

Opening a Corrective Action

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Overview

After a corrective action is added to an issue, a user will need to fill out further details for that corrective action and open the corrective action.

Related Information/Setup

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

Please refer to the Submitting a Corrective Action for Review for further information on sending a corrective action for review.

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 Internal Controls Management	\$ SORT ∨ Q SEARCH		
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 (Ascent	
Audit Universe Heat Map						Sorted by Uniq	ue ID (Ascen	ding)
C-1 Riverdale 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.

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Internal 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 view A-1 Operations Audit 202 OPERATIONS						Sorted by Uniqu	ue ID (Ascending)	
Audit Project Overview						Sorted by Uniqu	ue ID (Ascending))
Operations Audit 202 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 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.



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nternal Audit Management v Risk Assessment Audit Plan Planning	Fieldwork	Reporting	Issues & Actions	Audit Committee Dashboard	•••
Q, Search		Review	w NAICS con	centration repo	ort 🖸
Operations Audit 2024 Q1	ſ	Details	Trending & Analysis	Manage Assessments	Relationship Grap
Business Interruption Concentration Risk		Control	Details		
5 most recent purchasing agreements	- U	Descrip	otion		
O Deficiency in the operation of a key IT gener	- U	Revi	ew NAICS concentration r	eport	
Action Plan 003	- U				
Most recently approved operating and proce	- U				
O No formal change management process	- U				
Action Plan 005	- U				
Action Plan 006	- U	Contro	l Owner		
Action Plan 007	- U	Q			
Review of critical IS information					
Review of geographical concentration		Tested	Ву		
Customer success		Risk	Team		
(+) S Fiduciary Risk	-	NISK	(com		

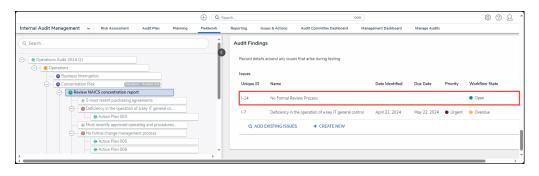
Control Overview Pop-up

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

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Internal Audit Management v Risk Assessment Audit Plan Planning Fieldwork	Reporting Issues & Actions Audit Committee Dashboard	Management Dashboard Manage Audits	
(0, Search		Audit Findings Record details around any issues that arise during testing.	
Business Interruption Concentration Risk		Issues Unique ID Name Date Due Date Priority Workflow Identified State	
Review NAICS concentration report S most recent purchasing agreements		I-9 No formal change management April 20, 2024 May 20, Process Draft	×
Construction Plan 003 Action Plan 003		I-7 Deficiency in the operation of a key IT April 22, 2024 May 22, general control Overdue	×
Most recently approved operating and procedures		Q, ADD EXISTING ISSUES + CREATE NEW	
Action Plan 005 Action Plan 006			

Audit Findings Section

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



Issue

8. From the *Issue* pop-up, scroll to the *Corrective Actions* tab and click on a corrective action on the **Corrective Actions** table.



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Operations Audit 2024 Q1	Corrective A	Actions	Related Data						
Operations Output Operations Output Operations Operation	Existing C Create Ne	orrective A	actions required to action at the botton ottom of the table. sue.	m of the table	. If a new correc	tive action is re	quired, c	lick	
S most recent purchasir O Deficiency in the operat O Action Plan 003 Most recently approved	Corrective Unique ID	Actions Name	Description	Priority	Expected Completion Date	Workflow State			
O No Formal Review Proc Review of contract app Review of critical IS infc	CA-3	Action Plan 003	Segregation of Duties Policy Development	e Medium		Overdue	×	(
Construction of geographical concer	Q A	DD EXISTI	NG CORRECTIVE	ACTIONS	+ CREA	TE NEW			
Customer aussess									

Corrective Action

Opening a Corrective Action

 From the *Corrective Action* screen, edit the corrective action name by clicking on the Corrective Action Name in the header to unlock the field and enter a new name. The content entered will be automatically saved.

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Action P	lan 003					CA-3	OVERDUE ~		•••
Details Re	elationship Graph	History	Communications						
Description				Completion Date		Actual Completion Date			
Segregati	on of Duties Policy De	evelopment	<u> </u>		~	Ê		\sim	
			Supportin	g Attachments					
		11	+ ADD F	ILE % ADD LINK					
Corrective A	Action Owner				Drag files here or				
Priority					Click to add a we				
😑 Mediur	m	~			7				-
			Related Issu	Loss Events					

Corrective Action Name Field

2. Click the **Description** field and enter a brief description outlining the steps within the corrective action.



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Applicatio	ns 🗸							
Action	Plan 003					CA-3	OVERDUE - ····	
Details	Relationship Graph	History	Communications					
Descrip	otion egation of Duties Policy D	evelopment		Completion Date g Attachments ILE & ADD LINK	~	Actual Completion Date	~	
Q Priority	tive Action Owner	~			_	or click to select or veb link to a file		
			Related Issu	es Loss Events				

Description Field

3. Enter a user or user group name in the **Corrective Action Owner** field and select a user or user group from the dropdown menu. The user or user group selected will be responsible for the corrective action.

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Applicatio	ons ~						
Action	n Plan 003					CA-3	OVERDUE - •••
Details	Relationship Graph	History	Communications				
Seg	ption regation of Duties Policy D	levelopment		Completion Date g Attachments ILE & ADD LINK	~	Actual Completion Date	~
Q 참 동	tive Action Owner Internal Internal Audit Clients (Limit nternal Controls First Line Limited User)		Related Iss	es Loss Events		or click to select or	

Corrective Action Owner Dropdown

- 4. Set a corrective action priority by clicking the **Priority** field and selecting a priority from the dropdown menu to prioritize the corrective action's importance.
 - Low
 - Medium
 - High



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Applications ~			
Action Plan 003		CA-3 OVERDUE V	•••
Details Relationship Graph History Co	mmunications		
Description	Expected Completion Date	Actual Completion Date	
Segregation of Duties Policy Development		*	
h	Supporting Attachments + ADD FILE % ADD LINK		
Corrective Action Owner	Drag files l	here or click to select	
٩	-	or	
Thternal Controls First Line Users (Limited User)	Click to ad	ld a web link to a file	
Priority	Related issues Loss Events		
Medium			
• Low	Issue		
 Medium 	Unique ID Name	Priority Due Date Workflow State	
• High	I-7 Deficiency in the operation of a k	key IT May 22, Overdue	

Priority Dropdown

 (Optional) Select the date the corrective action is expected to be completed by clicking the Expected Completion Date field and selecting a Date from the *Calendar* pop-up.

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Description	Expected	Compl	etion Da	ite				Actual Completion Date	
Segregation of Duties Policy Development	m						Ň	*	~
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Corrective Action Owner						3		ere or click to select	
Q		5	6 7	8	9	10	11	— or ————	
* ×		12	13 14	15	16	17	18	a web link to a file	
Internal Controls First Line Users (Limited User)	·	19 2	20 21	22	23	24	25		
()		26	27 28	29	30	(31)			
Priority	Related Issu	ies	Loss	Events		\cup			
🖕 Medium 🗸 🗸									



- Select the corrective action's actual completion date by clicking the Actual Completion
 Date field and selecting a Date from the *Calendar* pop-up.
- Users can attach evidence to the corrective action 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).

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ctior	n Plan 003				CA-3	OVERDUE	~	•••
etails	Relationship Graph	History	Communications					
Descri				Completion Date	Actual Completio	n Date		
Segr	regation of Duties Policy D	evelopment	june 🛗	30, 2024	× 🗎		~	
			Supportin	Attachments				
Correc	tive Action Owner			Drag fil	es here or click to select			
Q					or			
	ernal Controls First Line Us mited User)	sers		Click to	add a web link to a file			

+ Add File Link

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

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Applications ~		
Action Plan 003		CA-3 OVERDUE • •••
Details Relationship Graph History Co	ommunications	
Description Segregation of Duties Policy Development Corrective Action Owner		Actual Completion Date

Add Link

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



Link.png Jun 7, 2024 1:37 PM by ~RE
Upload New Version
Rename
Delete 🗸
😗 Version History

More Icon

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

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Applications ~				
Action Plan 003			CA-3 OVERDUE V	
Details Relationship Graph	History Communications			
Description Segregation of Duties Policy D	evelopment Jur	d Completion Date e 30, 2024 ~ ing Attachments FILE % ADD LINK	Actual Completion Date	
Corrective Action Owner Q Internal Controls First Line Us (Limited User)	ers	Display name URL link	ick to select link to a file	
Priority Medium	Related I	+ ADD LINK		•

Add Web Link Pop-up

11. Review the issues listed on the *Related Issues* tab.



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plications ~						_
Priority	Related Iss	ues Loss Events				
Medium	Issue					
	Unique	ID Name	Priority	Due Date	Workflow State	
	1-7	Deficiency in the operation of a key IT general control	• Urgent	May 22, 2024	Overdue	-
	I-2	No oversight and review	• High	May 9, 2024	😑 Overdue	
				OPI	EN CORRECTIVE	
					ACTION	

Related Issues Tab

12. Click an **Issue** to view further issues details or submit an issue for review.

Related Issues Issue Unique ID	Loss Events Name	Priority	Due Date		
√ Issue		Priority	Duo Data		
Issue	Name	Priority	Due Date		
Unique ID	Name	Priority	Due Date		
			Due Dale	Workflow State	
1-7	Deficiency in the operation of a key IT general control	• Urgent	May 22, 2024	Overdue	1
1-2	No oversight and review	High	May 9, 2024	Overdue	1
			OP		
				ACTION	
				OP	OPEN CORRECTIVE ACTION



13. Click the *Loss Events* tab to view loss event details.

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plications	~						_
Priority		Related Issues	Loss Events				
e Medium	~						
		Issue					
		Unique ID	Name	Priority	Due Date	Workflow State	
		1-7	Deficiency in the operation of a key IT general control	• Urgent	May 22, 2024	Overdue	-
		I-2	No oversight and review	High	May 9, 2024	Overdue	
					OPI	EN CORRECTIVE ACTION	
						ACTION	



Loss Events Tab

14. Click the **Open Corrective Action** button to open the corrective action and move it to the open workflow state.