

# Version 24.2ab (Internal Controls)

Last Modified on 12/05/2024 3:45 pm EST

## Improvements

- Enabled the Use Organization Logo on all email templates for the new logo customization functionality.
- Certification Process – Layout Improvements:
  - Added Certification Owner role to Controls.
  - Added Certification Owner to all IC Control forms.
  - Removed the **No** option from the Certification Complete field.
  - Added Name field to IC forms and removed Concatenation option.
  - Create a Certification Sent Date read only field to be use with the point in time reporting feature.
  - Created an action to set Certification Sent Date on the Create and Sent to Owner and Sent to Certification Owner buttons.
  - Removed the **Business Unit** field as a mandatory field on the Creation WF.
  - Added **Company** field as a mandatory field on the Creation WF.
  - Certification Owner Summary Report.
    - Created a new relationship between company and control
    - Added new data definitions:
      - Certification
      - Company
      - Business Unit
      - Internal Controls Assessment
      - Process (Control)
      - Sub Process
      - Control
    - Enabled the Point in Time reporting feature.
    - Add **Certification Owner** role parameter on both Control and Issues.
    - Reduced the amount of report filters.
    - Remove the Process table and added Process Name as a column on the Control table.
  - IC – Certification Owner Summary for the IC team:
    - Used on the Certification – IC Overview form.
    - Similar with Certification Owner Summary report with an additional note for users and no parameters.
    - Intention is to use Certification Owner role filter and point in time reporting.
  - IC – Certification Summary:

- Change the data definition to Company – Certification.
- IC – Continuous Assessment Layout Improvements:
  - Added the Prior Year Complete Date field to the Assessment Management section on the Internal Controls Assessment – 2 – In Progress and Complete form.
  - An action to set the Prior Year Complete Date was added to the Complete Testing trigger on the In Progress workflow for the Assessment object type.
  - Created IC – Process – Prior Year Process Updates Report with Point in Time Reporting feature with the Prior Year Complete Date.
  - Created IC – Control – Prior Year Control Updates Report with Point in Time Reporting feature with the Prior Year Complete Date.
  - The following actions were added to the OE: Reassess from ICA trigger on the Complete workflow for the Process object type:
    - Clear the answer to Question 1 – Have there been any changes to the process (e.g. staff changes, system changes, etc.) since the last testing cycle?
    - Clear the answer to Question 2 – Have there been any changes to the process that would impact the related controls?
    - Clear the answer to Question 3 – Have any known issues been identified since the last testing cycle?
    - Clear the answer to Question 4 – Are there any additional changes to note?
    - Clear the Date Update field.
    - Clear the Changes to Process field.
    - Clear the Updated by field.
    - Added Prior Year Complete Date.
  - Changes to the Process – IC – 1 Process Overview form:
    - Added the Send to Process Owner button to the Process Update tab.
    - Added the Prior Year Completed Date field.
  - Changes to the Process – Prior Year Process Updates form:
    - Report focus was changed to process
    - Anchor was changed to process
    - Data was changed to process
    - Enabled filter by report date
    - Added the following columns:
      - Date Updated
      - Updated By
      - Changes to Process
      - Current Update Status
      - Question 1 – Changes Question
      - Question 2 – Control Changes Question

- Question 3 – Issues
- Question 4 – Additional Changes
- Removed the Roll Forward field from the IC – Risk and Control Matrix and IC – Risk and Control Matrix (data grid).
- Added the Bypass Required Fields to the OE: Complete Review from Test: Review trigger on the Review workflow for the Control object type.
- Add the Complete Prior Year Test variable to the OE: Send for Review from Test: In Progress trigger on the Review workflow for the Control object type.
- The Roll Forward Testing transition was removed from the OE: Reassess from ICA: Complete trigger on the Complete workflow for the Control object Type.
- The following actions were added to the OE: Prior Year Complete Attachments from Control: Reassess New Testing Year on the Complete workflow for the Control object Type:
  - Clear the answer to Question 1 – Have there been any changes to the control (e.g. staff changes, system changes, etc.) since the last testing cycle?
  - Clear the answer to Question 2 – Have there been any changes to the process that may impact this control’s design?
  - Clear the answer to Question 3 – Have any known issues been identified since the last testing cycle?
  - Added Prior Year Completion Date.
- The following actions were added to the OE: Prior Year Complete Tests from Control: Reassess New Testing Year on the Complete workflow for the Control object Type:
  - Clear the Updated By field.
  - Clear the Changes to Control field.
  - Clear the Date of Last Update field.
  - Clear the answer to Question 4 – Are there any additional change to note?
- The following changes were made to the Control – IC – 2a – Control Walkthrough and Testing form:
  - Added the Send to Control Owner button on the Control Update tab.
  - Added Prior Year Completed Dated and Description fields (read only).
- The following changes were made to the Control – Prior Year Control Updates form:
  - Report focus was changed to controls
  - Anchor was changed to controls
  - Data was changed to controls
  - Enabled filter by report date
  - Added the following columns:
    - Date Updated
    - Updated By
    - Changes to Control

- Current Update Status
- Question 1 - Control Changes
- Question 2 - Process Changes Question
- Question 3 - Issues
- Question 4 - Additional Changes
- The **Phase** field was removed from the following forms:
  - Test - IC - Testing Working Paper
  - Test - GRC - 1 - Create
  - Test - IC - External Auditor Overview
- The following consume Orchestrated Events were added to the Prior Year Complete workflow on the Test object type:
  - OE: Prior Year Complete from Control: Reassess on Complete State
  - OE: Archive Prior Year Complete Tests from Control: Reassess on Prior Year Complete State
- The following consume Orchestrated Events were added to the Received workflow on the Request object type:
  - OE: Archive from ICA - Process: Complete
  - OE: Archive from ICA - Sub Process: Complete
  - OE: Archive from ICA - Controls: Complete
- Added the consume Orchestrated Event OE: Prior Year Complete Attachments from Control: Reassess New Testing Year to the Completed workflow on the Attachments object type.
- Added the consume Orchestrated Event OE: Archived Prior Year Complete Attachments from Control: Reassess New Testing Year to the Prior Year Completed workflow on the Attachments object type.
- The following changes were made to the Control object type:
  - Removed the Orchestrated Event OE: Send for Review from Testing In Progress.
  - Removed the Send to Review button.
  - Renamed the Orchestrated Event OE: Complete Review from Test: Review to OE: Complete Testing for Test: Review.
  - Added the Complete Control button.
  - Removed the review trigger from the Internal Controls Assessment - Control workflow.
  - Removed the Orchestrated Event OE: Return to Tester form Test: Review.