

# Viewing an Internal Audit Finding Summary Report

Last Modified on 06/12/2024 2:51 pm EDT

## **Overview**

The Audit Committee Summary report displays information on all internal audit projects within an internal audit plan. Users can see Audit Ratings, Issue Priority, Audits Reports Issued in the last quarter, and the status of all internal audit projects within an audit plan.

### **User Account Requirements**

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

### Navigation

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

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Home Dropdown

2. From the *Risk Assessment* screen, click on the *Issue & Actions* tab.



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Issue & Actions Tab

3. From the *Issue & Actions* screen, click a **Business Unit** link on the *Internal Audit Findings Summary* section.

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Internal Audit Co	prrective Actions :	Summary					Sorted by Unique ID (Ascending)		

Business Unit Link

#### **Viewing an Internal Audit Finding Summary Report**

- 1. From the *Findings Summary* screen, fill out the filter fields to narrow the search results.
  - Date Identified Issue: Enter a date range for when the issue was first identified.
    - **From:** Enter the from date, creating the start date for the range.
    - **To:** Enter the to date, creating the end date for the range.
    - **Identified By Issue:** Enter a user or user group name and select the user or user group who identified the issue.
    - **Issue: Issue Owner:** Enter a user or user group name and select the user or user group who is responsible for the issue.
    - **Due Date Issue:** Enter a date range for the issue's due date.
      - From: Enter the from date, creating the start date for the range.



- **To:** Enter the to date, creating the end date for the range.
- **Issue:** Select an issue status type from the dropdown menu to include issues with the selected status types (e.g., draft, complete, etc.).
- **Priority Issue:** Select an issue priority from the dropdown menu (e.g., Low, Medium, or High).

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Findings Summary Filter Fields

2. Click the **Run Report** button to generate the report based on the filter field values.

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Run Report Button

3. The **Findings by Business Unit** graph shows the status of all issues for the selected business unit.



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Findings by Business Unit Graph

4. Hover the cursor over a bar graph to see the issue's type, status, and number of issues in that status.

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Bar Graph Hover Over

5. The **Issues** table displays all issues for the selected business unit.



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Issue Unique	Issue Name		Issue Owner		Date	Due Date	Priority	Q Search Table	Issue State
ID					Identified				
1-14	No Formal Review Pro	ocess	Internal Controls (Limited User)	First Line Users	May 27, 2024	June 10, 2024	e Medium	Control process review	Closed
I-13	Insufficient Document Account Opening Proc				April 3, 2024		High	Action Plan 011	Closed
1-9	No formal change mar	nagement process			April 20, 2024	May 20, 2024	Low	Action Plan 005, Action Plan 006, Action Plan 007	<ul> <li>Open</li> </ul>
1-7	Deficiency in the operation of the opera	ation of a key IT general	Internal Audit Clie User)	ents (Limited	April 22, 2024	May 22, 2024	<ul> <li>Urgent</li> </ul>	Action Plan 003	Closed

Issues Table

6. Click an **Issue** link for more detailed information and to move an issue through the stages from draft to complete.

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Issue Unique	Issue Name	Issue Owner	Date	Due Date	Priority	Q Search Table	Issue State
ID			Identified				
1-14	No Formal Review Process	Internal Controls First Line Users (Limited User)	May 27, 2024	June 10, 2024	e Medium	Control process review	Closed
I-13	Insufficient Documentation in Cash Bank Account Opening Process		April 3, 2024		High	Action Plan 011	<ul> <li>Closed</li> </ul>
1-9	No formal change management process		April 20, 2024	May 20, 2024	Low	Action Plan 005, Action Plan 006, Action Plan 007	Open
1-7	Deficiency in the operation of a key IT general control	Internal Audit Clients (Limited User)	April 22, 2024	May 22, 2024	<ul> <li>Urgent</li> </ul>	Action Plan 003	Closed

Issues Link