

Creating a Document Request

Last Modified on 09/12/2025 2:22 pm EDT

Overview

Document Requests for an Internal Audit Project are created and attached to Controls by the Internal Audit Lead when an Internal Audit Project's Scope is complete.

Audit Clients must complete their assigned document request before an Internal Audit Project can be marked complete.

All document requests not sent to Audit Clients before the Internal Audit Project moves from the Planning stage to the Fieldwork stage will be automatically moved from the Draft stage to Outstanding, which will send the document requests to the Audit Clients.

User Account Requirements

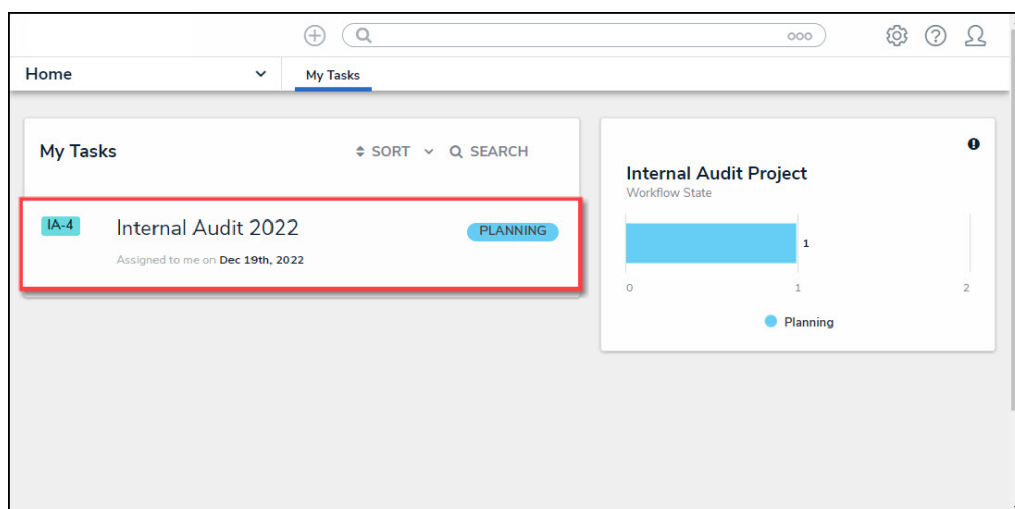
The user account used to log into Resolver must be added to either the Internal Audit Leads or Internal Audit Managers user group.

Required Information/Setup

For further information on how to scope an Internal Audit Project, please refer to the [Define the Scope of an Internal Audit Project](#) article.

Navigation

1. From the **Home** screen, click on an **Internal Audit Project** in the **Planning** stage from the **My Tasks** section.



My Task - Internal Audit Project - Planning

- From the **Internal Audit Project** screen, click the **Document Request** tab.

The screenshot shows the 'Operations Audit 2024 Q1' interface. On the left, the 'Audit Details' sidebar contains 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 area has three tabs: 'Audit Planning Memo', 'Key Dates and Resource Planning', and 'Document Requests' (highlighted with a red box). The 'Document Requests' tab contains sections for Audit Background, Audit Objectives, Audit Approach, and Audit Scope.

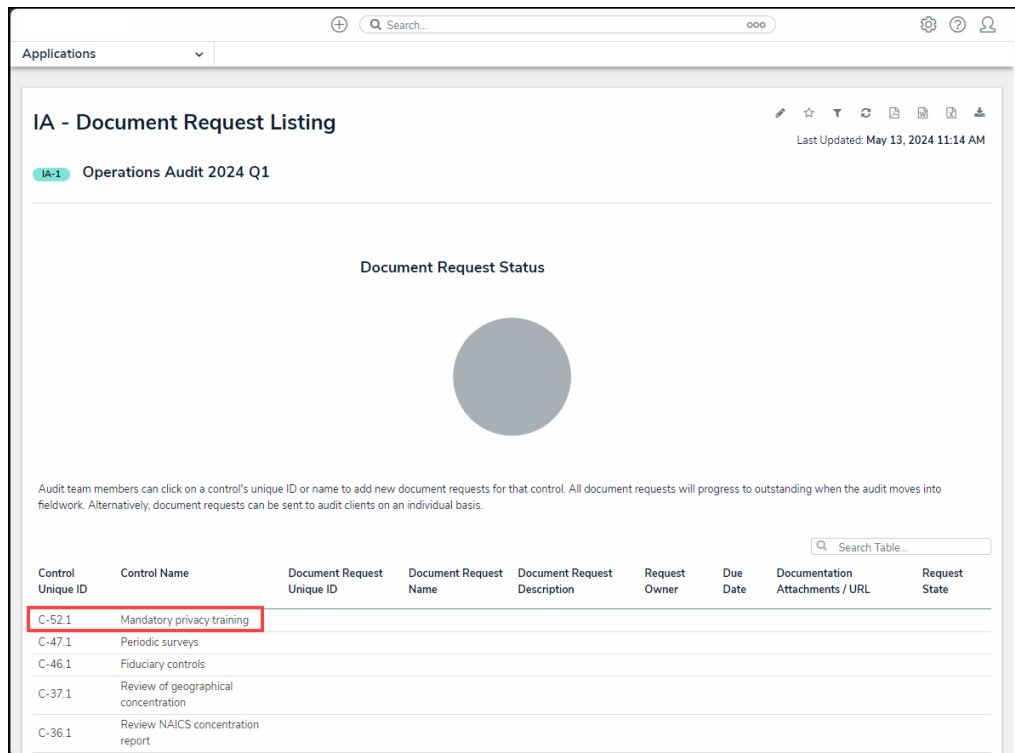
Document Request Listings Tab

- From the **Documentation Request** tab, click the **Document Request Listing** button to create and review document requests for the Internal Audit.

This screenshot shows the same interface as the previous one, but with the 'Document Requests' tab selected. Below the tab headers, there is a section titled 'Create, review, and send document requests for the audit'. It contains two columns of text: 'Document Request List: Create and review an initial document request listing for the audit.' and 'Send all Document Requests: Send all Document Requests to Request Owners. The audit will remain in fieldwork.' At the bottom, there are two buttons: 'DOCUMENT REQUEST LISTING' (highlighted with a red box) and 'SEND ALL DOCUMENT REQUESTS'.

Document Request Listing Button

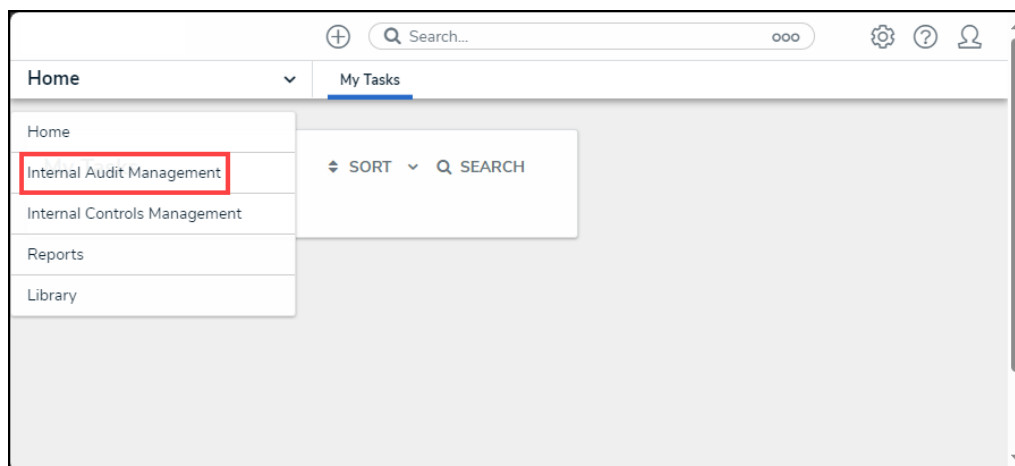
- From the **Document Request Listing** screen, click a **Control**.



Click on a Control

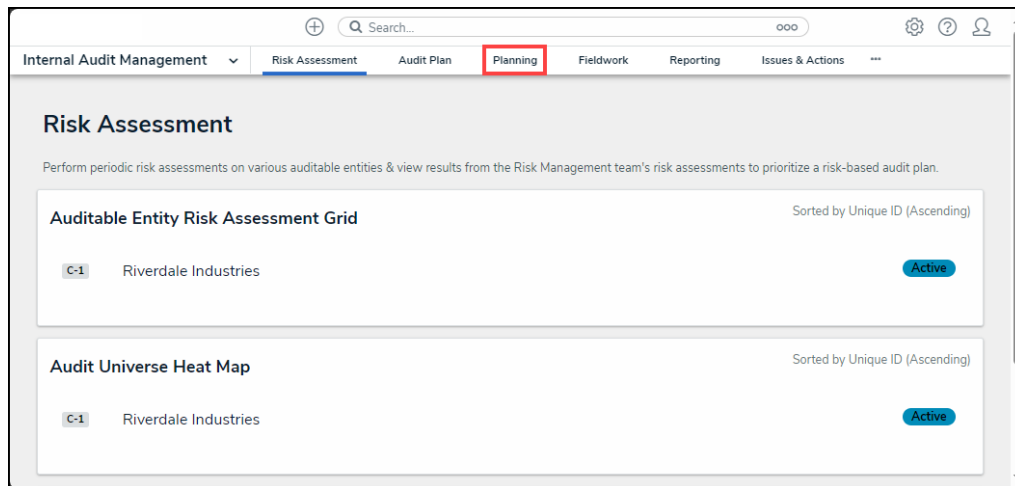
Alternate Navigation

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



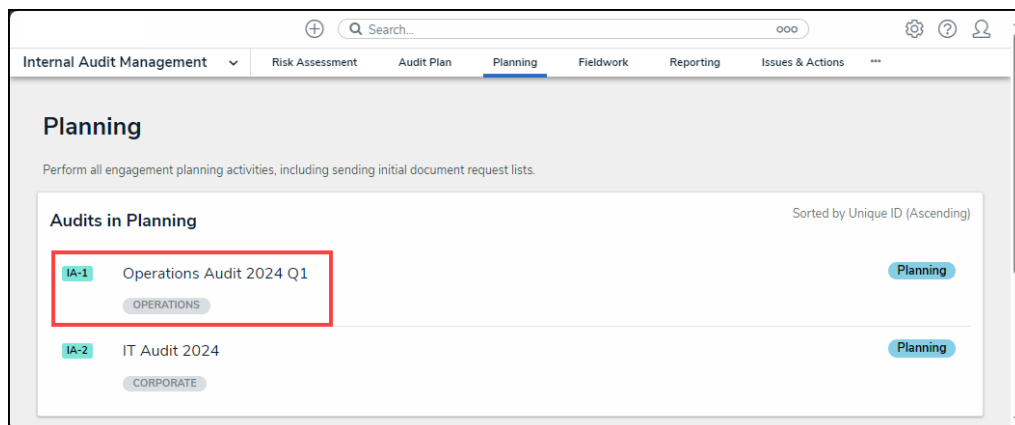
Home Drop-Down

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



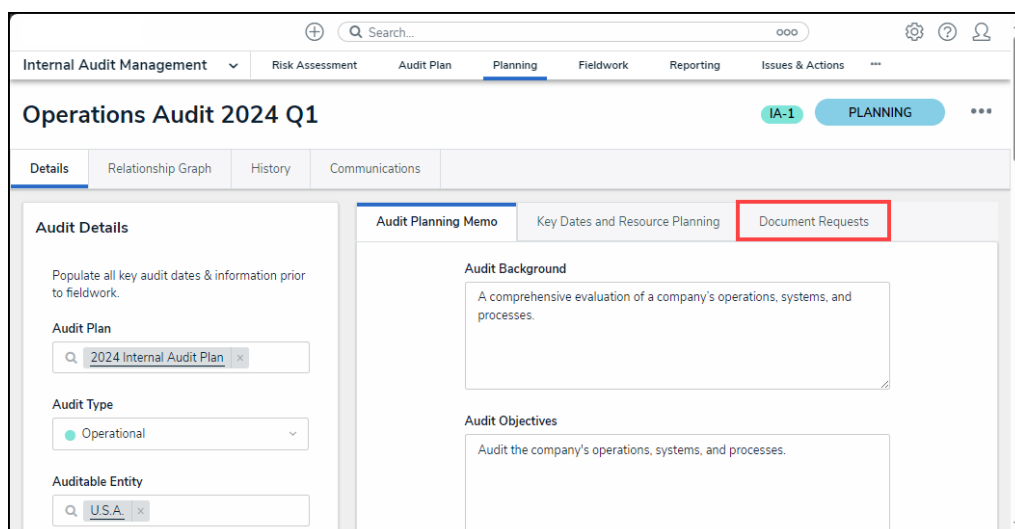
Planning Tab

- From the **Planning** screen, click the **Create Audit Project** button.



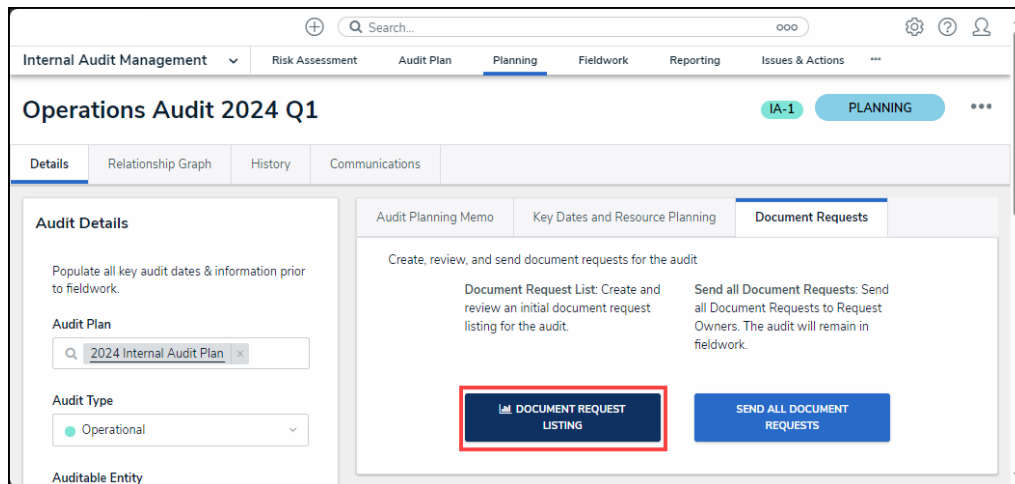
Create Audit Project Button

- From the **Intern Audit Project** screen, click the **Document Request** tab.



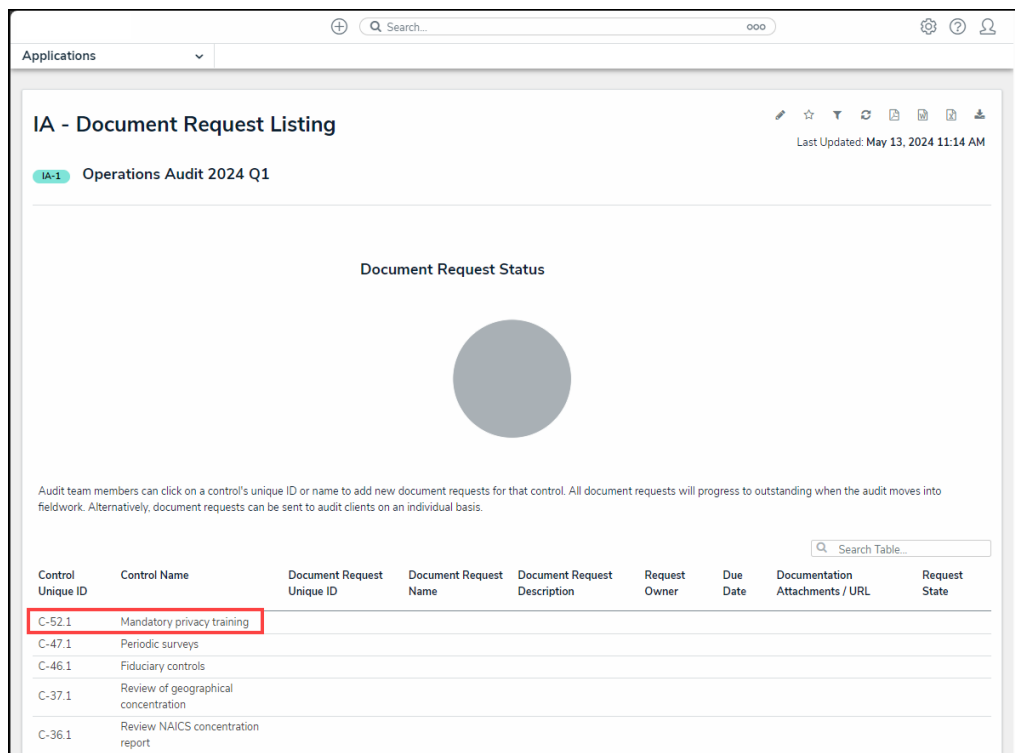
Document Request Tab

- From the **Documents Request** tab, click the **Document Request Listing** button.



Document Request Listing Button

- From the **Document Request Listing** screen, click a **Control**.



Click a Control

Creating a Document Request

- From the **Manage Document Request** screen, edit the following fields:
 - (Optional) Control Name:** Enter a **Control Name**. The **Control Name** is used to identify the Control throughout the system.

- **(Optional) Description:** Enter a **Control Description** outlining further details or instructions.

The screenshot displays the 'Manage Document Requests' interface. The sidebar on the left shows the 'Internal Audit 2022' application. The main content area is titled 'CONTROL' and 'Manage Document Requests' for control ID 'C-54.1', which is currently in an 'IN PROGRESS' state. A red rectangular box highlights the input fields for 'Control Name' and 'Description', both of which contain the text 'Strategic charters are documented'. Below these fields, there is a section titled 'Document Requests' which includes a table with columns for 'Unique ID', 'Name', 'Due Date', 'Documentation Attachments / URL', and 'Workflow State'. The table currently shows 'No data to display'. At the bottom of the panel, there are two actionable links: 'ADD EXISTING DOCUMENT REQUEST' and '+ CREATE NEW'.

Manage Document Request Screen

2. Select one of the following options to add a document request to the Internal Audit Project:
 - **Add Existing Document Request:** Click the **Add Existing Document Request** link to [select an existing document request](#) from the **Add Existing Document Request** pop-up.
 - **+ Create New:** Click the **+ Create New** link to [create a new document request](#) on the **Create a New Document Request** pop-up.

Applications | Search... | Settings | Help | Profile

Operations Audit 2024 Q1

Document Request Status

Audit team members can click on a control's unique ID or name to add new document requests for that control. All document requests can be sent to audit clients on an individual basis.

Control Unique ID	Control Name	Document Request Unique ID	Document Request Name
C-52.1	Mandatory privacy training		
C-47.1	Periodic surveys		
C-46.1	Fiduciary controls		
C-37.1	Review of geographical concentration		
C-36.1	Review NAICS concentration report		
C-23.1	Adherence to structural policy		
C-13.1	Disclosure of personal information to third parties		

CONTROL | **Manage Document Requests** | **C-52.1** | **IN PROGRESS**

Create and manage document requests for this control.

Details | Trending & Analysis | History | Communications

Control Name
Mandatory privacy training

Description
Mandatory privacy training

Document Requests
Create and prepare document requests to send to the audit client. E-mail notifications will be sent automatically when requests are sent.

Document Request

Unique ID	Name	Due Date	Documentation Attachments / URL	Workflow State
No data to display				

[ADD EXISTING DOCUMENT REQUEST](#) [+ CREATE NEW](#)

Document Request Links

- The Document Request will appear on the **Document Request** table on the **Mange Document Request** pop-up.

Applications | Search... | Settings | Help | Profile

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Document Request

Unique ID	Name	Due Date	Documentation Attachments / URL	Workflow State
R-9	Contract Approval policy & procedural documentation	June 2, 2024		Draft

[ADD EXISTING DOCUMENT REQUEST](#) [+ CREATE NEW](#)

Document Request Table

- Click the **x** icon to close the **Mange Document Request** screen.

Applications

IA-1 Operations Audit 2024 Q1

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ADD EXISTING DOCUMENT REQUEST

CREATE NEW

X Icon