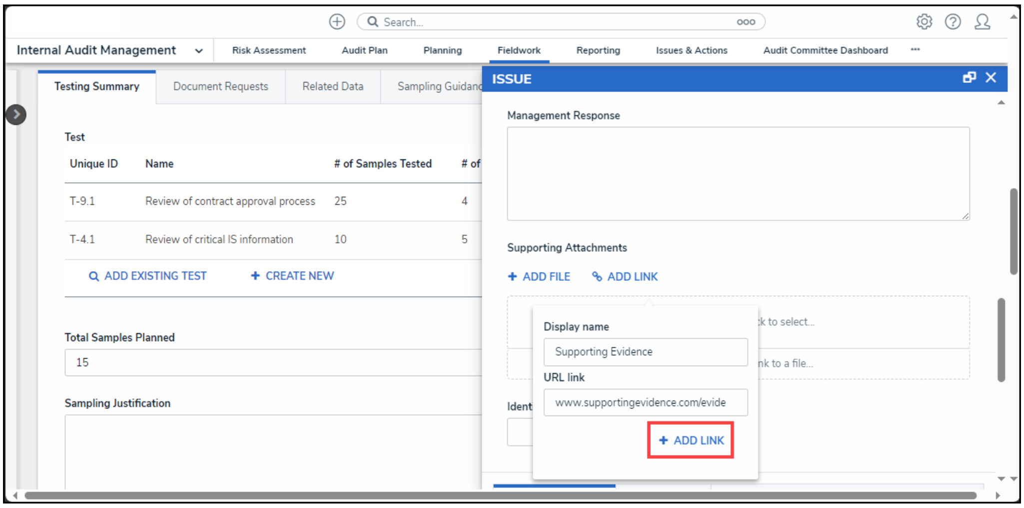
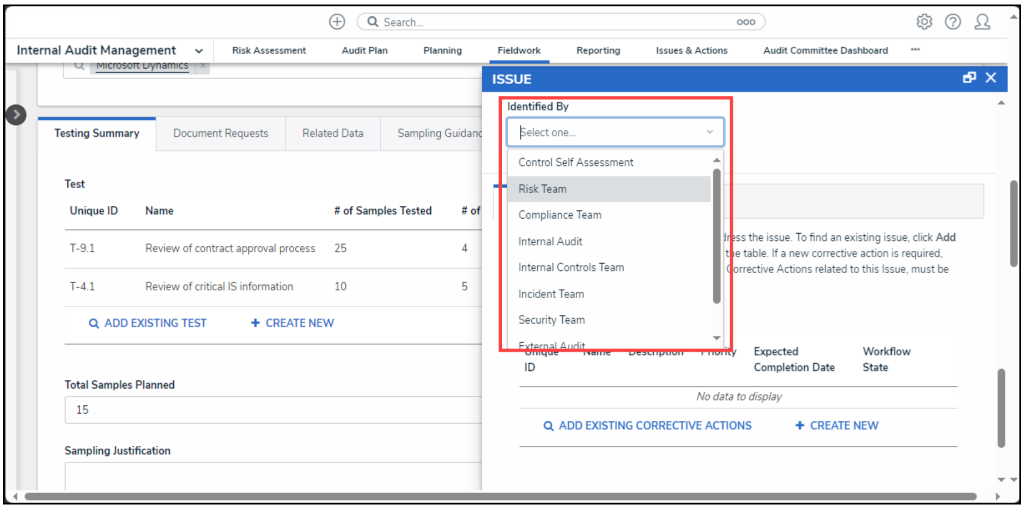


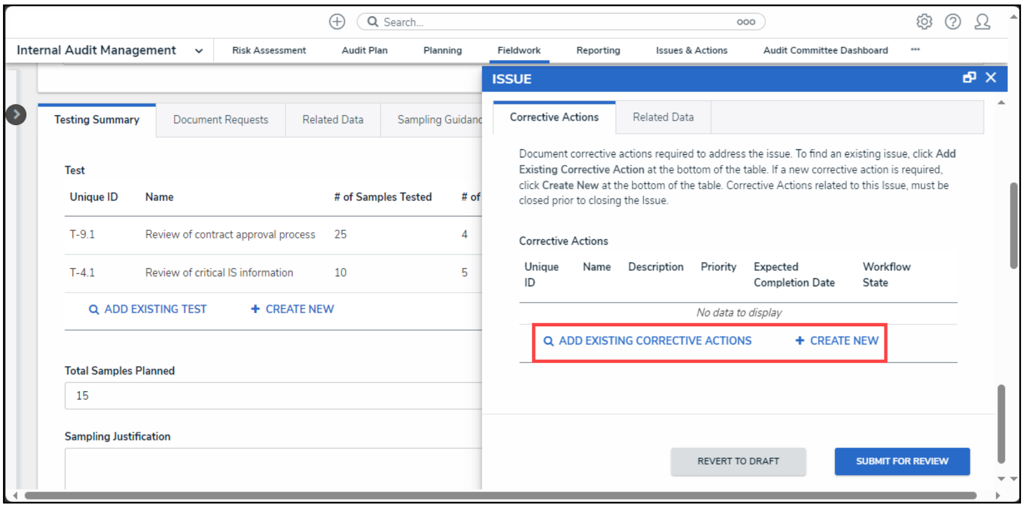
+ Add Link

16. Select the team that identified the issue from the Identified By dropdown menu.



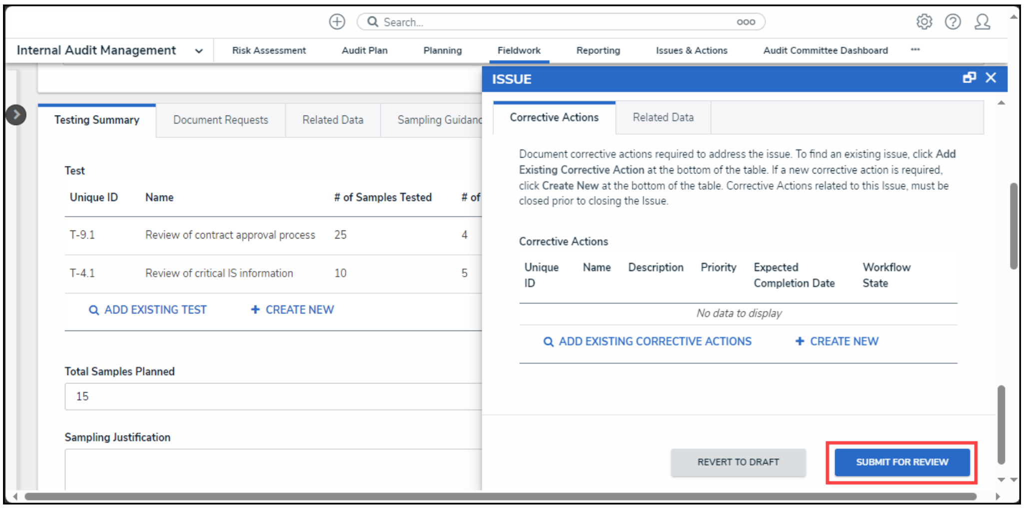
Identified By Dropdown Menu

17. From the ***Corrective Actions*** tab, add an issue correct by clicking one of the following links:
    - **Add Existing Corrective Actions:** Click the **Add Existing Corrective Actions** link to add an existing corrective action to the issue.
    - **+ Create New:** Click the **+ Create New** link to add a new corrective action to the issue.



Corrective Action Links

18. Click the **Submit for Review** button to submit the issue for review.



Submit for Review Button