

Submitting a Corrective Action for Review

Last Modified on 07/11/2024 9:54 am EDT

Overview

After a corrective action has been reviewed and moved to an open state, it must be reviewed by an Internal Audit Manager.

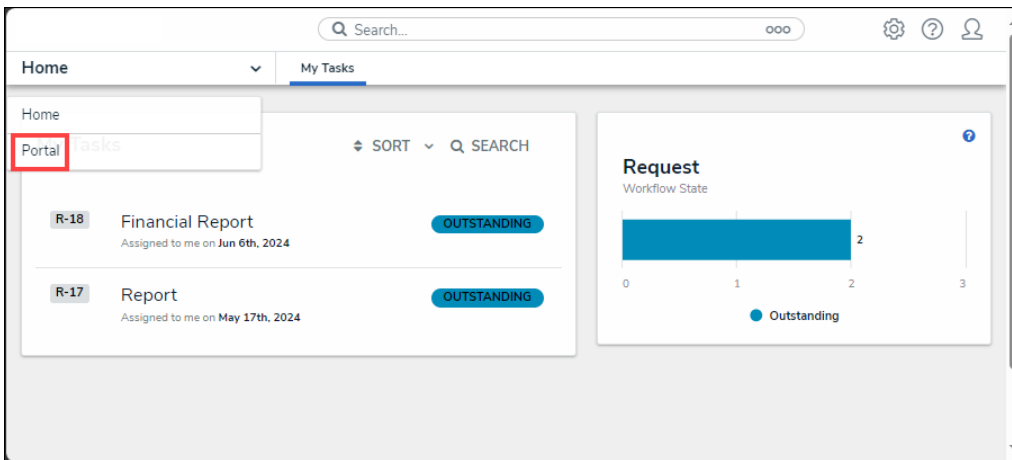
Related Information/Setup

Please refer to the [Creating a New Corrective Action](#) article for further information on creating a new corrective action.

Please refer to the [Opening a Corrective Action](#) article for further information on opening a corrective action.

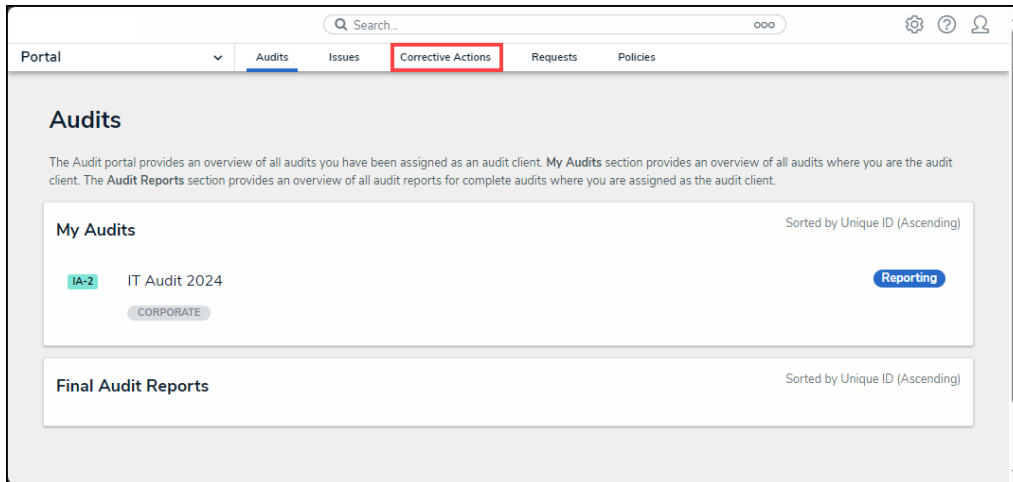
Navigation

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



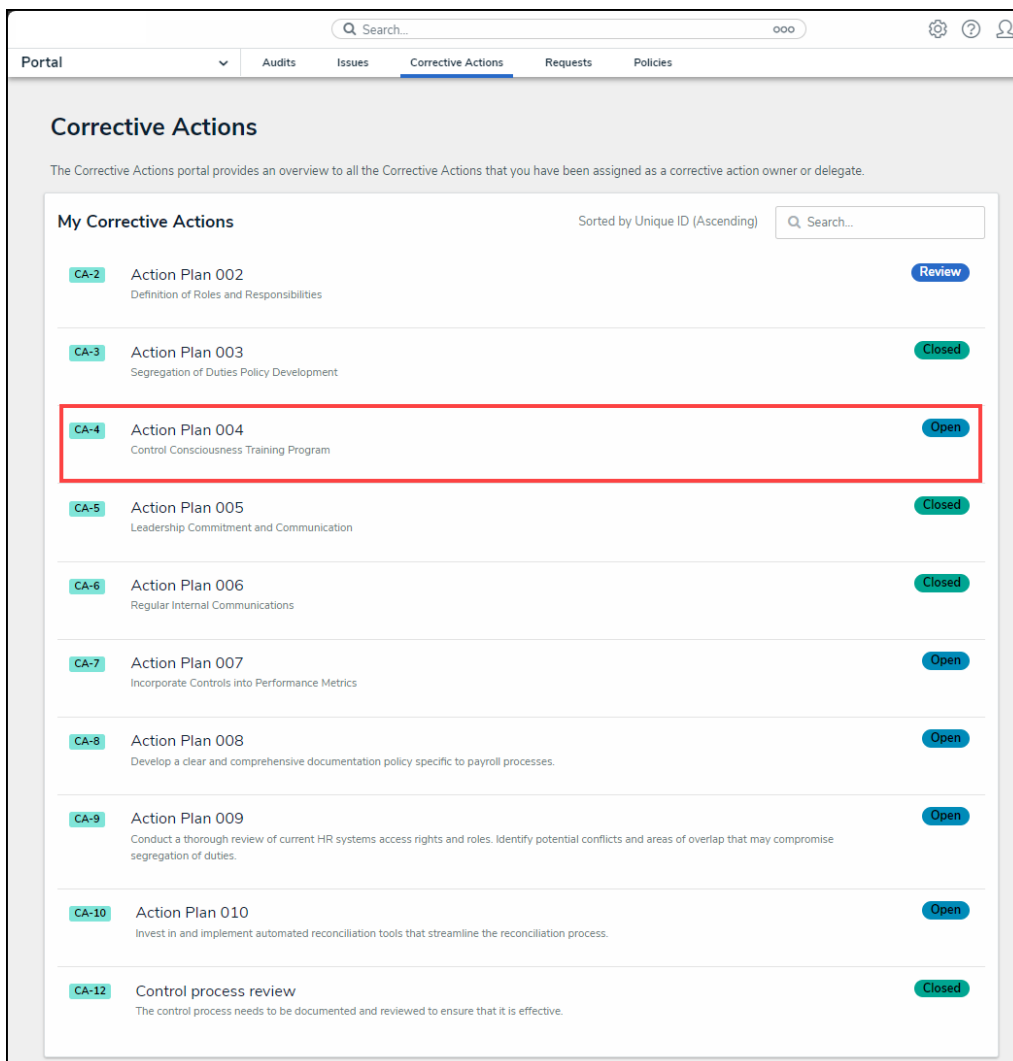
Home Dropdown

2. From the **Audits** screen, click on the **Corrective Actions** tab.



Corrective Actions Tab

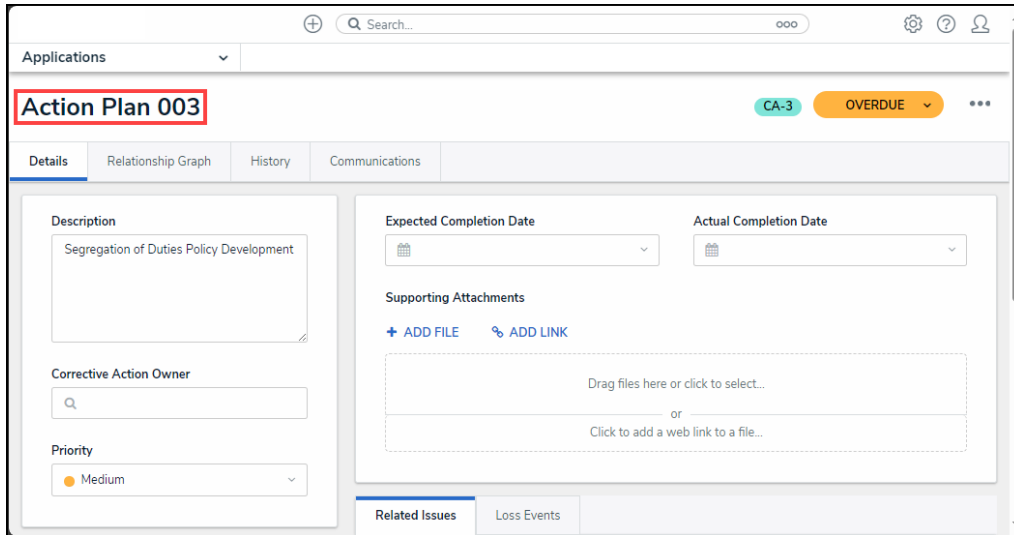
- From the **Corrective Actions** screen, click on an open corrective action from the **My Corrective Actions** section.



Open Corrective Action

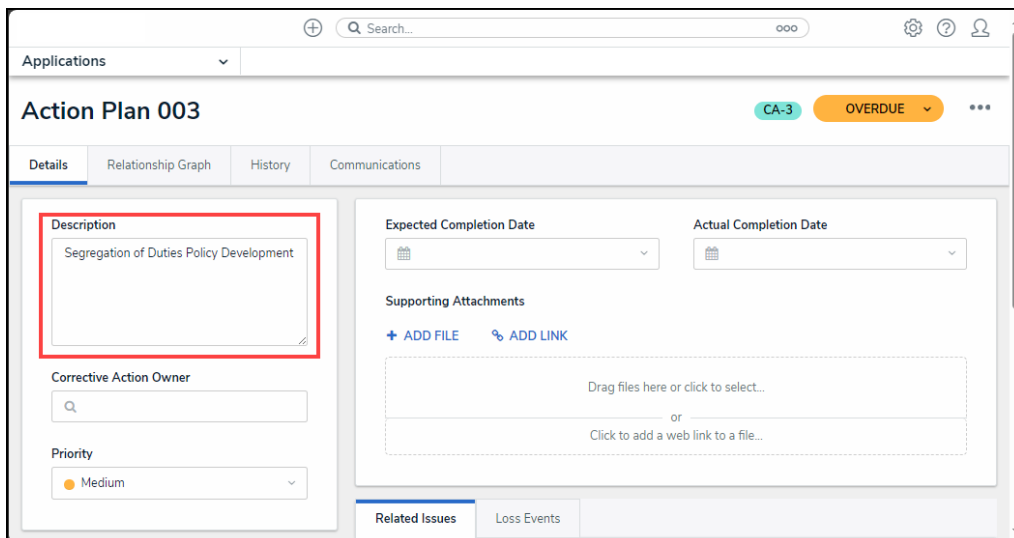
Submitting a Corrective Action for Review

1. From the **Corrective Action** screen, review the corrective action and apply any required changes
2. 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.



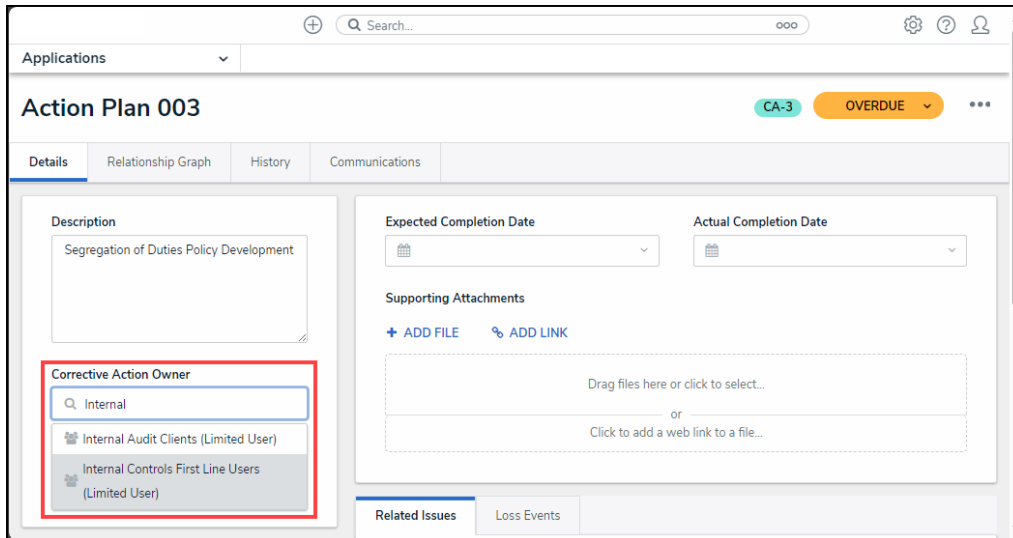
Corrective Action Name Field

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



Description Field

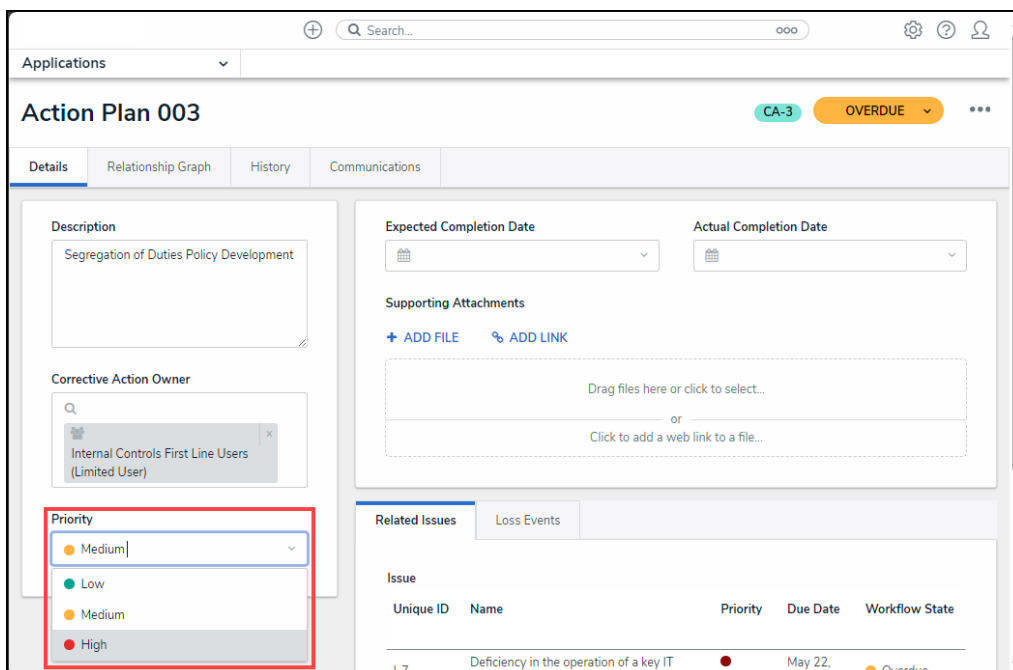
4. Enter a user or user group name in the **Corrective Action Owner** field and select a user or user group from the dropdown menu.



Corrective Action Owner Dropdown

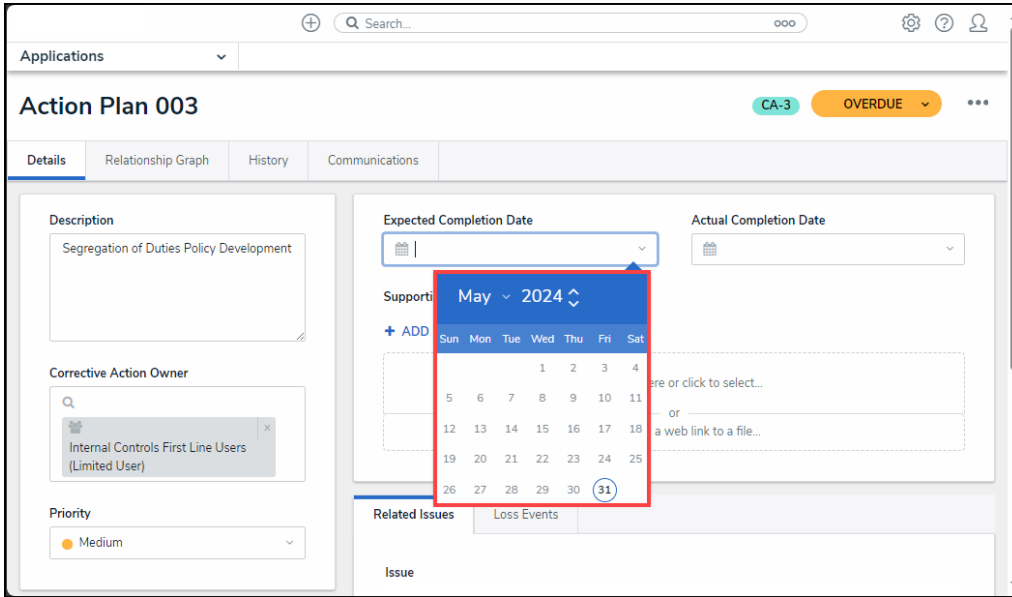
5. Set a corrective action priority by clicking the **Priority** field and selecting a priority from the dropdown menu.

- Low
- Medium
- High



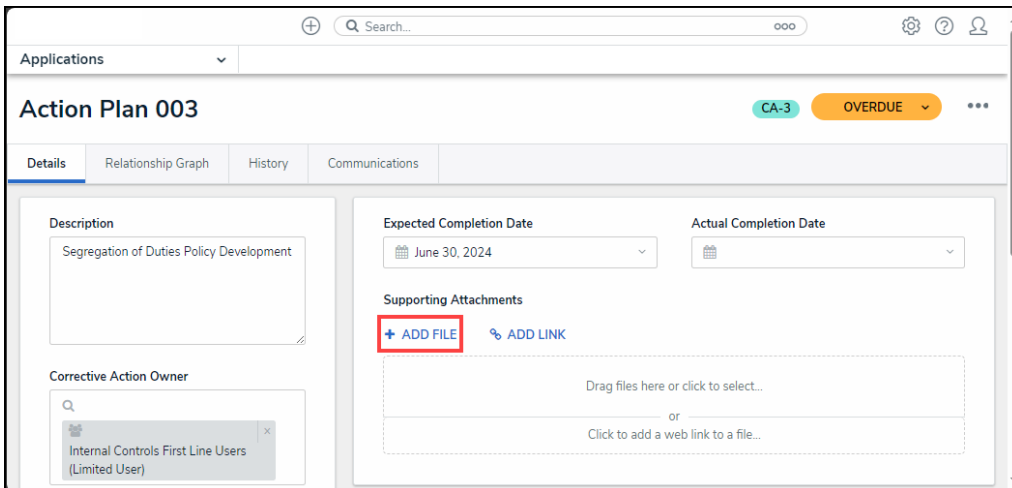
Priority Dropdown

6. **(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.



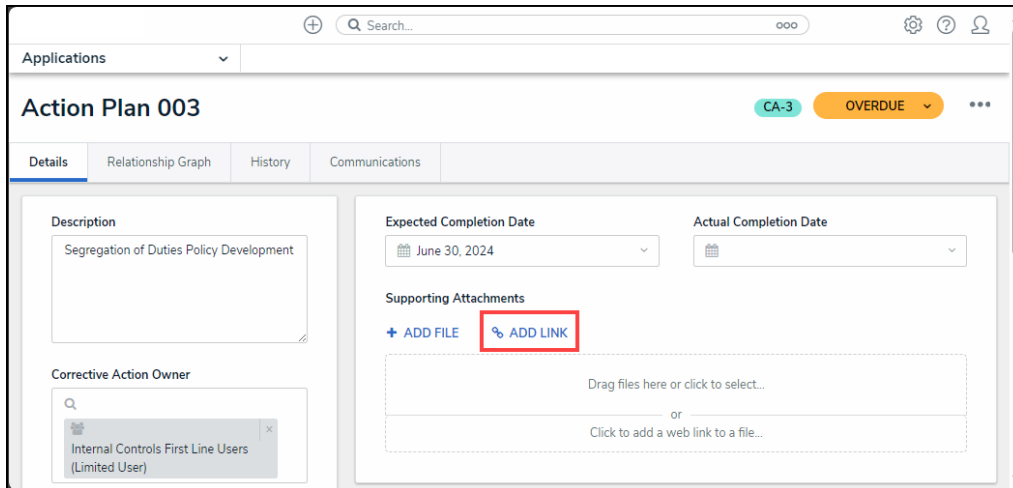
Calendar Pop-up

7. Select the corrective action's actual completion date by clicking the **Actual Completion Date** field and selecting a **Date** from the **Calendar** pop-up.
8. 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).



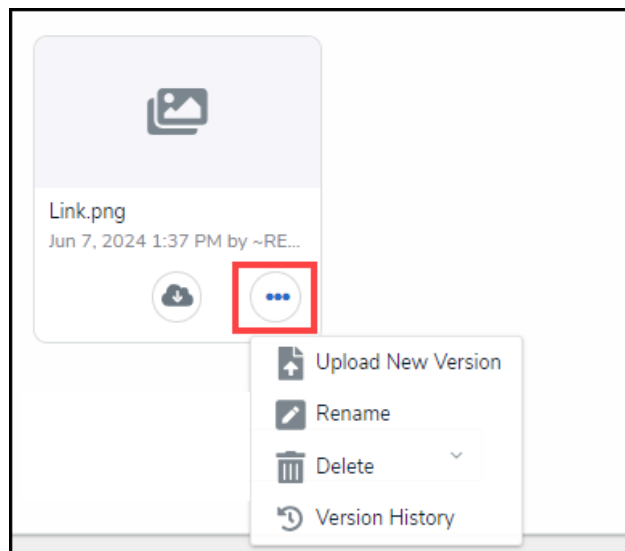
+ Add File Link

9. 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.



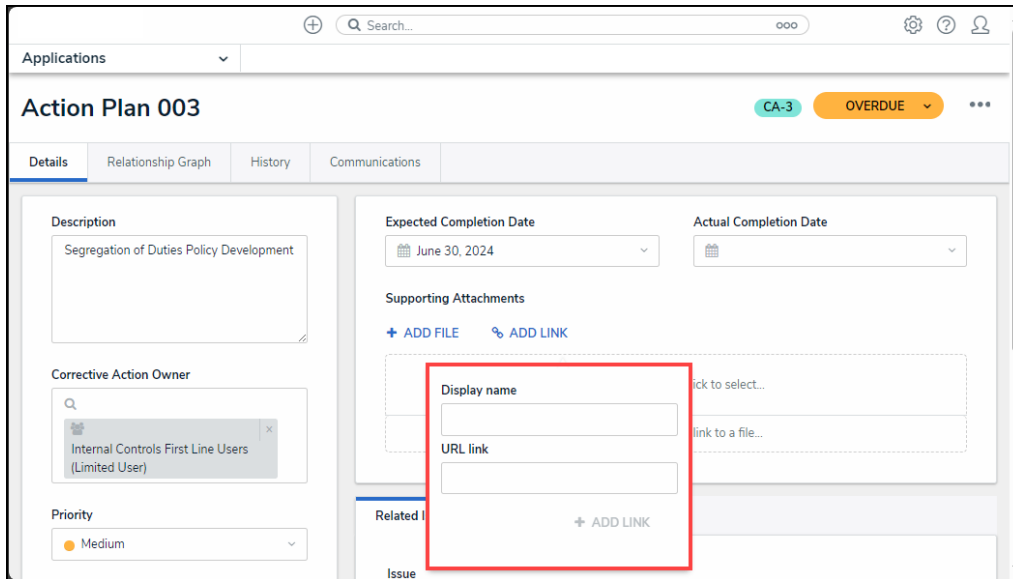
Add Link

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



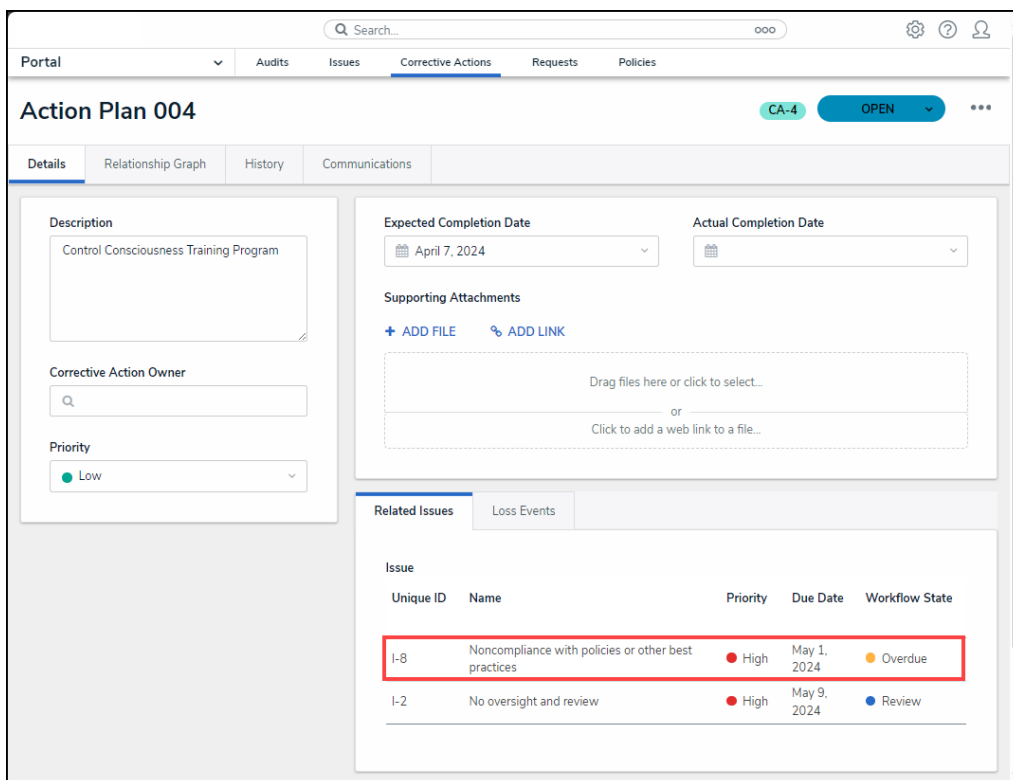
More Icon

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



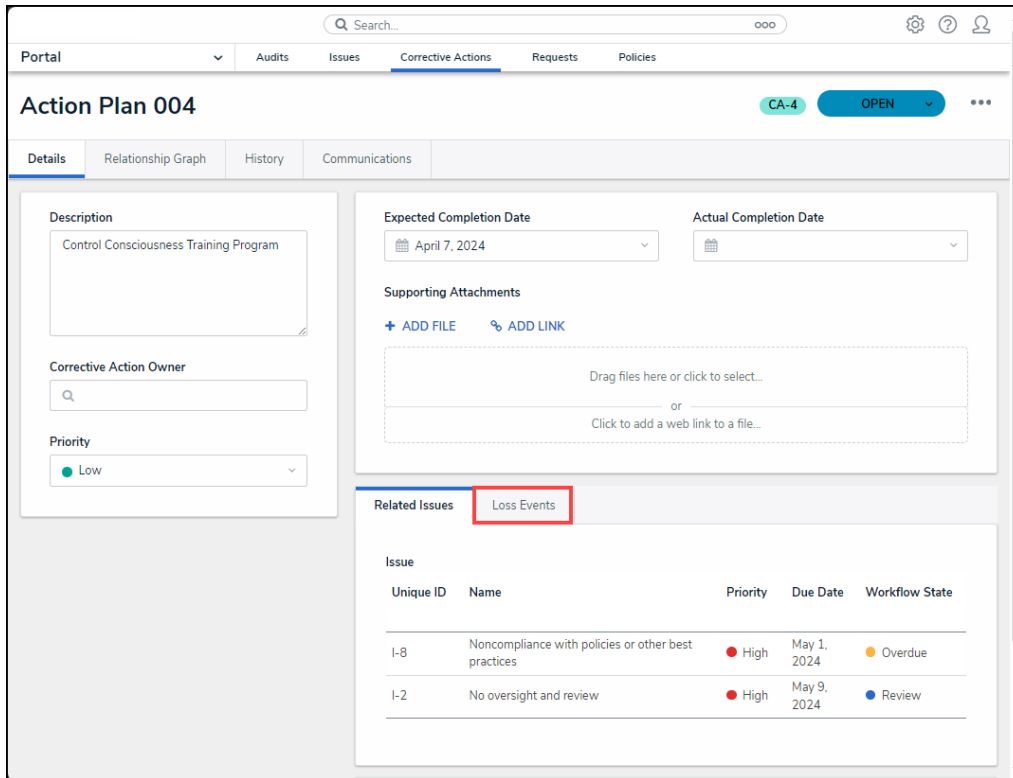
Add Web Link Pop-up

12. Click on a related issue on the **Issues** table to view the related issue.



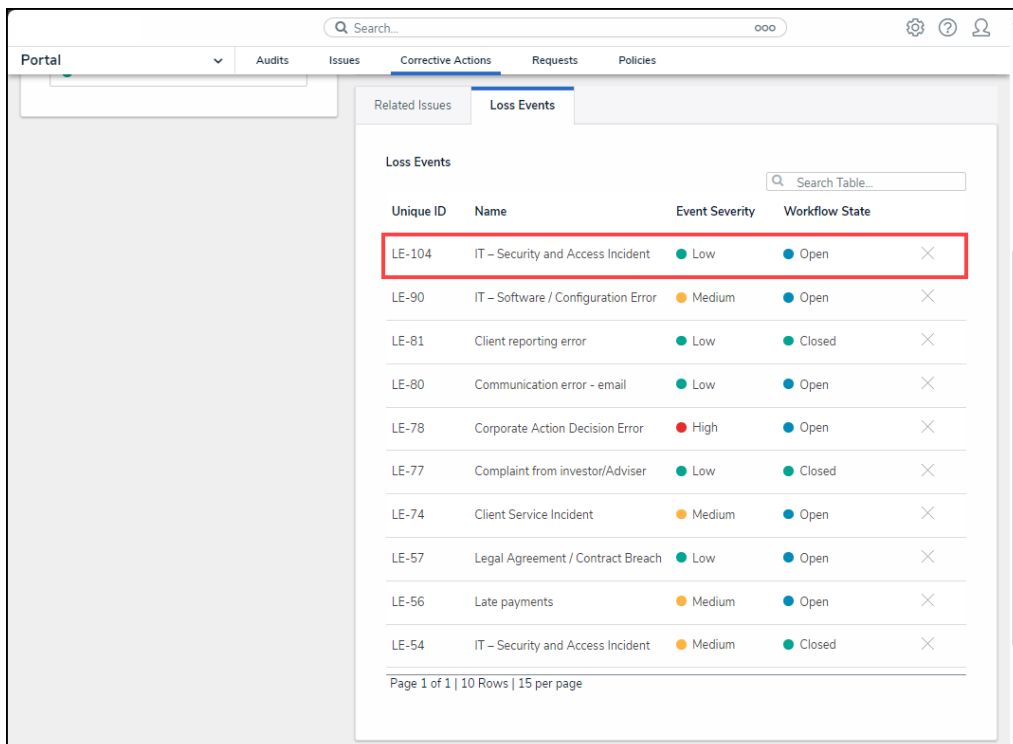
Related Issue

12. Click the **Loss Events** tab.



Loss Events Tab

- From the **Loss Events** tab, click on a loss event on the **Loss Events** table to view the loss event.



Loss Event

- (Optional)** Click the **x** icon next to a loss event to remove the loss event from the

corrective action.

The screenshot shows the Resolver application interface. At the top, there is a search bar and navigation tabs for Portal, Audits, Issues, Corrective Actions, Requests, and Policies. The 'Corrective Actions' tab is active, and the 'Loss Events' sub-tab is selected. Below the tabs, there is a table titled 'Loss Events' with a search bar. The table has four columns: Unique ID, Name, Event Severity, and Workflow State. The first row (LE-104) has a red box around the 'X' icon in the Workflow State column. The table contains 11 rows of data.

Unique ID	Name	Event Severity	Workflow State
LE-104	IT – Security and Access Incident	Low	Open
LE-90	IT – Software / Configuration Error	Medium	Open
LE-81	Client reporting error	Low	Closed
LE-80	Communication error - email	Low	Open
LE-78	Corporate Action Decision Error	High	Open
LE-77	Complaint from investor/Adviser	Low	Closed
LE-74	Client Service Incident	Medium	Open
LE-57	Legal Agreement / Contract Breach	Low	Open
LE-56	Late payments	Medium	Open
LE-54	IT – Security and Access Incident	Medium	Closed

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X Icon

12. Scroll to the bottom of the screen and click the **Submit for Review** button. Users in the Internal Audit Management user group will receive a notification that there is a corrective action ready for review.

Search... 000

Portal Audits Issues **Corrective Actions** Requests Policies

Related Issues **Loss Events**

Loss Events Search Table...

Unique ID	Name	Event Severity	Workflow State	
LE-104	IT – Security and Access Incident	Low	Open	×
LE-90	IT – Software / Configuration Error	Medium	Open	×
LE-81	Client reporting error	Low	Closed	×
LE-80	Communication error - email	Low	Open	×
LE-78	Corporate Action Decision Error	High	Open	×
LE-77	Complaint from investor/Adviser	Low	Closed	×
LE-74	Client Service Incident	Medium	Open	×
LE-57	Legal Agreement / Contract Breach	Low	Open	×
LE-56	Late payments	Medium	Open	×
LE-54	IT – Security and Access Incident	Medium	Closed	×

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REVERT TO DRAFT **SUBMIT FOR REVIEW**

Submit for Review Button