

# 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 Internal 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

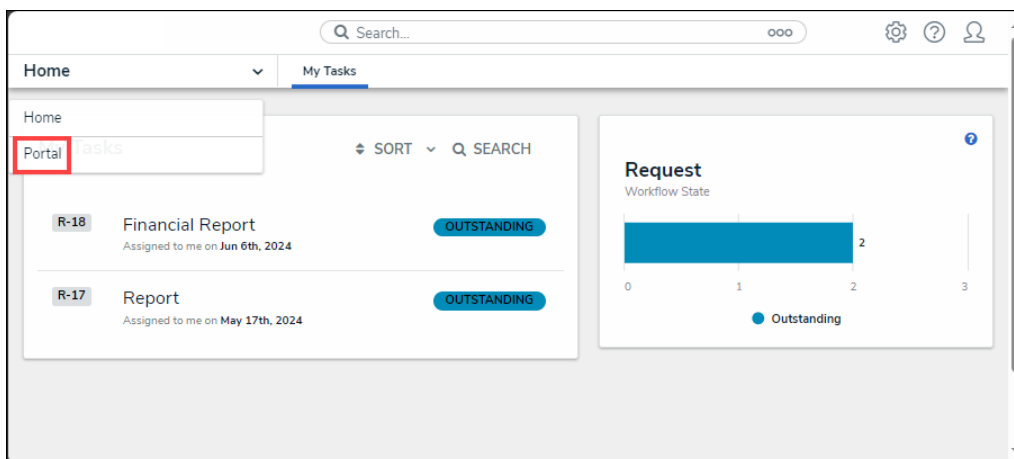
Please refer to the [Creating a New Issue](#) article for more information on how to add a new issue to an Internal Audit Project's Control.

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.

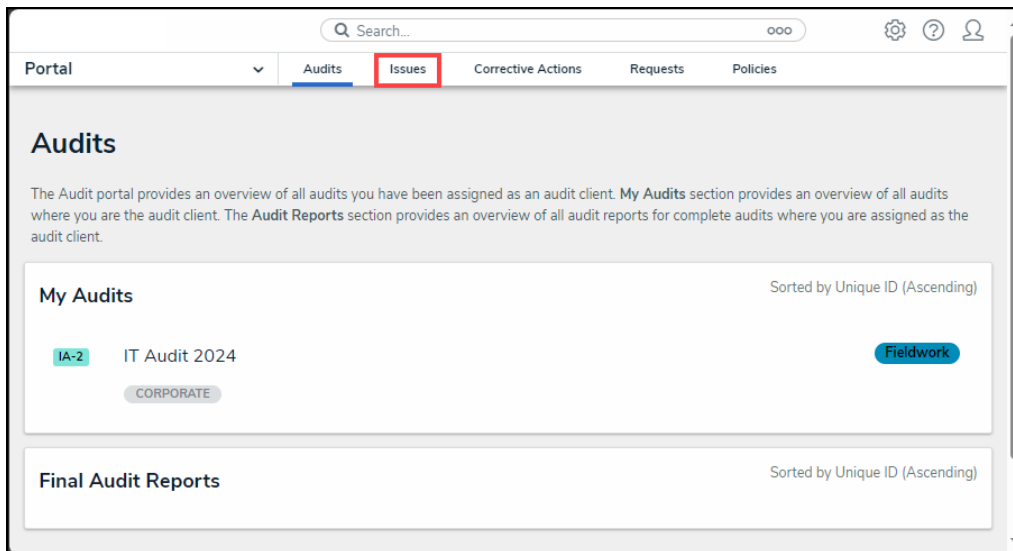
## Navigation

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



*Home Dropdown*

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



*Issues Tab*

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

The screenshot shows the 'Issues' portal in the Resolver system. At the top, there is a search bar and navigation tabs for 'Audits', 'Issues', 'Corrective Actions', 'Requests', and 'Policies'. The 'Issues' tab is selected. Below the navigation, the page title is 'Issues' and a brief description states: 'The Issue portal provides an overview to all the Issues that you have been assigned as an issue owner or delegate.'

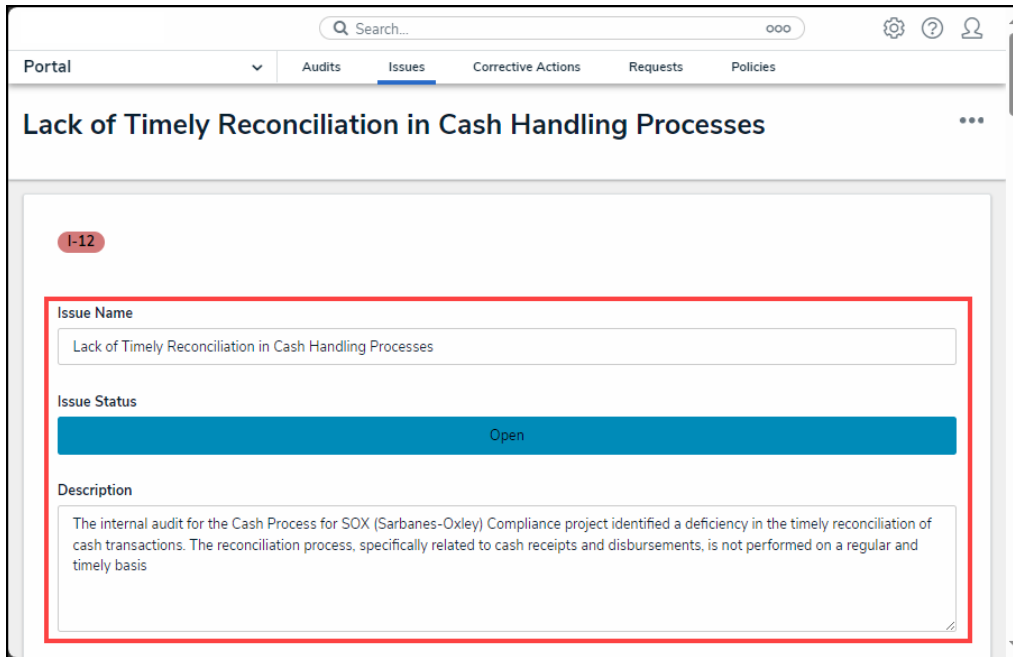
The main section is titled 'My Issues' and includes a sorting option 'Sorted by Due Date (Ascending)' and a search bar. A list of issues is displayed, each with an ID, a title, a description, and a status button. The issue with ID 'I-12' is highlighted with a red border. The status buttons are color-coded: yellow for 'Overdue', blue for 'Review', green for 'Open', and dark green for 'Closed'.

Issue ID	Issue Title	Description	Status
I-8	Noncompliance with policies or other best practices	The key controls or procedures are not in compliance with organizational policies or generally accepted best practices	Overdue
I-3	Lack of separation of duties	Individuals involved in the control performance have excessive or elevated permissions enabling access to areas that should be separated	Overdue
I-6	Management override of controls	Management has demonstrated a pattern of control override	Overdue
I-2	No oversight and review	There is no supervision or review of the process	Review
I-4	Insufficient control consciousness	Within the organization, for example, the tone at the top and the control environment	Review
I-9	No formal change management process	Controls may exist for this objective, but have undergone changes without adequate review and approval and may not provide adequate coverage	Open
I-7	Deficiency in the operation of a key IT general control	A key application or IT general control is not operating effectively	Closed
I-14	No Formal Review Process	Controls for this objective have not undergone changes without an adequate review.	Closed
I-12	Lack of Timely Reconciliation in Cash Handling Processes	The internal audit for the Cash Process for SOX (Sarbanes-Oxley) Compliance project identified a deficiency in the timely reconciliation of cash transactions. The reconciliation process, specifically related to cash receipts and disbursements, is not performed on a regular and timely basis	Open
I-11	Insufficient Segregation of Duties in HR Systems Access	The internal audit identified a lack of adequate segregation of duties in the access controls for HR systems, particularly in the Payroll module. Certain employees possess overlapping responsibilities, allowing them to initiate, approve, and process payroll transactions without sufficient checks and balances.	Open
I-10	Inadequate Documentation of Payroll Processes	The internal audit identified a lack of comprehensive documentation for the end-to-end payroll processes within the HR and Payroll department. The absence of detailed process documentation poses a risk to data accuracy, employee confidentiality, and compliance with regulatory requirements.	Open

*Open Issue*

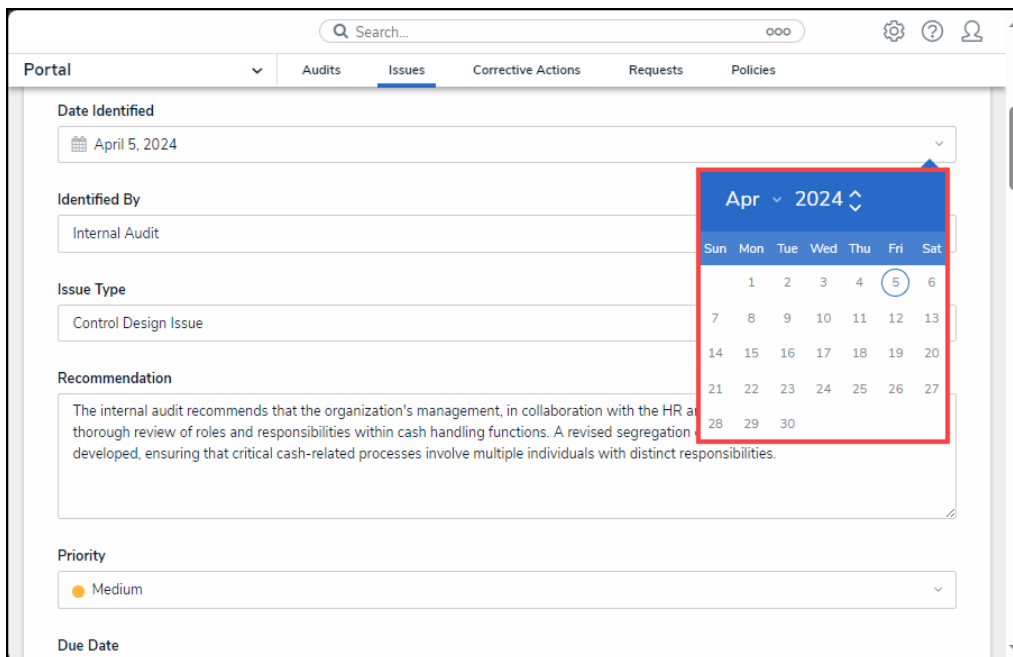
## Submitting an Issue for Review

- 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.



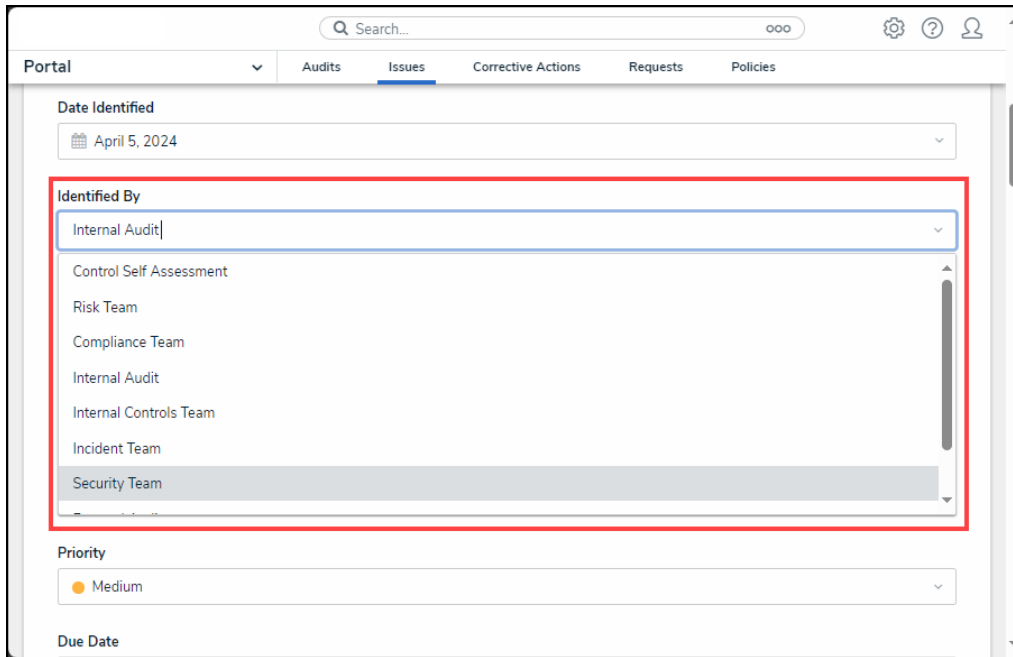
*Review the following Fields*

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



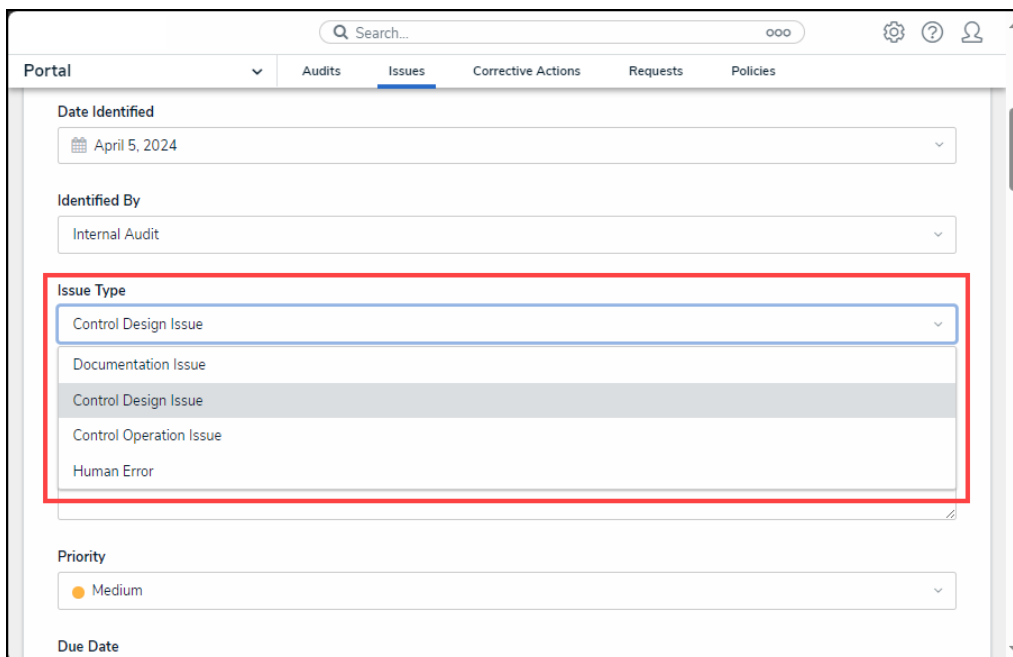
*Calendar Pop-up*

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



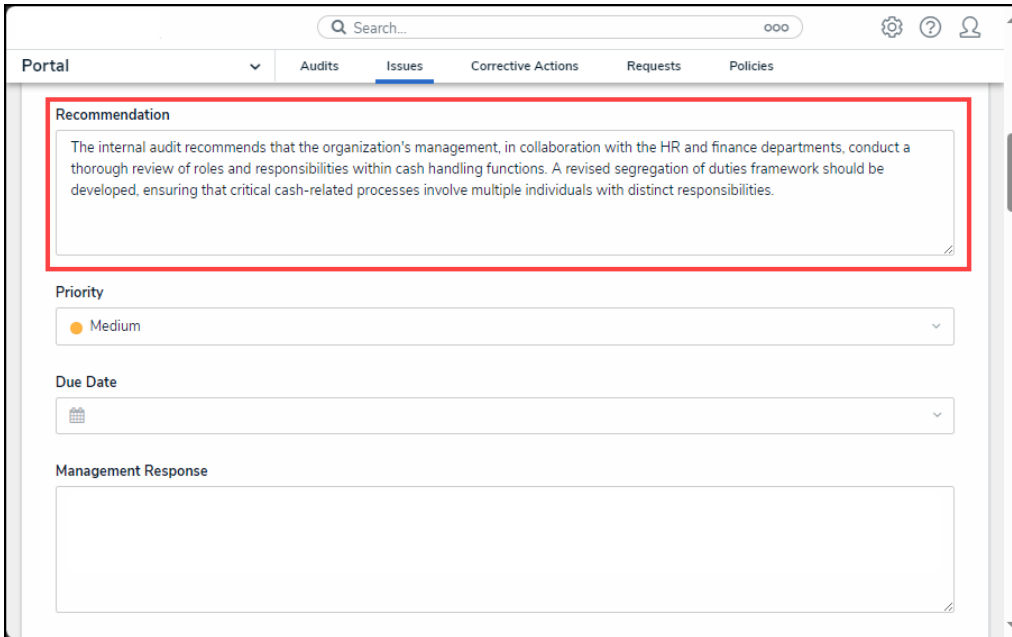
*Identified By Dropdown Menu*

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*

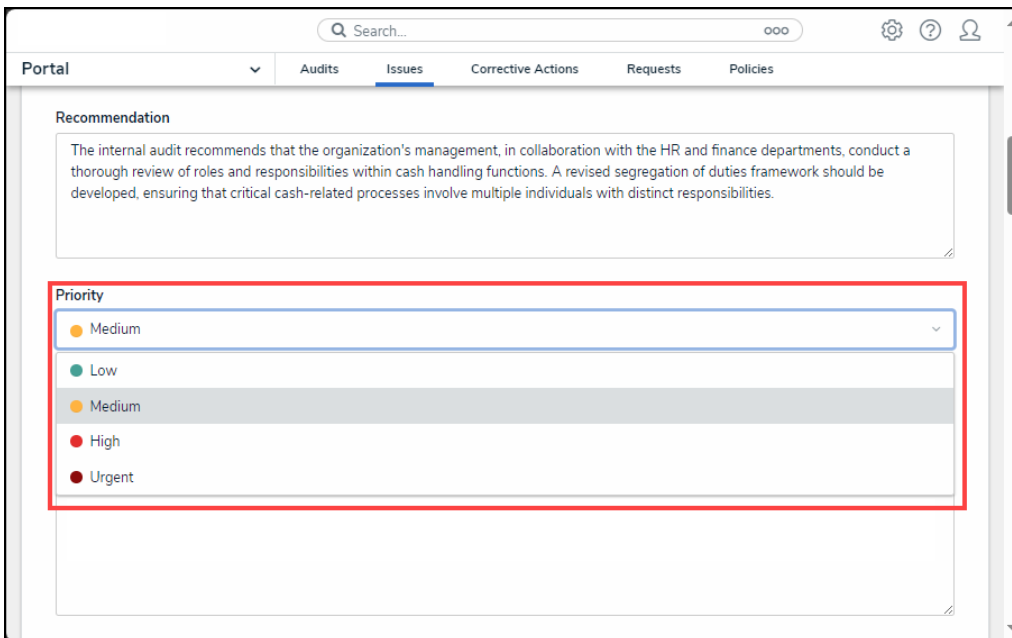
5. Enter a brief recommendation used to address the issue in the **Recommendation** field.  
The **Recommendation** field is a free form field.



The screenshot shows the Resolver portal interface. At the top, there is a search bar and navigation tabs for Audits, Issues, Corrective Actions, Requests, and Policies. The 'Issues' tab is selected. Below the navigation, there is a 'Recommendation' field with a red border, containing the text: 'The internal audit recommends that the organization's management, in collaboration with the HR and finance departments, conduct a thorough review of roles and responsibilities within cash handling functions. A revised segregation of duties framework should be developed, ensuring that critical cash-related processes involve multiple individuals with distinct responsibilities.' Below this field are three other fields: 'Priority' (set to Medium), 'Due Date' (with a calendar icon), and 'Management Response' (an empty text area).

*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.

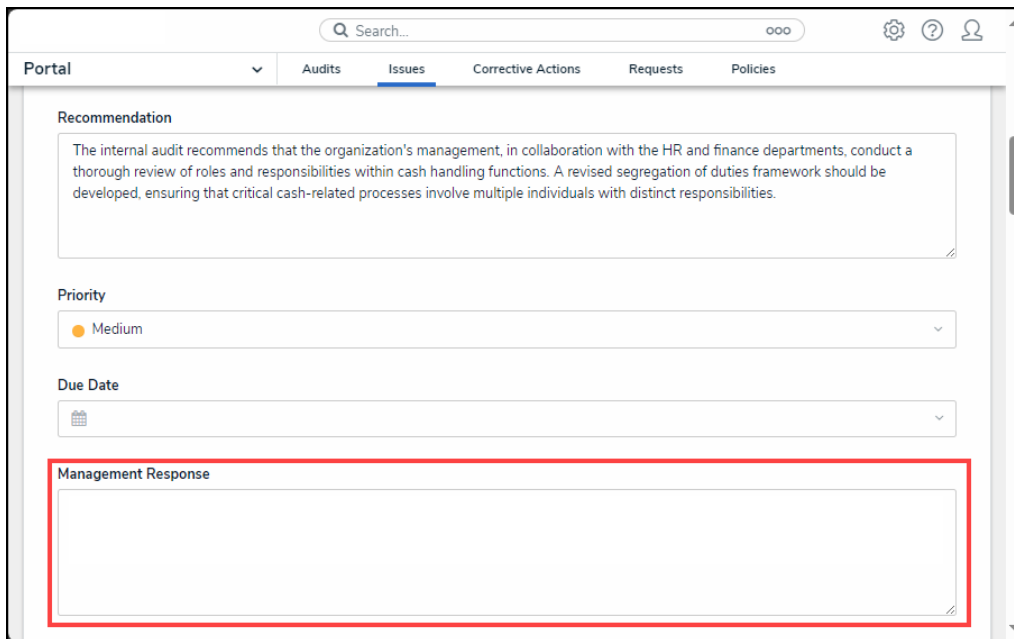


The screenshot shows the Resolver portal interface, similar to the previous one. The 'Priority' dropdown menu is open, showing a list of options: Medium (selected), Low, Medium, High, and Urgent. The dropdown menu is highlighted with a red border. The other fields (Recommendation, Due Date, and Management Response) are visible but not the focus of this step.

*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.

A screenshot of the Resolver portal interface. The top navigation bar includes a search bar, a menu icon, a help icon, and a user profile icon. Below the navigation bar, there are tabs for 'Audits', 'Issues', 'Corrective Actions', 'Requests', and 'Policies'. The 'Issues' tab is selected. The main content area shows a 'Recommendation' field with a text box containing a paragraph about internal audit recommendations. Below this are 'Priority' and 'Due Date' dropdown menus. The 'Management Response' field is highlighted with a red border and is currently empty.

*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*

9.  
10.  
11.

Issue Field Photo

Issues Additional Attachments

Time to Fix

Location

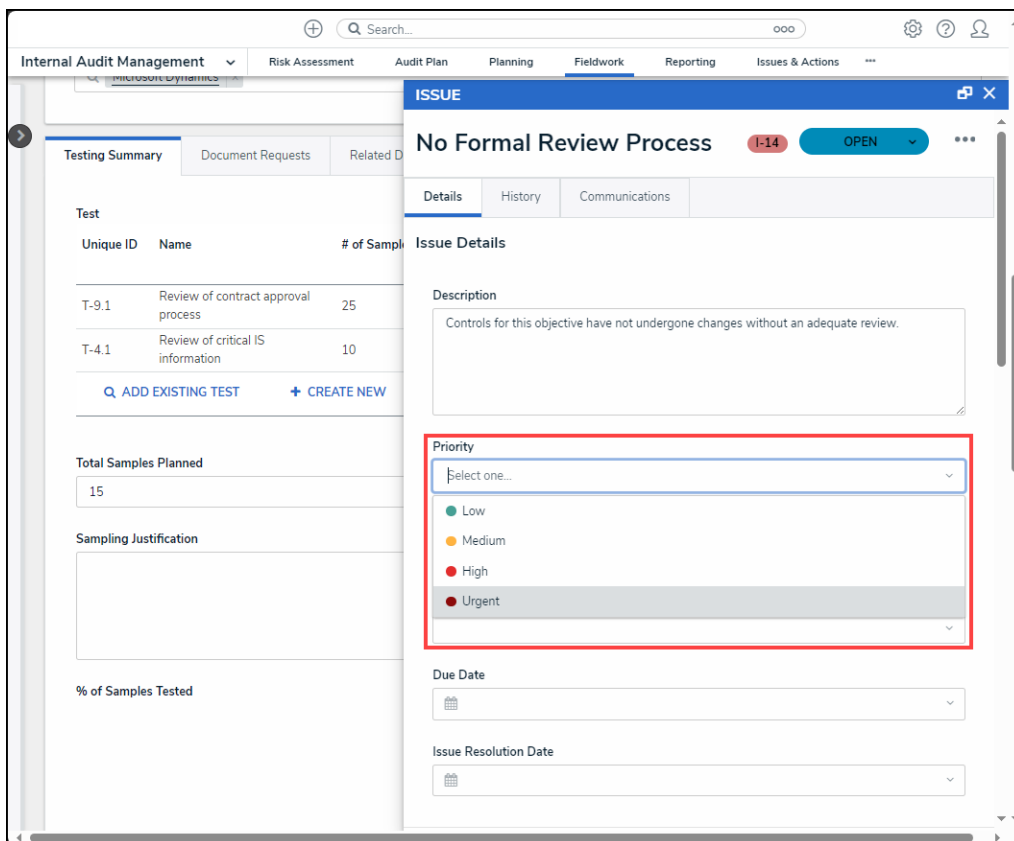
- Count - Past 30 Days
- Count - Past QTR
- Count - Past Year
- Count
- Number of Corrective Actions
- Corrective Actions
- Reviewed On
- Issue Classification
- # Material Weakness
- # Significant Deficiencies
- # Open Actions
- Days Past Resolution
- Overdue Status
- Count
- Issue Status
- **Supporting 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).

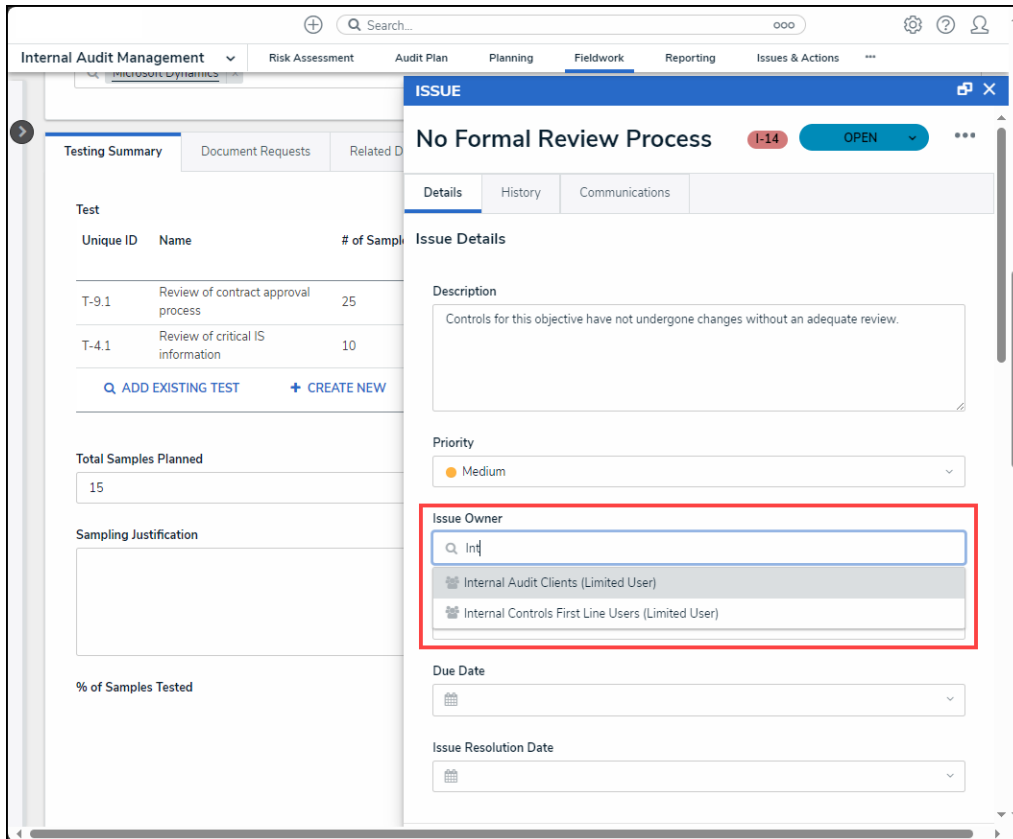
- Completed
- Number of Risks
- Outstanding Actions
- Issue Identification Month
- Overdue Reminder Date
- Security Issue Type
- Close Date/Time
- Archived Date
- Created
- Number of Related Citations

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.



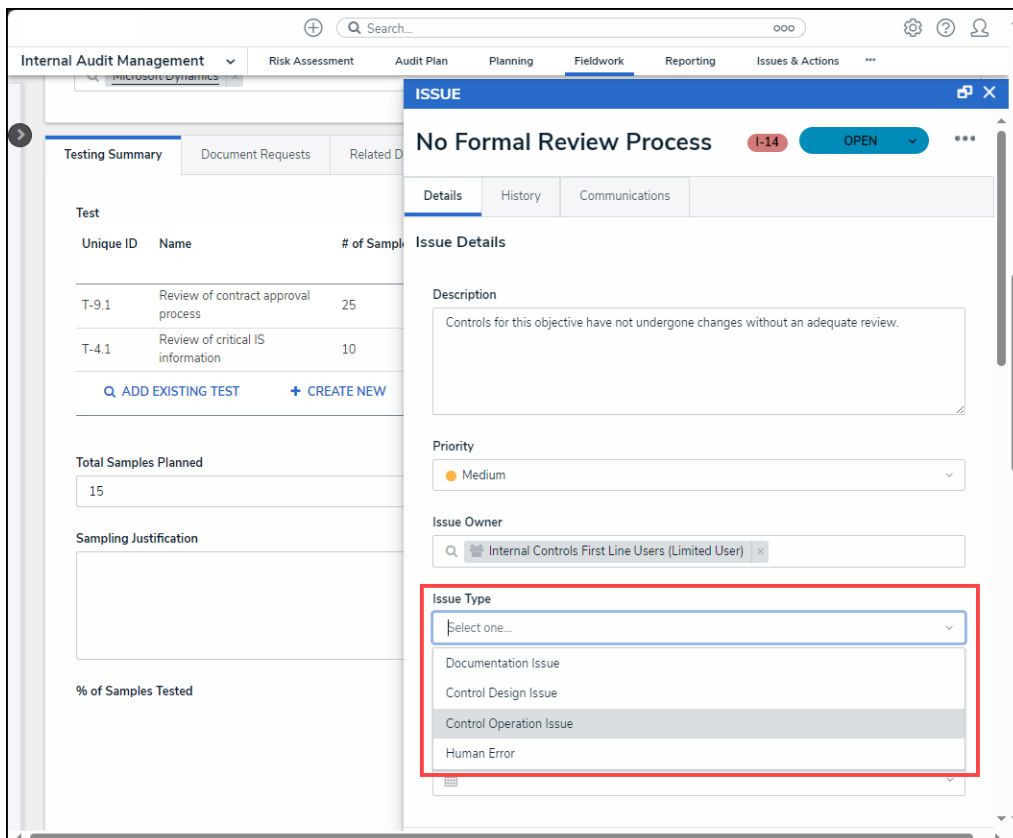
*Priority Dropdown Menu*

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.



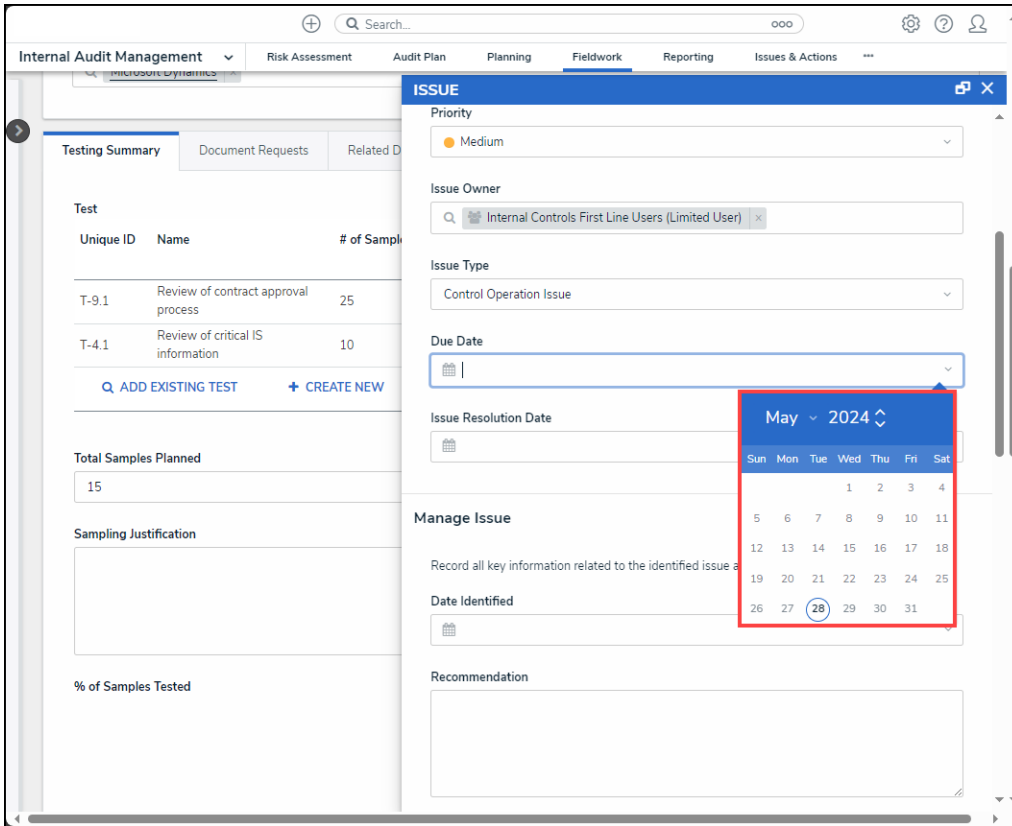
*Issues Owner Dropdown Menu*

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



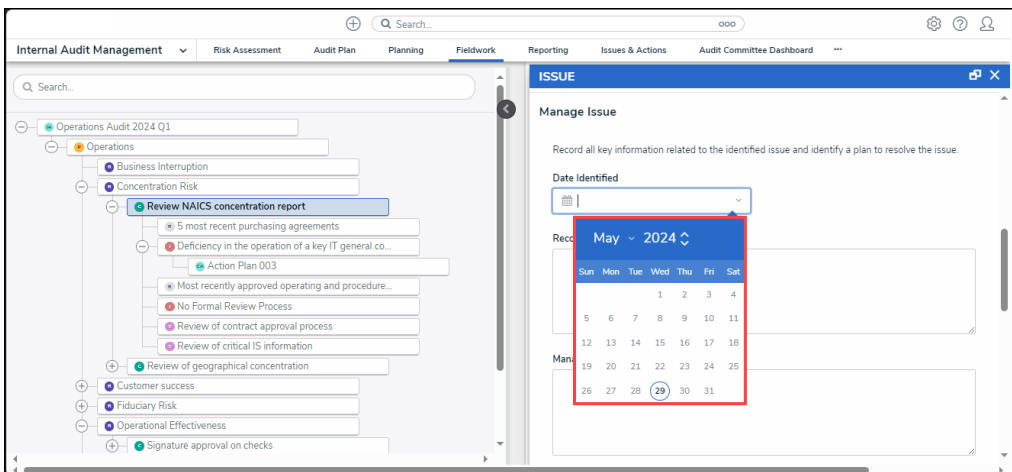
*Issue Type Dropdown Menu*

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



*Calendar Pop-up*

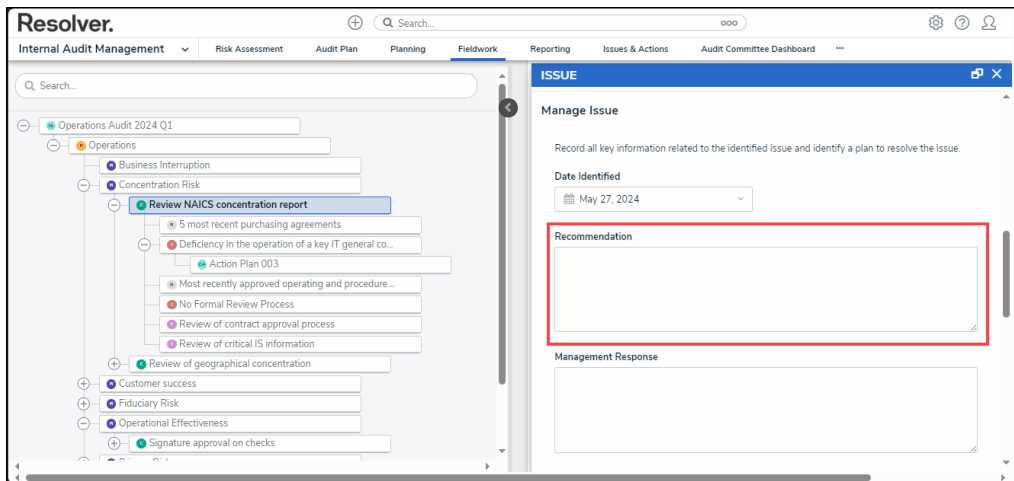
7. Select the date the issue was resolved from the **Calendar** pop-up by clicking on a **Date**.
8. From the **Manage Issue** section, select the date the issue was identified from the **Calendar** pop-up under the **Date Identified** field by clicking on a **Date**.



*Calendar Pop-up*

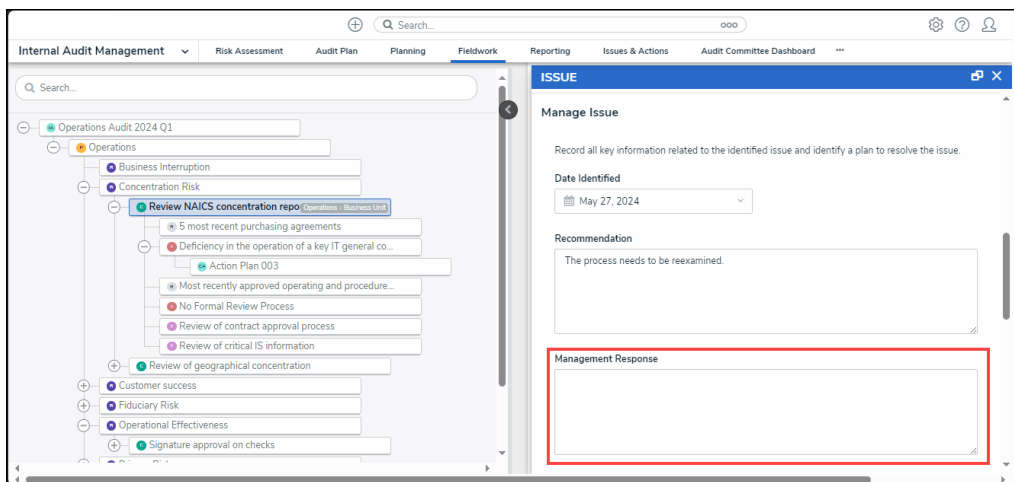
9. Users can enter recommendations, further details, and additional instructions in

the **Recommendation** field text box.



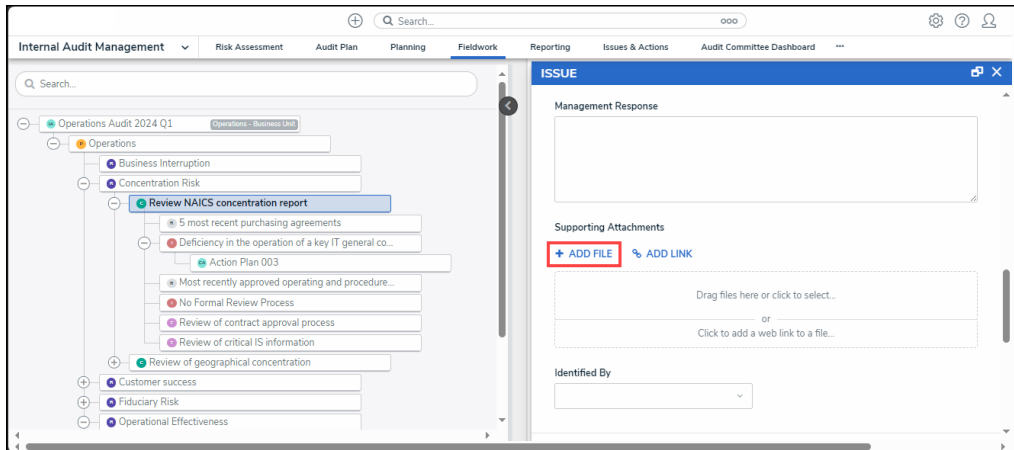
*Recommendation Field*

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



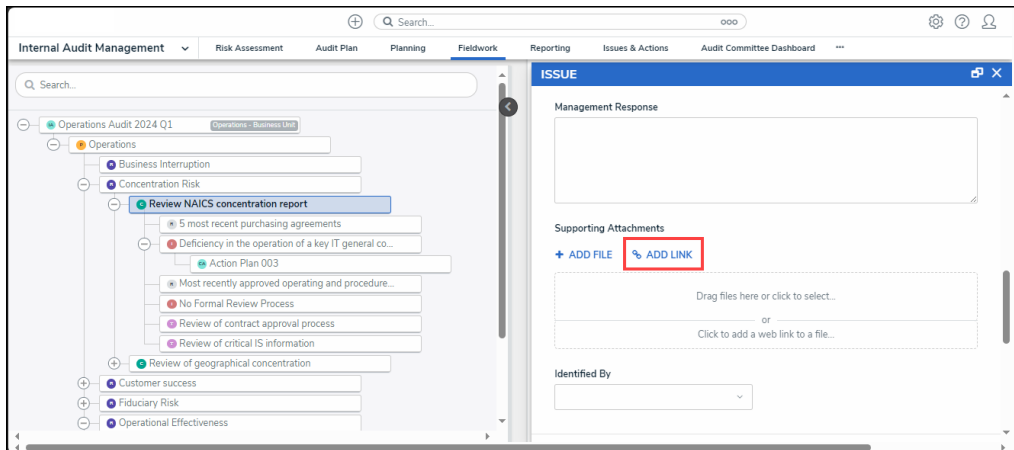
*Management Response Field*

- 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).



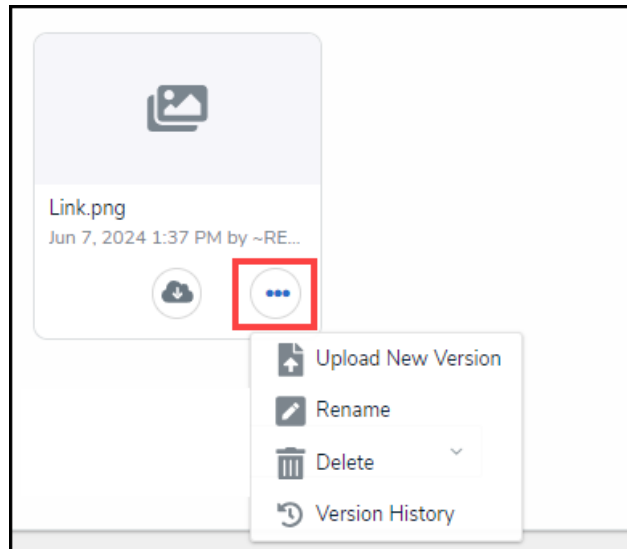
*+ Add File Link*

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.



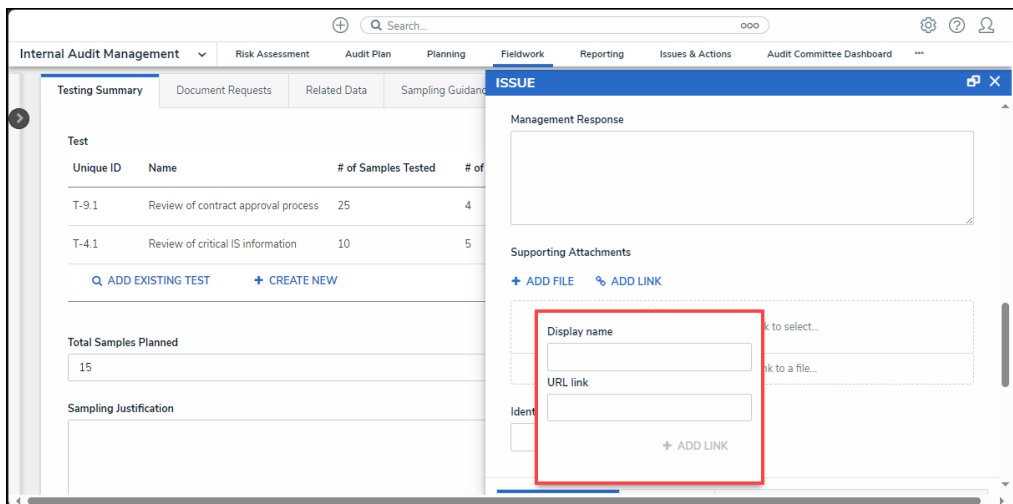
*Add Link*

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



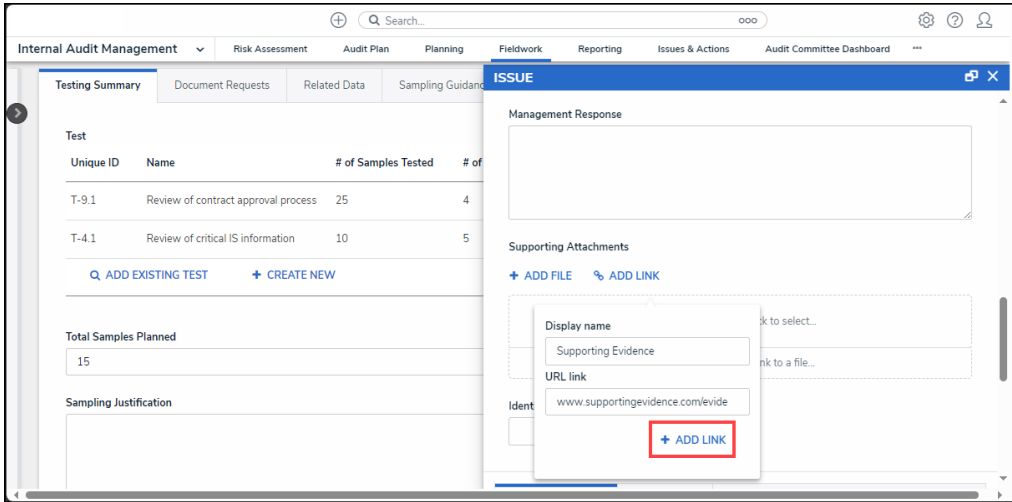
*More Icon*

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



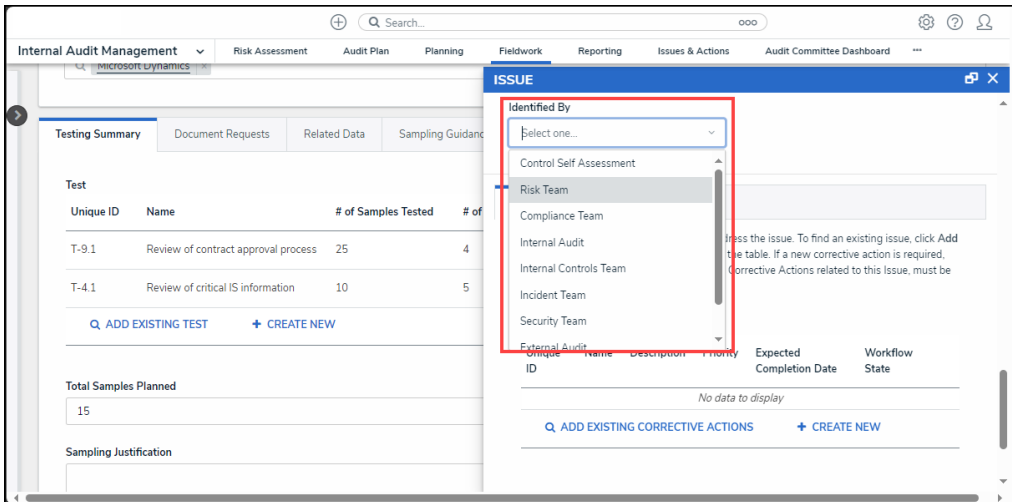
*Add Web Link Pop-up*

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



+ Add Link

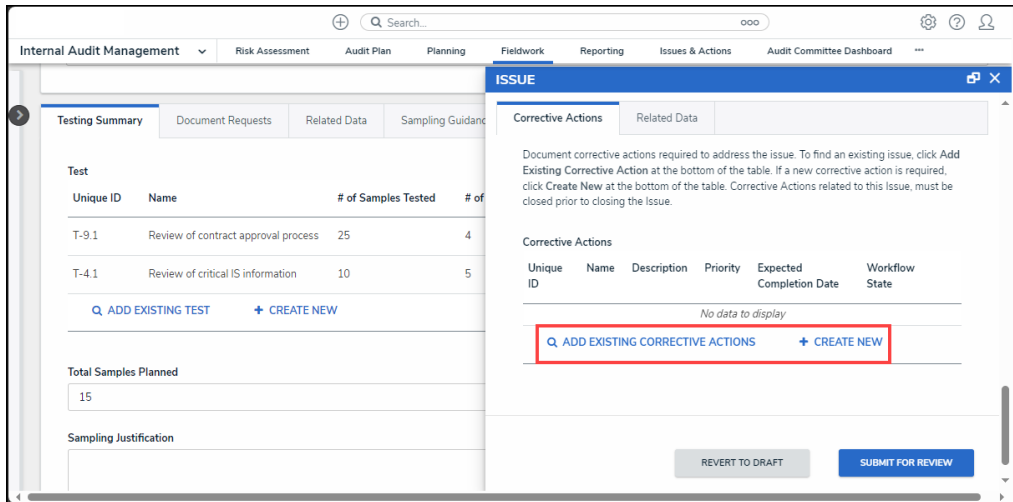
16. Select the team that identified the issue from the Identified By dropdown menu.



Identified By Dropdown Menu

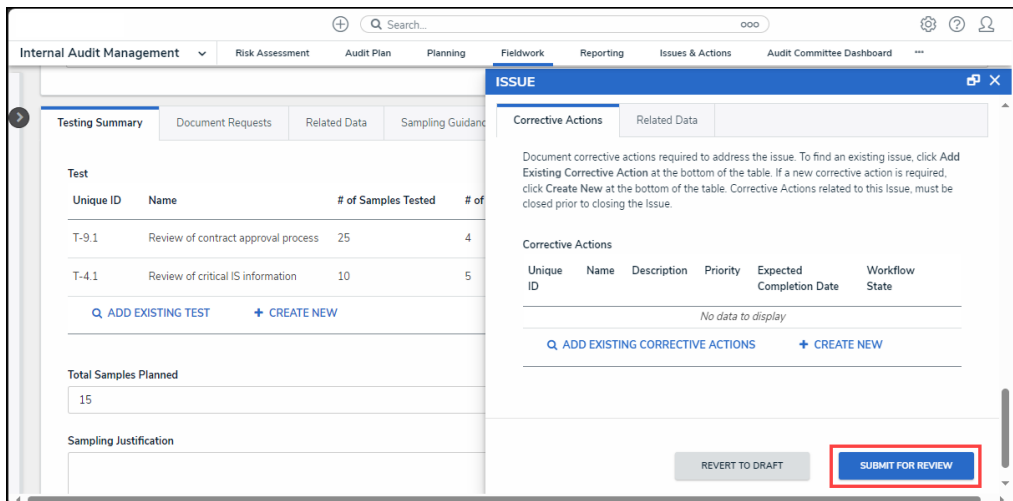
17. From the **Corrective Actions** tab, add an issue correct by clicking one of the following links:

- **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*