

Adding an Existing Control or Objective to a Risk

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Overview

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

Navigation

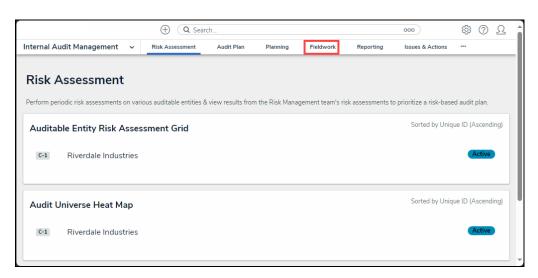
1. From the *Home* screen, click the Home dropdown and select the Internal Audit

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.



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.

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nternal Audit Management 🛛 🗸	Risk Assessment	Audit Plan	Planning	Fieldwork	Reporting	Issues & Actions	
Fieldwork Perform testing activities for audits that a	re in progress.						
Audits in Progress View the full scope of an audit (tree vie A-1 Operations Audit 20 OPERATIONS						Sorted by Uniq	ue ID (Ascending)
Audit Project Overview						Sorted by Uniq	ue ID (Ascending)
Operations Audit 20	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 *Risk Details* screen. Risks are indicated with a R icon next to the risk name on the node.

	Search	\$ @ L
Internal Audit Management v Risk Assessment Audit Plan Planning Fieldwork	Reporting Issues & Actions Audit Committee Dashboard Management Dashboard Manage Audits	
(Q. Search.	Concentration Risk 622	51 IN PROGRESS
Operations Audit 2024 Q1	Details Trending & Analysis Manage Assessments Relationship Graph History Communications	
Operations	Perina Herbing Company Pering Pasesanena Renderang Onger History Communications	
Business Interruption	Risk Details Related Controls and Objectives	
Concentration Risk		
Review NAICS concentration report	View controls that are related to this risk for the audit. Add Existing or Create New controls as needed.	
S most recent purchasing agreements		
O Deficiency in the operation of a key IT general co Action Plan 003	Controls	
Most recently approved operating and procedures	Unique ID Name Description Design Effectiveness Operating	g Effectiveness
No Formal Review Process	C-37.1 Review of geographical concentration Review of geographical concentration • Effective • Not Effective	fective \times
Review of contract approval process	C-36.1 Review NAICS concentration report Review NAICS concentration report Not Effective	ve ×
Review of critical IS information	C-36.1 Review NAICS concentration report Review NAICS concentration report Not Effective Effective	ле ^
Review of geographical concentration	Q ADD EXISTING CONTROLS + CREATE NEW	
Customer success		
Fiduciary Risk		
Operational Effectiveness	Objective	
G Signature approval on checks		
OPrivacy Risk	Description Unique ID Na	ame
Structural Risk (Asset/Liability mismatch)	Document the goal and state of Object's current progress and status and mention the assignment for its responsibility O-1 Cu	ustomer Satisfaction
Adherence to structural policy	Document the goal and state of Object's current progress and status and mention the assignment for its responsibility O-1 Cu	stomer Satisfaction
Review of operating and procedures manual	Q ADD EXISTING OBJECTIVE	
4 P		
		·

Risk Node

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



Internal Audit Management 🗸 Risk Assessment Audit Plan Plann	Q. Search	\$ @ L
Review NAICS concentration report		IN PROGRESS
Details Trending & Analysis Manage Assessments Relationship Gr.	ph History Communications	
Control Details	Testing Summary Document Requests Related Data Sampling Guidance	
Description	Test	
Review NAJCS concentration report	Unique ID Name # of Samples Tested # of Samples Failed Working Papers	Test Result
	T-4.1 Review of critical IS 10 5 Distance Article Tracker visation 10 10 10 Tracker visation 10 10 10 10 10 10 10 10 10 10 10 10 10	• Fail X
Control Owner	Q ADD EXISTING TEST + CREATE NEW	
Q 👹 Internal Controls First Line Users (Limited User) 🛛 ×		
Tested By	Total Samples Planned 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	



Adding an Existing Control or Objective to a Risk

The process for adding an existing control or objective to a risk is the same. The only difference is the navigation. For this illustration we will be adding a control to a risk.

1. From the *Risk Details* screen, click the *Add Existing Controls* link.

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Internal Audit Management v Risk Assessment Audit Plan Planning	Fieldwork	Reporting	Issues & Actions	Audit Committee Dashi	board Management Dashbo	oard Manage Audits		
Q Search		Concent	ration Risk				R-25.1 IN PROC	RESS
Operations Audit 2024 Q1								
Operations		Details T	rending & Analysis	Manage Assessmer	nts Relationship Graph	History Communications		
 Business Interruption 								
Concentration Risk		Risk Details	Related Controls	and Objectives				
 Review NAICS concentration report 		View contro	ols that are related to ti	his risk for the audit. Ad	dd Existing or Create New contr	rols as needed.		
 S most recent purchasing agreements 								
O Deficiency in the operation of a key IT general co		Controls						
Action Plan 003		Unique ID	Name		Description	Design Effectiveness	Operating Effectiveness	
 Most recently approved operating and procedures 			- Control		besergeon	besign Encediences	operating circumstates	
O No Formal Review Process		C-37.1	Review of geogr	aphical concentration	Review of geographical conc	entration 😑 Effective	Not Effective	\times
 Review of contract approval process 								
Review of critical IS information		C-36.1	Review NAICS c	oncentration report	Review NAICS concentration	report Not Effective	 Effective 	\times
Review of geographical concentration			D EXISTING CONTRO					
Customer success		Q AL	D EXISTING CONTRO	LS + CREAT	IE NEW			
Fiduciary Risk								
Operational Effectiveness								
General Signature approval on checks		Objective						
Privacy Risk		Descriptio	n			Ur	ique ID Name	
 Structural Risk (Asset/Liability mismatch) 								
Adherence to structural policy		Document	the goal and state of (Object's current progre	ss and status and mention the a	ssignment for its responsibility O-	1 Customer Satisfaction	×
Review of operating and procedures manual		Q AL	D EXISTING OBJECTI	VE				
1	- F							-

Add Existing Controls Link

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



⊕ (Q Search	<u>ද</u> ග නි
nternal Audit Management v Risk Assessment Audit Plan Planning	Fieldwork Reporting Issues & Actions Audit Committee Dashboard ***
Q, Search	ADD EXISTING CONTROLS X
Operations Audit 2024 Q1	Q Start typing to find an existing Control
Operations Business Interruption	Showing 50 most recently created Control If you don't see what you were searching for, try searching from all Controls above.
Concentration Risk Concentration Risk Concentration Review NAICS concentration report	CES Strategic charters are documented
B 5 most recent purchasing agreements O O Deficiency in the operation of a key IT gener	+ ADD Strategic charters are documented
Most recently approved operating and proce	(T55) Appropriate legal contract reviews
No Formal Review Process Review of contract approval process Review of critical IS information	+ ADD Appropriate legal contract reviews
Customer success	CEST Mandatory privacy training ACTIVE
Operational Effectiveness	+ ADD Mandatory privacy training
G Signature approval on checks	ASSESSMENTS ~
+ Privacy Risk	

Search Field

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

Internal Audit Management v Risk Assessment Audit Plan Planning	coci Image: Teledwork Reporting Issues & Actions Audit Committee Dashboard ***
Q. Search	AUDI EXISTING CONTROLS
certuil. @ Operations Audit 2024 Q1 @ Operations	Q. Start typing to find an existing Control Showing 50 most recently created Control
Business Interruption Concentration Risk	If you don't see what you were searching for, try searching from all Controls above.
Review NAICS concentration report	CESS Strategic charters are documented
B 5 most recent purchasing agreements O Beficiency in the operation of a key IT gener	+ ADD Strategic charters are documented
Most recently approved operating and proce	C653 Appropriate legal contract reviews ACTIVE
No Formal Review Process Review of contract approval process	+ ADD Appropriate legal contract reviews
Review of critical IS information Seview of geographical concentration	C52 Mandatory privacy training (ACIVE)
 ⊕ Customer success ⊕ Fiduciary Risk 	+ ADD Mandatory privacy training
Operational Effectiveness Signature approval on checks	ASSESSMENTS ~
⊕→ Privacy Risk	

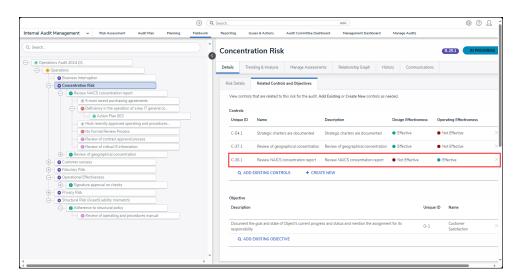


- ⊕ Q Search... \$ @ L 000 Internal Audit Management
 V Risk Assessment Audit Plan Planning Fieldwork Reporting Issues & Actions Audit Committee Dashboard ADD EXISTING CONTROLS Q Search. Q. Start typing to find an existing Control Operations Audit 2024 Q1 Operations
 Business Interruption Showing 50 most recently created Control If you don't see what you were searching for, try searching from all Controls above. Concentration Risk C-54 Strategic charters are documented Certain Review NAICS concentration report
 S most recent purchasing agreements O Deficiency in the operation of a key IT gener...
 O Action Plan 003
 Most recently approved operating and proce... Strategic charters are documented (C-53) Appropriate legal contract reviews No Formal Review Process
 Review of contract approval proce
 Review of critical IS information ADD Appropriate legal contract reviews + SReview of geographical concentration C-52 Mandatory privacy training ACTIVE Customer success + ADD + O Fiduciary Risk Mandatory privacy training Operational Effectiveness G Signature approval on checks ASSESSMENTS ~ + O Privacy Risk
- 4. Click the **x** icon to close the **Add Existing Control** pop-up.



X Icon

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



Controls Table