

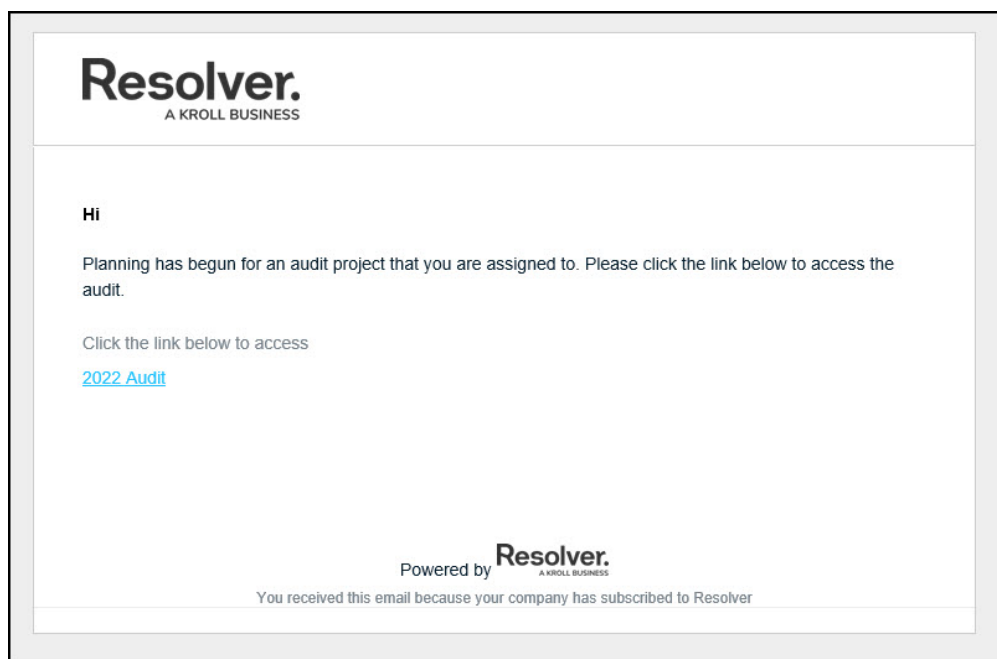
Activating an Internal Audit Project

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Overview

After creating an Internal Audit Project, the assigned Internal Audit Lead will review the Audit and move it to the next stage by clicking on the **Define Audit Scope** button on the bottom of the **Audit Details** screen.

When an Internal Audit Project moves from the **Creation** stage to the **Planning** stage, members of the Internal Audit Leads/Managers user group will receive an email notification from **noreply@resolver.com**, indicating that the Internal Audit Project has officially started. If the email does not appear in your **Inbox**, please search another email folder (e.g. Junk, etc.).



Planning Stage System Email Notification

Click the **Click the link below to access** link to access the Audit Project. If you are not logged into Resolver, you will be redirected to the Resolver Login screen before the Audit Project.

All internal audit projects that require action from the lead will also appear on the user's **My Tasks** section on the **Home** screen.

User Account Requirements

The user account you use to log into Resolver must be added to either the Internal Audit Leads or Internal Audit Managers user group.

Required Information/Setup

You must first create an Internal Audit Project before it can be Activated. Please follow the link below for instructions on how to Create an Internal Audit Project:

- [Creating an Internal Audit Project](#)

Before creating an Internal Audit Project, you must first assess what elements you want to audit by creating an Audit Plan:

- [Create an Audit Plan](#)

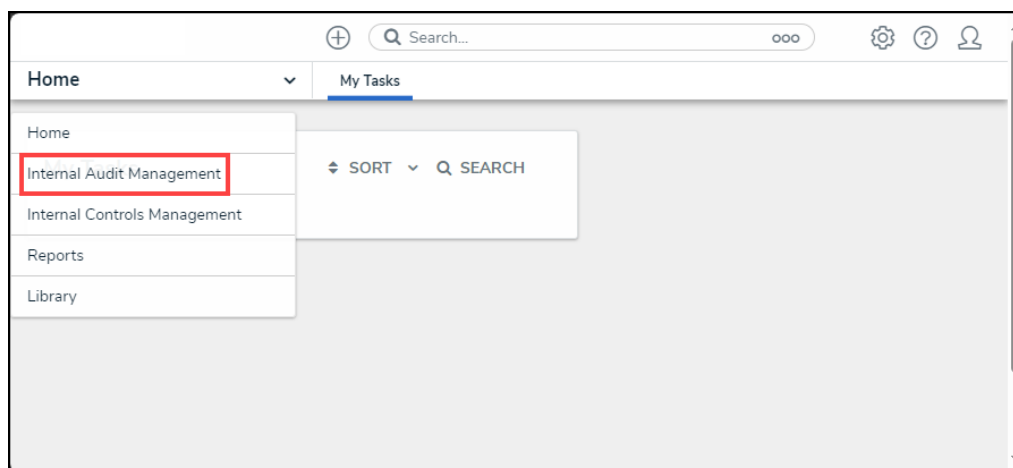
Please refer to the Defining the Scope for an Internal Audit Project article for further information regarding adding a scope to an Internal Audit Project.

- [Defining the Scope for an Internal Audit Project](#)

Navigation

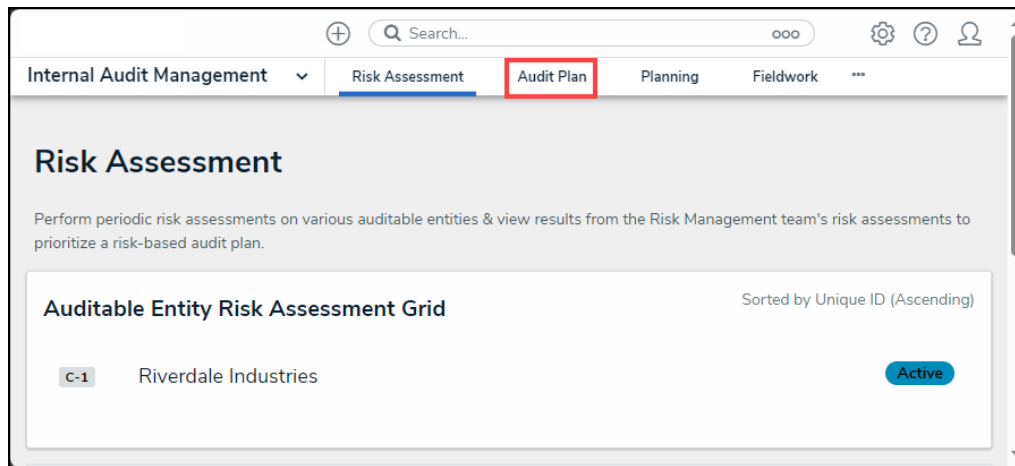
Activating an Internal Audit Project consists of moving the Internal Audit Project through the Audit Plan and into the Planning state.

1. From the **Resolver Home** screen, click the **Home** drop-down and select the **Internal Audit Management** link.



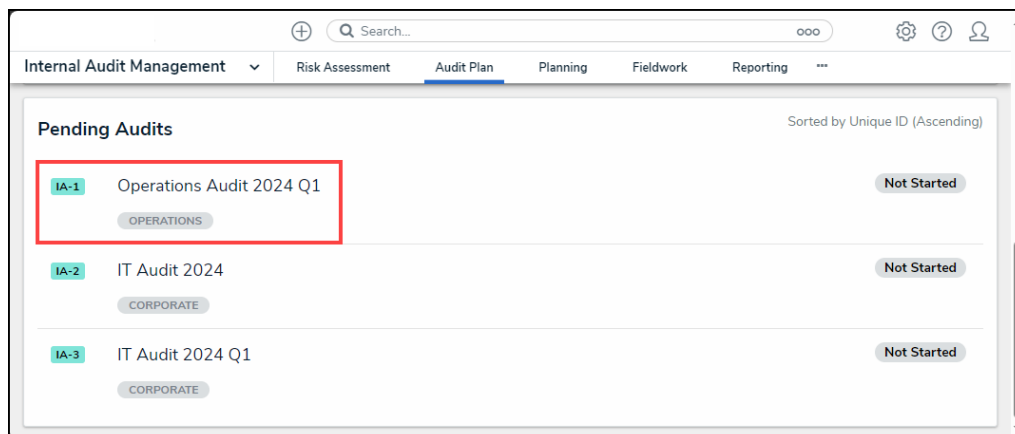
Home Drop-Down

2. From the **Risk Assessment** screen, click on the **Audit Plan** tab.



Audit Plan Tab

- From the **Audit Plan** screen, click on an **Internal Audit Plan** with a **Not Started** state from the **Pending Audits** section.



Pending Audits Section

Activating an Internal Audit Project

- From the **Internal Audit Projects** screen, add more information to the Audit Project by filling out the fields on the **Audit Details** section:
 - **Audit Plan:** An Audit Plan groups multiple internal audit projects of a similar theme (e.g., projects from the same year, the same organizational branch, etc.). Audit Plans must be first added to the system before you can select them from the drop-down list.
 - **Audit Type:** Select an **Audit Type** from the drop-down list. The Audit Type defines the area the Audit Project will evaluate.
 - **Operational:** An **Operational Audit** is an audit that focuses on an Entity's key processes, procedures, systems, and internal control.
 - **Financial:** A **Financial Audit** is an audit of the Entity's financial statements by an independent party.

- **Compliance:** A **Compliance Audit** is an audit of the Entity's internal policies, procedures, laws, and regulations where the entity operates.
- **IT:** An **IT Audit** is an audit of the Entity's information system.
- **Special Project:** A **Special Project Audit** occurs internally and is performed by an internal auditor (e.g., fraud, business case, or other special cases).
- **Other:** Use the **Other Audit** type for all other audit types that do not currently have an Audit Type.
- **Auditable Entity:** An **Auditable Entity** is an element (e.g., business unit, legal entity, office location, etc.) of an organization that can be audited. Auditable Entities make up an organization's Auditable Universe.
- **Business Unit:** The **Business Unit** creates a reporting connection to the assessment and allows users to create assessment reports (reporting path Company>Business Unit>Assessment).
- **Audit Client:** Enter an internal audit client's name in the **Internal Audit Client** field and select them from the drop-down list. An **Audit Client** views the full scope of the audit, including Processes, Risks, Controls, Requests, Issues, and Corrective Actions (Read-only) and can view final audit reports.
- **Planned Quarter:** The **Planned Quarter** indicates the time of year the audit will occur.

The screenshot displays the Resolver Internal Audit Management interface. The top navigation bar includes 'Internal Audit Management', 'Risk Assessment', 'Audit Plan', 'Planning', 'Fieldwork', 'Reporting', 'Issues & Actions', and 'Audit Committee Dashboard'. The main header shows 'Operations Audit 2024 Q1' with a status of 'IA-1 NOT STARTED'. Below the header, there are tabs for 'Details', 'Relationship Graph', 'History', and 'Communications'. The 'Details' tab is active, showing the 'Audit Details' section on the left and the 'Audit Planning Memo' section on the right. The 'Audit Details' section includes fields for 'Audit Plan' (2024 Internal Audit Plan), 'Audit Type' (Operational), 'Auditable Entity' (U.S.A.), 'Business Unit' (Operations), 'Audit Client' (Internal Audit Clients (Limited User)), and 'Planned Quarter' (Q1). The 'Audit Planning Memo' section includes fields for 'Audit Background', 'Audit Objectives', 'Audit Approach', and 'Audit Scope'.

Audit Details Section

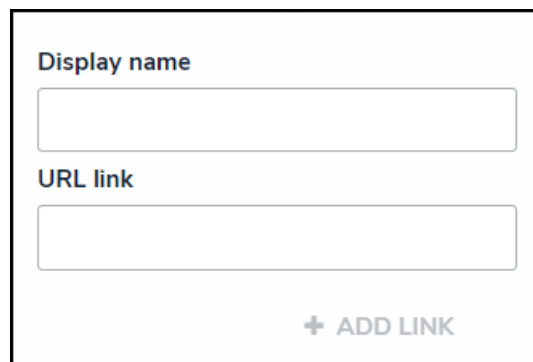
2. Fill out the following fields on the **Audit Planning Memo** tab:

The screenshot displays the Resolver Internal Audit Management interface. At the top, there's a navigation bar with tabs: Internal Audit Management, Risk Assessment, Audit Plan (selected), Planning, Fieldwork, Reporting, Issues & Actions, and a menu icon. Below this, the main header shows 'Operations Audit 2024 Q1' with a status 'IA-1' and 'NOT STARTED'. A sub-navigation bar includes 'Details' (selected), 'Relationship Graph', 'History', and 'Communications'. The left sidebar, titled 'Audit Details', contains several fields: 'Audit Plan' (with a search bar showing '2024 Internal Audit Plan'), 'Audit Type' (set to 'Operational'), 'Auditable Entity' (set to 'U.S.A.'), 'Business Unit' (set to 'Operations'), 'Audit Client' (with a search bar showing 'Internal Audit Clients (Limited User)'), and 'Planned Quarter' (set to 'Q1'). The main content area is titled 'Audit Planning Memo' and has two sub-tabs: 'Audit Planning Memo' (selected) and 'Key Dates and Resource Planning'. The 'Audit Planning Memo' tab contains several free-form text areas: 'Audit Background', 'Audit Objectives', 'Audit Approach', 'Audit Scope', and 'Other Audit Considerations'. Below these is a 'Supporting Attachments' section with '+ ADD FILE' and '+ ADD LINK' buttons, and a dashed box for file uploads. At the bottom, there's a 'Define & Review Audit Scope' section with a 'DEFINE AUDIT SCOPE' button.

Audit Planning Memo Tab

- **Audit Background:** A free-form field that allows you to track any audit background information. Audit background information consists of why the audit is required.
- **Audit Objectives:** A free-form field that allows you to track any audit objective information. Audit objective information consists of Internal Audit goals (what the audit attempts to achieve).
- **Audit Approach:** A free-form field that allows you to track any audit approach information. Audit approach information consists of how the Internal Audit will achieve its goals.
- **Audit Scope:** A free-form field that allows you to track any audit scope information. Audit scope information consists of processes, risks, controls, and tests used in the Internal Audit.

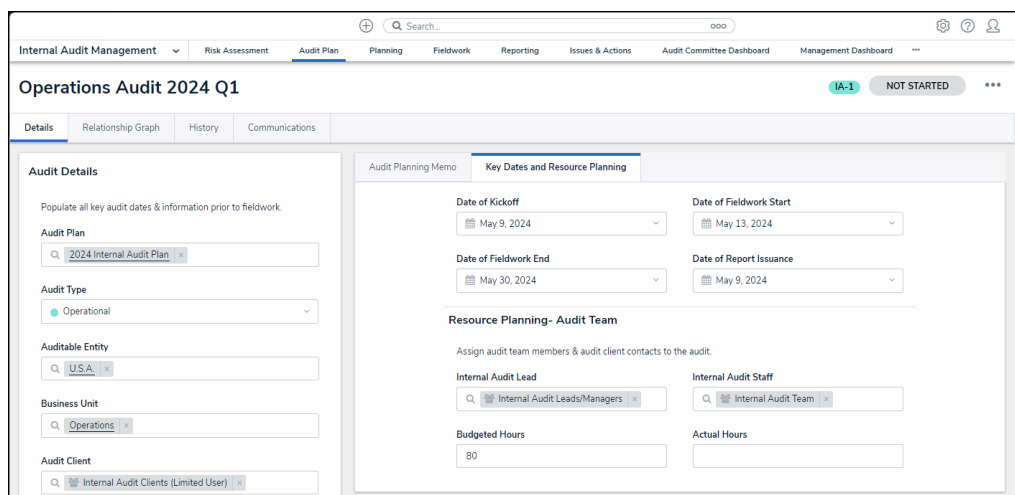
- **Other Audit Considerations:** A free-form field that allows you to track any miscellaneous audit information.
- **Supporting Attachments:** Add supporting document files (up to 100 MB per file) to the Audit by dragging and dropping the files in the designated area or by clicking the **+ Add File** link and selecting a file from the connected PC, the following file types .bat, .exe, .gif, .sh, .dll, and .com cannot be uploaded. You can also add web links to supporting documents by clicking **Add Link**. Enter a **Display Name** and **URL Link** on the **Web Link** pop-up and click the **+ Add Link** button to add a web link.



A screenshot of a 'Web Link Pop-up' form. It contains two text input fields: the first is labeled 'Display name' and the second is labeled 'URL link'. Below these fields is a button with a plus icon and the text '+ ADD LINK'.

Web Link Pop-up

3. Fill out the following fields on the **Key Dates and Resource Planning** tab:



A screenshot of the 'Internal Audit Management' application interface. The main section is titled 'Operations Audit 2024 Q1'. The 'Key Dates and Resource Planning' tab is selected. The form includes several date pickers: 'Date of Kickoff' (May 9, 2024), 'Date of Fieldwork Start' (May 13, 2024), 'Date of Fieldwork End' (May 30, 2024), and 'Date of Report Issuance' (May 9, 2024). There is also a 'Resource Planning- Audit Team' section with fields for 'Internal Audit Lead' (Internal Audit Leads/Managers), 'Internal Audit Staff' (Internal Audit Team), 'Budgeted Hours' (80), and 'Actual Hours'. On the left, there is a sidebar with 'Audit Details' including fields for 'Audit Plan' (2024 Internal Audit Plan), 'Audit Type' (Operational), 'Auditable Entity' (U.S.A.), 'Business Unit' (Operations), and 'Audit Client' (Internal Audit Clients (Limited User)).

Key Datas and Resource Planning Tab

- **Date of Kickoff:** Enter the Audit's start date by selecting a date from the **Calendar** pop-up.
- **Date of Fieldwork Start:** Enter the Audit's fieldwork start date by selecting a date from the **Calendar** pop-up.
- **Date of Fieldwork End:** Enter the Audit's fieldwork end date by selecting a date from the **Calendar** pop-up.
- **Date of Report Insurance:** Enter the Report Insurance date selecting a date from the

Calendar pop-up.

- **Internal Audit Lead:** Enter an Internal Audit Lead's name in the **Internal Audit Lead** field and select them from the drop-down list. An Internal Audit Lead manages individual audit projects, reviews tests, progress the audit from Planning to Fieldwork to Reporting.
 - **Internal Audit Staff:** Enter an internal audit staff's name in the **Internal Audit Staff** field and select them from the drop-down list. An **Internal Audit Staff** member performs tasks for individual audit projects.
 - **Budgeted Hours:** Enter the total hours budgeted for completing of the Audit Project.
 - **Actual Hours:** Before completing the Internal Audit Project enter the Actual number of hours it took to complete the Internal Audit Project.
4. From the **Define and Review Audit Scope** section, click the **Define Audit Scope** button to define which processes, risks, controls, and tests are included in the audit. Users must define the Internal Audit Project's scope before moving to the Fieldwork stage. Please refer to the Defining the Scope of an Internal Audit Project article for further information.

The screenshot displays the Resolver Internal Audit Management interface. The left sidebar contains a navigation menu with options: Internal Audit Management, Risk Assessment, Audit Plan, Planning, Fieldwork, Reporting, Issues & Actions, Audit Committee Dashboard, and Management Dashboard. The 'Audit Plan' section is active, showing fields for Audit Plan (2024 Internal Audit Plan), Audit Type (Operational), Auditable Entity (U.S.A.), Business Unit (Operations), Audit Client (Internal Audit Clients (Limited User)), and Planned Quarter (Q1). The main content area is divided into two sections. The top section, 'Resource Planning- Audit Team', includes fields for Date of Fieldwork End (May 9, 2024), Date of Report Issuance (May 13, 2024), Internal Audit Lead (Internal Audit Leads/Managers), Internal Audit Staff (Internal Audit Team), Budgeted Hours (80), and Actual Hours. The bottom section, 'Define & Review Audit Scope', contains a text box with instructions: 'Click the "define audit scope" button to determine what processes, risks, controls, and tests are to be included in this audit. The initial audit scope needs to be defined prior to fieldwork.' A red box highlights the 'DEFINE AUDIT SCOPE' button in the bottom right corner of this section.

Define Audit Scope Button