

Completing the Fieldwork Stage

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Overview

Once the [tests](#), [controls](#), [risks](#), and [processes](#) attached to an internal audit project have been reviewed, the project itself can be moved out of the fieldwork state.

User Account Requirements

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

Related Information/Setup

Please refer to the [Review Controls as a Member of the Internal Audit Team](#) for more information on reviewing controls.

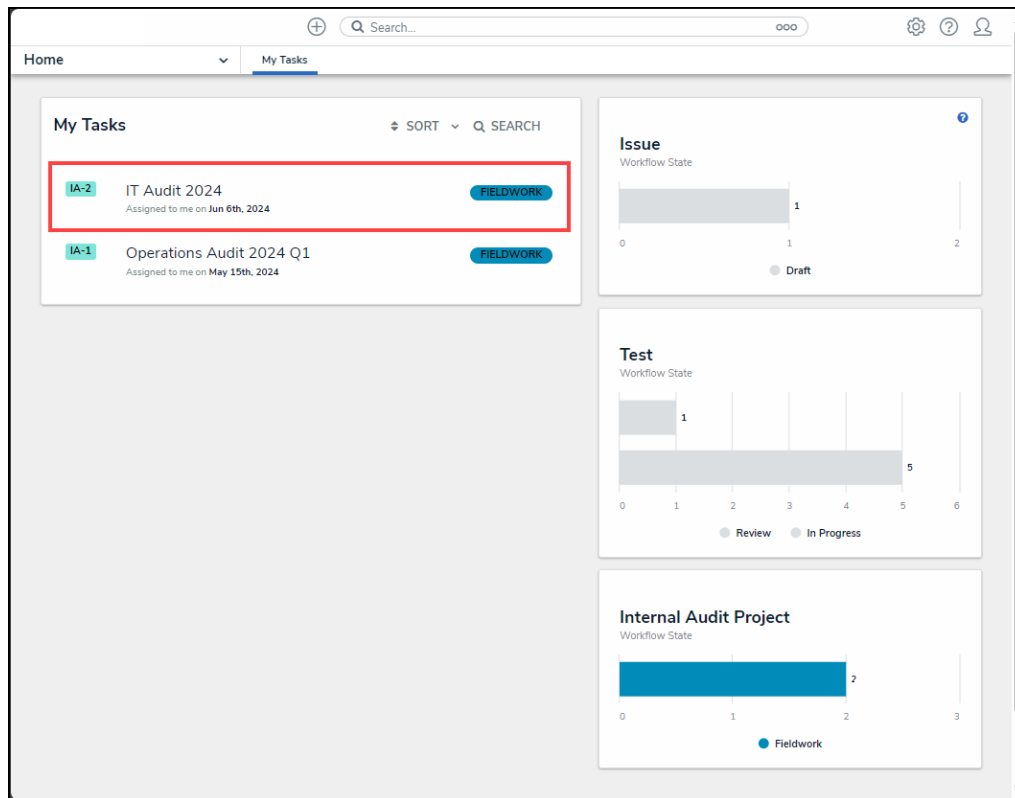
Please refer to the [Sending an Internal Audit Test for Review](#) article for more information on sending a test for review.

Please refer to the [Review Risks as a Member of the Internal Audit Team](#) article for more information on reviewing risks.

Please refer to the [Review Processes as a Member of the Internal Audit Tea](#) article for more information on reviewing processes.

Navigation

- From the **Home** screen, click an internal audit project in the fieldwork stage from the **My Tasks** section.

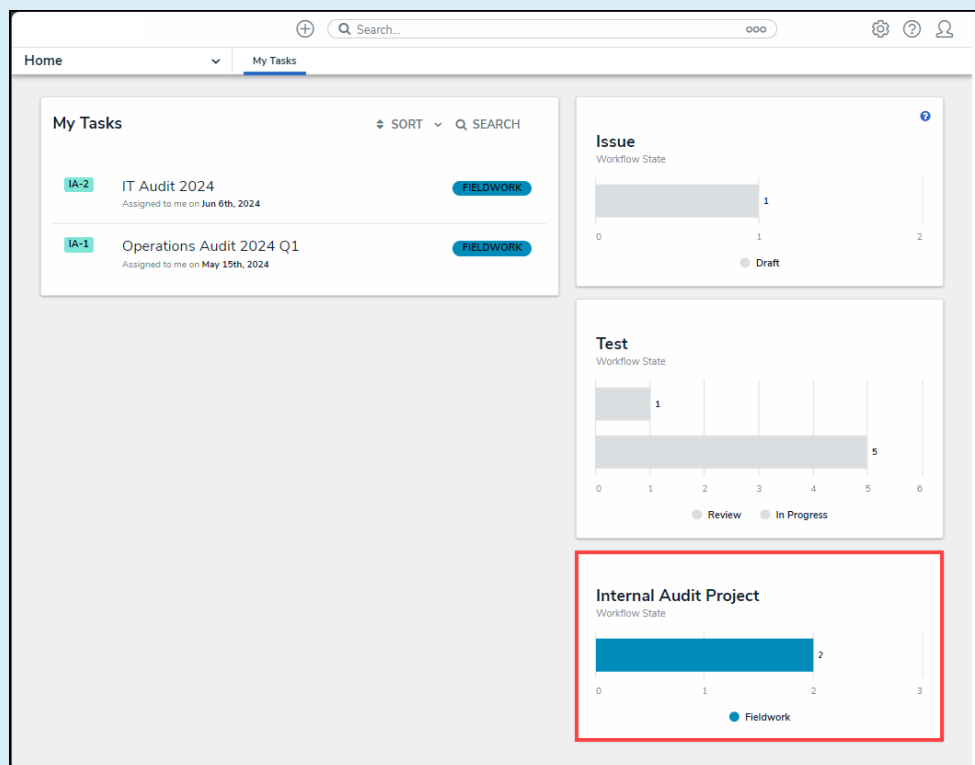


My Tasks



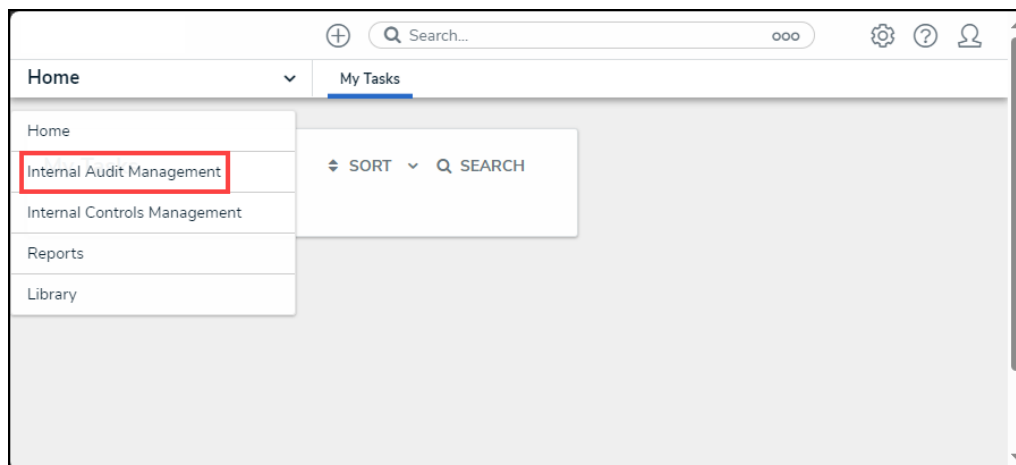
Note:

Click on the **Internal Audit Project** bar chart to view all internal audit projects that require attention in the **My Tasks** section.



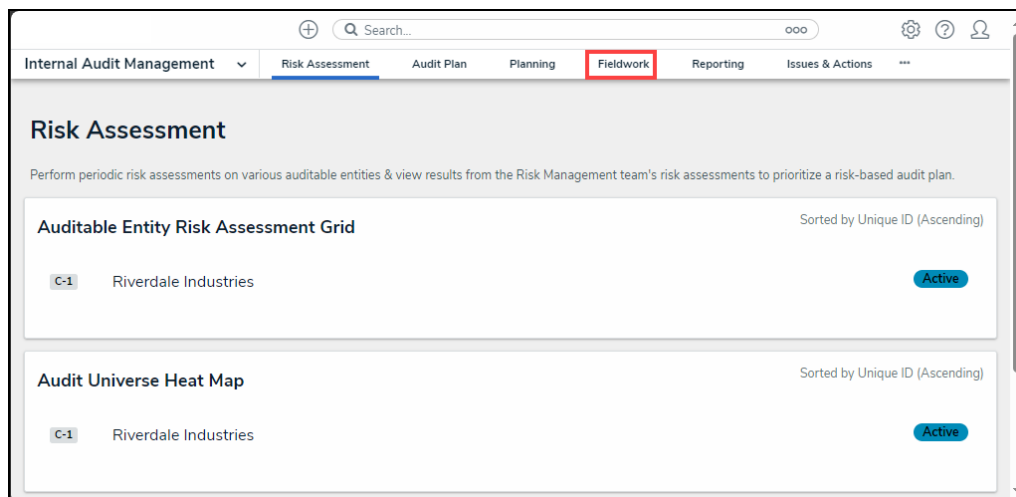
Alternate Navigation

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



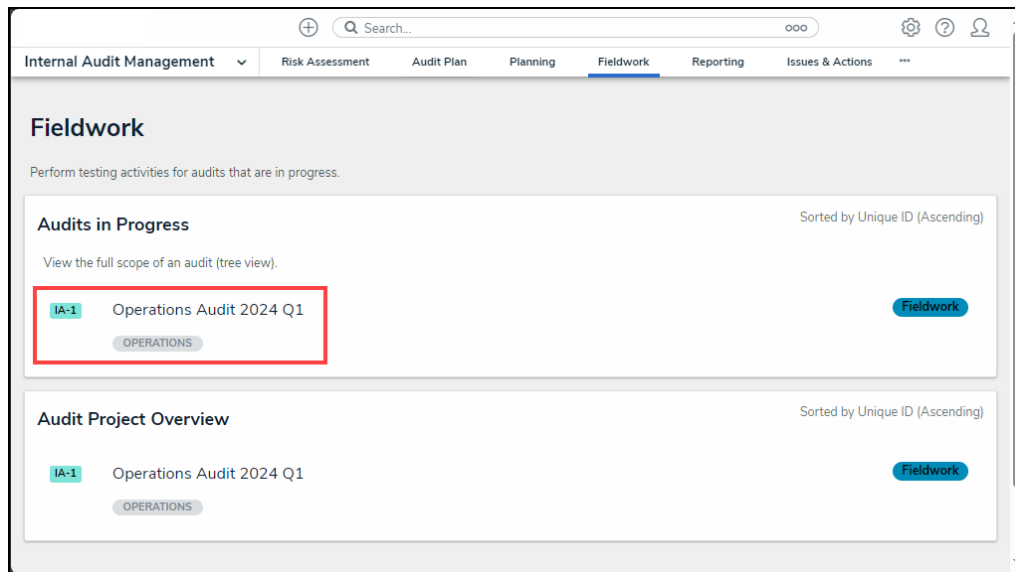
Home Dropdown

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



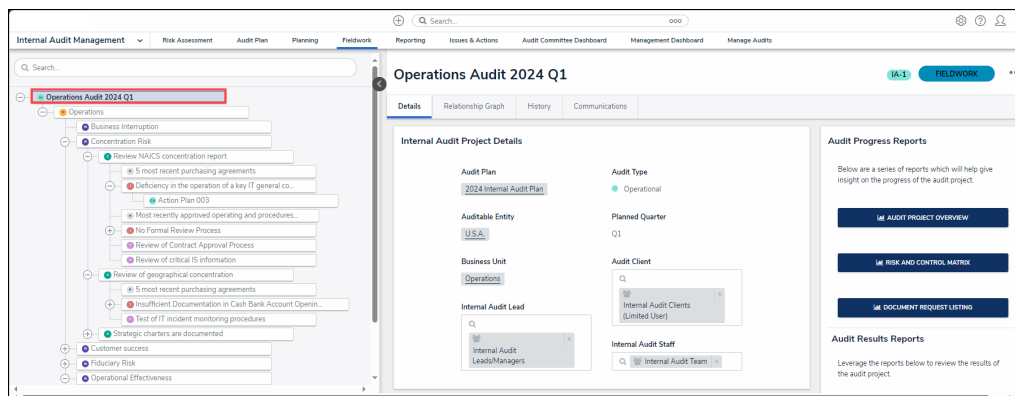
Fieldwork Tab

3. From the **Fieldwork** screen, click on the **Internal Audit** report name that contains the process you want to perform from the **Audits in Progress** section.



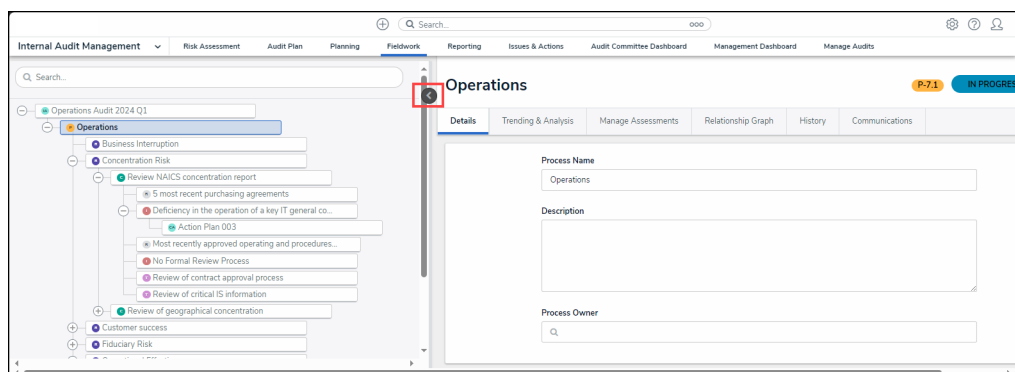
Internal Audit Report

- Click the **Internal Audit Project** node to open the **Internal Audit Project Details** tab.
The internal audit project is indicated with an **IA** icon next to the internal audit project name on the node.



Process Node

- Click the **Collapse** Icon to collapse the **Navigation Tree**.



Collapse Icon

Completing the Fieldwork Stage

1. From the **Internal Audit Project Details** tab, review the following fields:

- **Audit Plan:** Click the **Audit Plan** link to review the audit plan details or to close the audit plan.
- **Auditable Entity:** Click the **Auditable Entity** link to review the auditable entity details or complete the auditable entity risk assessment.
- **Business Unit:** Click the **Business Unit** link to review the business unit's details.
- **Internal Audit Lead:** The user or user group who manages individual audit projects, reviews tests, and progresses the audit from Planning to Fieldwork to Reporting.
- **Audit Type:** The internal audit project's audit type will be listed.
- **Planned Quarter:** The quarter of the year the internal audit project is scheduled to start.
- **Audit Client:** The user or user group who views the full scope of the audit, including Processes, Risks, Controls, Requests, Issues, and Corrective Actions (Read-only) and can view final audit reports.
- **Internal Audit Staff:** The user or user group who performs tasks for individual audit projects.

The screenshot displays the 'Internal Audit Project Details' tab in the Resolver application. The interface is divided into a sidebar and a main content area. The sidebar shows 'Applications' and a search bar. The main content area is titled 'Operations Audit 2024 Q1' and includes a 'FIELDWORK' button. Below this, the 'Internal Audit Project Details' section is visible, containing several fields: 'Audit Plan' (2024 Internal Audit Plan), 'Auditable Entity' (U.S.A.), 'Business Unit' (Operations), 'Internal Audit Lead' (Internal Audit Leads/Managers), 'Audit Type' (Operational), 'Planned Quarter' (Q1), 'Audit Client' (Internal Audit Clients (Limited User)), and 'Internal Audit Staff' (Internal Audit Team). To the right of these fields, there are sections for 'Audit Progress Reports' and 'Audit Results Reports'. The 'Audit Progress Reports' section includes links for 'AUDIT PROJECT OVERVIEW', 'RISK AND CONTROL MATRIX', and 'DOCUMENT REQUEST LISTING'. The 'Audit Results Reports' section includes a link for 'AUDIT RESULTS REPORTS'.

Internal Audit Project Details Tab

2. From the **Audit Planning Memo** tab, review the following fields:

- **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 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 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.
- **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.
- **Other Audit Considerations:** A free-form field that allows you to track any miscellaneous audit information.

3. Click the ***Audit Scope and Key Dates*** tab.

The screenshot shows the Resolver application interface. At the top, there is a search bar and a dropdown menu for 'Applications'. Below this, there are three tabs: 'Audit Planning Memo', 'Audit Scope and Key Dates' (highlighted with a red box), and 'Budget to Actual Tracking'. The 'Audit Scope and Key Dates' tab contains three sections: 'Audit Objectives' with the text 'Audit the company's operations, systems, and processes.', 'Audit Background' with the text 'A comprehensive evaluation of a company's operations, systems, and processes.', and 'Audit Scope' with the text 'Evaluation of internal controls' and 'Evaluation of recruitment, training, performance management, and employee relations'. On the right side, there are two buttons: 'TESTING SUMMARY' and 'FINDINGS SUMMARY'.

Audit Scope and Key Dates Tab

4. From the ***Audit Scope and Key Dates*** tab, review the process by clicking the process on the **Process** table.

The screenshot shows the Resolver application interface. At the top, there is a search bar and a dropdown menu for 'Applications'. Below this, there are three tabs: 'Audit Planning Memo', 'Audit Scope and Key Dates' (highlighted with a red box), and 'Budget to Actual Tracking'. The 'Audit Scope and Key Dates' tab contains three sections: 'Review Audit Scope' with the text 'View processes that are in scope for the audit.', 'Process' table, and 'Review Key Dates'. The 'Process' table has columns for 'Unique ID', 'Name', and 'Risks'. The first row shows 'P-7.1', 'Operations', and 'Business Interruption, Concentration Risk, Customer success, Fiduciary Risk'. Below the table, there is a button labeled 'REVIEW AUDIT SCOPE (TREE VIEW)'. Below the button, there is a section titled 'Review Key Dates' with four 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). On the right side, there are two buttons: 'TESTING SUMMARY' and 'FINDINGS SUMMARY'.

Process

5. **(Optional)** Click the **Review Audit Scope (Tree View)** button to review the internal audit project with the navigation tree.

The screenshot shows the Resolver application interface. At the top, there is a search bar and a user profile icon. Below the search bar, there is a navigation menu with tabs: 'Audit Planning Memo', 'Audit Scope and Key Dates' (selected), and 'Budget to Actual Tracking'. The main content area is divided into two sections. The top section is titled 'Review Audit Scope' and contains a table of processes. The bottom section is titled 'Review Key Dates' and contains four date pickers. A red box highlights the 'REVIEW AUDIT SCOPE (TREE VIEW)' button in the 'Review Audit Scope' section.

Unique ID	Name	Risks
P-7.1	Operations	Business Interruption, Concentration Risk, Customer success, Fiduciary Risk Show more...

Review Audit Scope (Tree View) Button

6. Review the following fields under the **Review Key Dates** section:
 - **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 Issuance:** Enter the date the Report was issued by selecting a date from the **Calendar** pop-up.

Applications [Search...]

Audit Planning Memo **Audit Scope and Key Dates** **Budget to Actual Tracking**

Review Audit Scope

View processes that are in scope for the audit.

Process

Unique ID	Name	Risks
P-7.1	Operations	Business Interruption, Concentration Risk, Customer success, Fiduciary Risk Show more...

REVIEW AUDIT SCOPE (TREE VIEW)

Review Key Dates

Populate all key audit dates & information.

Date of Kickoff [May 9, 2024]

Date of Fieldwork Start [May 13, 2024]

Date of Fieldwork End [May 30, 2024]

Date of Report Issuance [May 9, 2024]

TESTING SUMMARY

FINDINGS SUMMARY

Review Key Dates Section

7. Click the **Budget to Actual Tracking** tab.

Applications [Search...]

Audit Planning Memo **Audit Scope and Key Dates** **Budget to Actual Tracking**

Audit Objectives

Audit the company's operations, systems, and processes.

Audit Background

A comprehensive evaluation of a company's operations, systems, and processes.

Audit Scope

Evaluation of internal controls
Evaluation of recruitment, training, performance management, and employee relations

TESTING SUMMARY

FINDINGS SUMMARY

Audit Scope and Key Dates Tab

8. From the **Budget to Actual Tracking** tab, review the following fields:

- **Budgeted Hours:** The total hours budgeted for completing the internal audit project.
- **Actual Hours:** Enter the actual number of hours it took to complete the internal audit project.

Internal Audit Management **Risk Assessment** **Audit Plan** **Planning** **Fieldwork** **Reporting** **Issues & Actions** **Audit Committee Dashboard** **Management Dashboard** **Manage Audits**

Audit Planning Memo **Audit Scope and Key Dates** **Budget to Actual Tracking**

Track budget vs. actual hours at the project level.

Budgeted Hours [80]

Actual Hours [120]

Budget Remaining [-40]

Budget Status [Over Budget]

TESTING SUMMARY

FINDINGS SUMMARY

Budget to Actual Tracking Tab

9. From the **Audit Progress Reports** section, review the following reports:

- **Audit Project Review:** An internal audit project summary view.
- **Risk and Control Matrix:** View a summary of processes, risks, controls, and test connected to the internal audit project.
- **Document Request Listing:** View a summary of the documentation request or [submit documentation request](#).

The screenshot displays the 'Operations Audit 2024 Q1' page in the Resolver application. The page is divided into several sections. On the left, under 'Internal Audit Project Details', there are fields for 'Audit Plan' (2024 Internal Audit Plan), 'Auditable Entity' (U.S.A.), 'Business Unit' (Operations), 'Internal Audit Lead' (Internal Audit Leads/Managers), 'Audit Type' (Operational), 'Planned Quarter' (Q1), 'Audit Client' (Internal Audit Clients (Limited User)), and 'Internal Audit Staff' (Internal Audit Team). Below this, there are tabs for 'Audit Planning Memo', 'Audit Scope and Key Dates', and 'Budget to Actual Tracking'. The 'Audit Objectives' section states: 'Audit the company's operations, systems, and processes.' On the right, the 'Audit Progress Reports' section is highlighted with a red box. It contains a description: 'Below are a series of reports which will help give insight on the progress of the audit project.' and three buttons: 'AUDIT PROJECT OVERVIEW', 'RISK AND CONTROL MATRIX', and 'DOCUMENT REQUEST LISTING'. Below this, the 'Audit Results Reports' section is visible, with a description: 'Leverage the reports below to review the results of the audit project.' and two buttons: 'TESTING SUMMARY' and 'FINDINGS SUMMARY'.

Audit Progress Reports Section

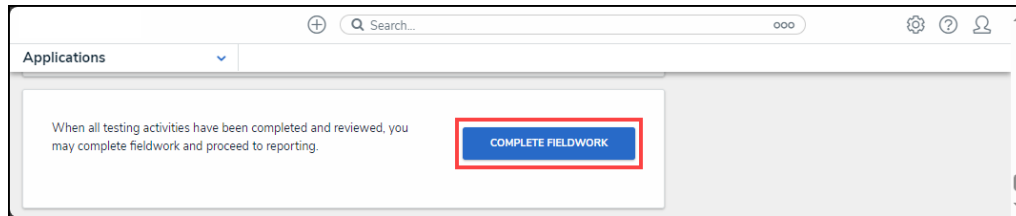
10. From the **Audit Results Reports** section, review the following reports:

- **Testing Summary:** View a summary of the test result on the internal audit project.
- **Findings Summary:** View a summary of the finding associated with the corrective actions on the internal audit project.

This screenshot is identical to the one above, showing the 'Operations Audit 2024 Q1' page. However, in this view, the 'Audit Results Reports' section is highlighted with a red box. It contains a description: 'Leverage the reports below to review the results of the audit project.' and two buttons: 'TESTING SUMMARY' and 'FINDINGS SUMMARY'.

Audit Results Reports Section

11. Scroll to the bottom of the screen and click the **Complete Fieldwork** button to move the project into the reporting stage.



Complete Fieldwork Button