

Viewing an Internal Audit Finding Summary Report

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

Overview

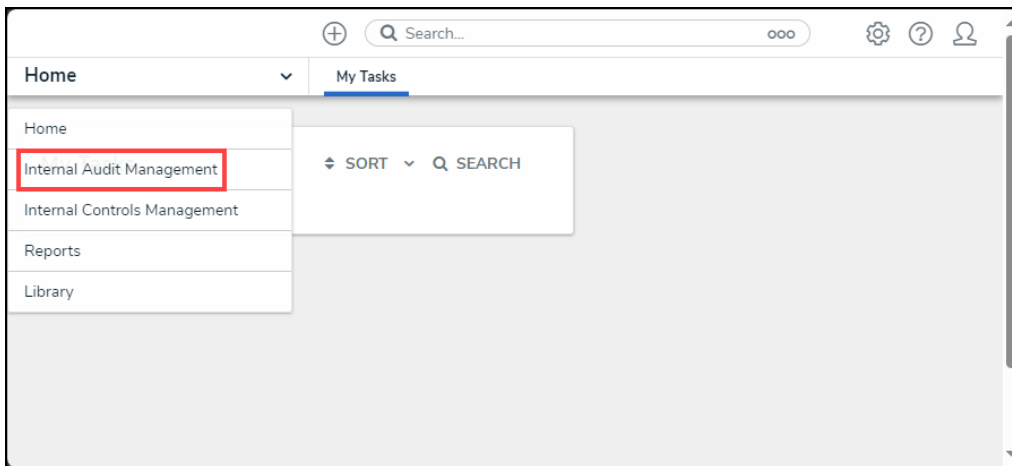
The Audit Committee Summary report displays information on all internal audit projects within an internal audit plan. Users can see Audit Ratings, Issue Priority, Audits Reports Issued in the last quarter, and the status of all internal audit projects within an audit plan.

User Account Requirements

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

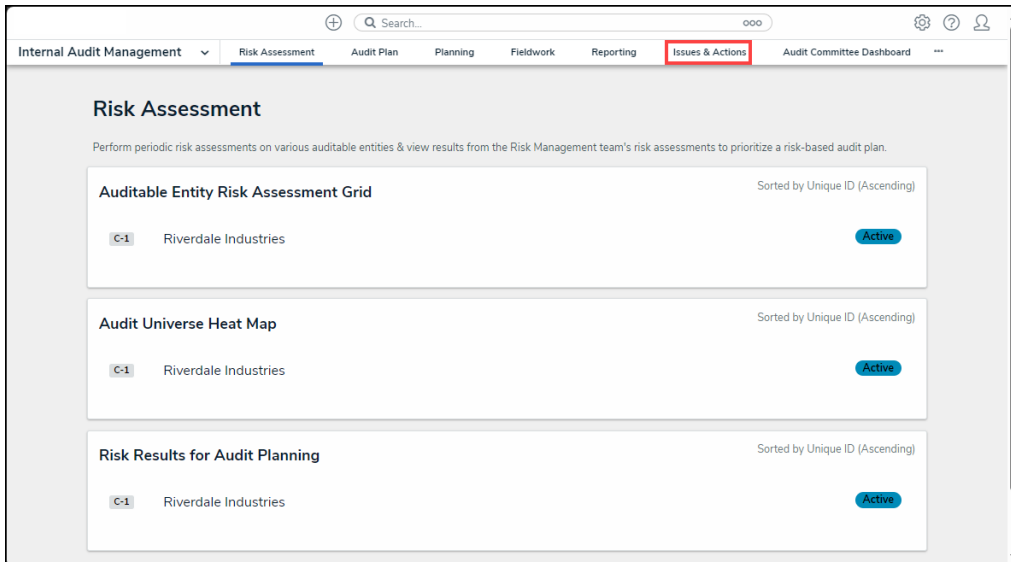
Navigation

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



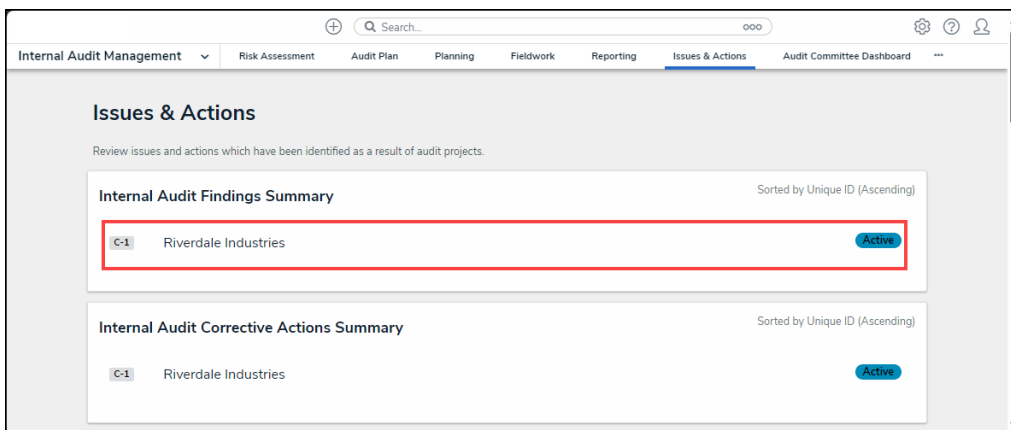
Home Dropdown

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



Issue & Actions Tab

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



Business Unit Link

Viewing an Internal Audit Finding Summary Report

- 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).

The screenshot shows the 'IA - Findings Summary' filter interface. It includes a search bar at the top, a navigation menu with 'Issues & Actions' selected, and a main section with the following fields: 'Date Identified - Issue' (with a date picker set to May 1, 2024), 'Due Date - Issue' (with 'FROM' and 'TO' date pickers), 'Identified By - Issue' (a text input field), 'Issue: Issue Owner' (a search input field), '* Issue Required' (a multi-select dropdown with 'Open', 'Overdue', 'Closed', and 'Review' options), and 'Priority - Issue' (a dropdown menu). A 'CANCEL' button and a 'RUN REPORT' button are located at the bottom right.

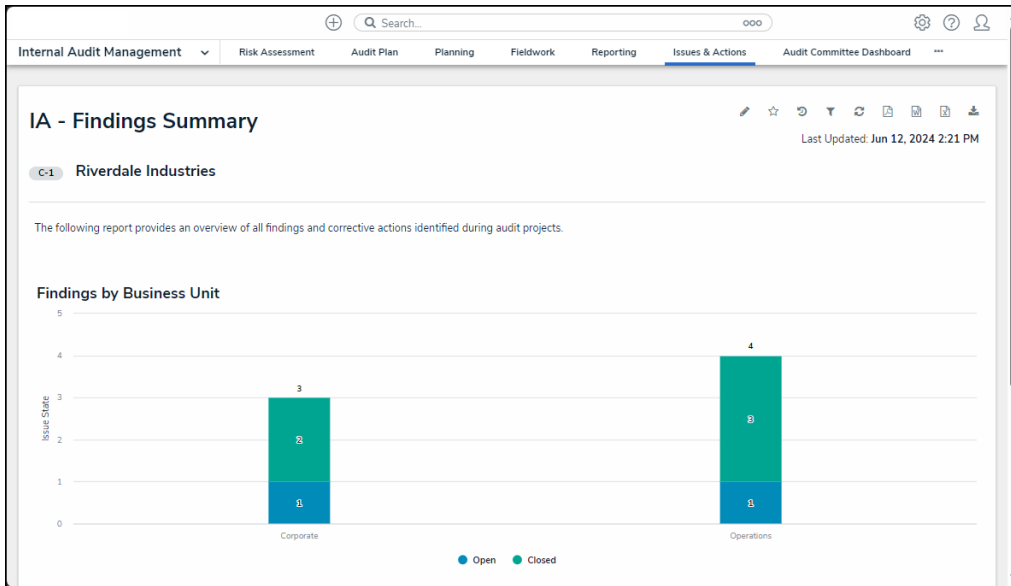
Findings Summary Filter Fields

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

This screenshot is identical to the previous one, but the 'RUN REPORT' button at the bottom right is highlighted with a red rectangular box.

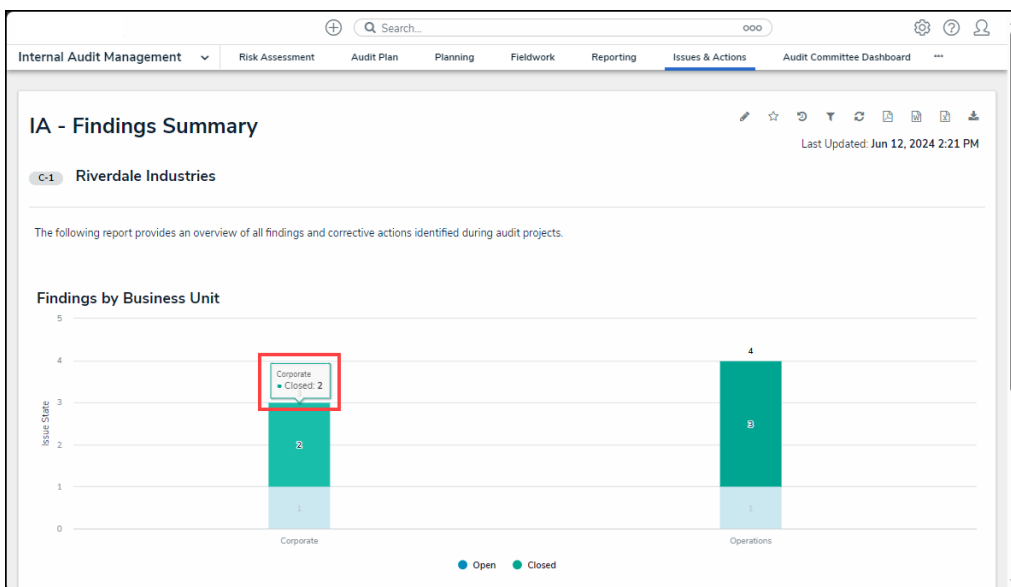
Run Report Button

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



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.



Bar Graph Hover Over

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

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

Page 1 of 1 | 4 Rows | 20 per page

Issues Table

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

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

Page 1 of 1 | 4 Rows | 20 per page

Issues Link