

Creating a New Corrective Action

Last Modified on 05/31/2024 3:01 pm EDT

Overview

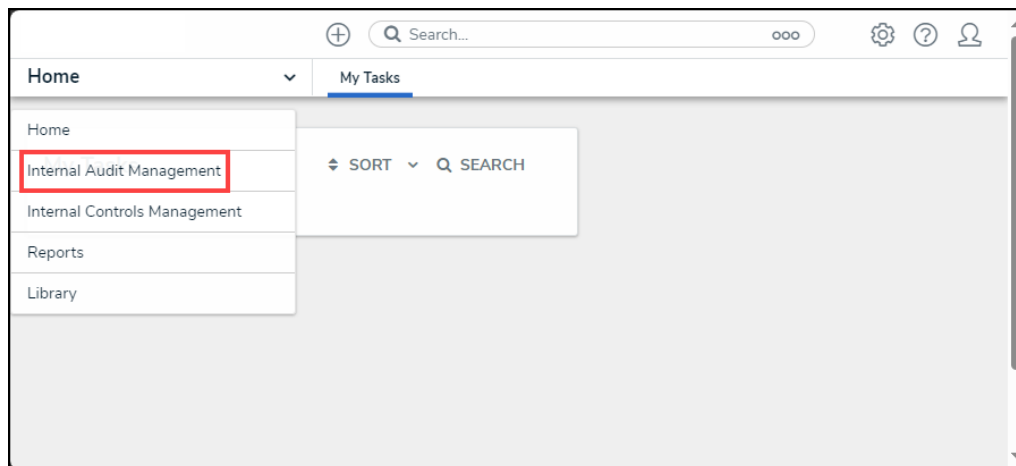
While reviewing issues attached to a control, members of the internal audit team can add corrective actions to help mitigate the issues.

Related Information/Setup

Please refer to the Opening a Corrective Action article for further information on filling out and opening a corrective action.

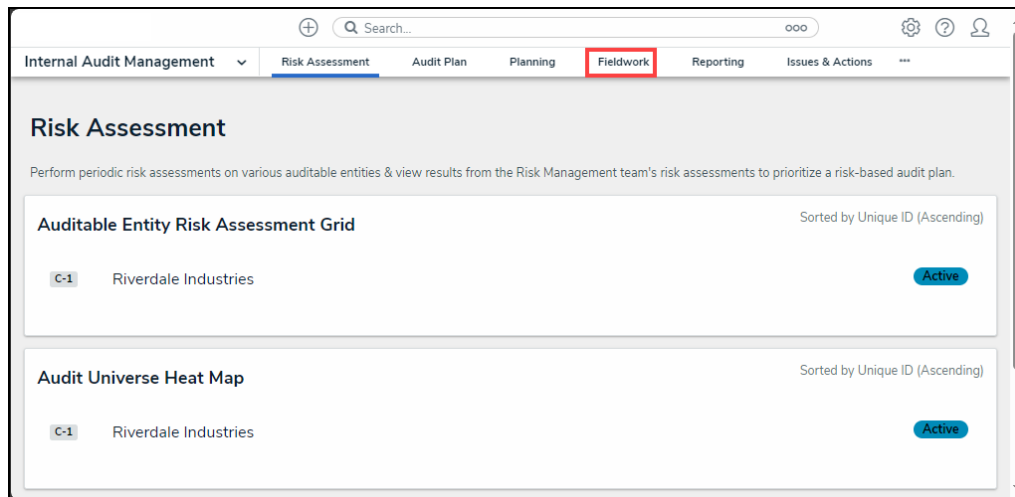
Navigation

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



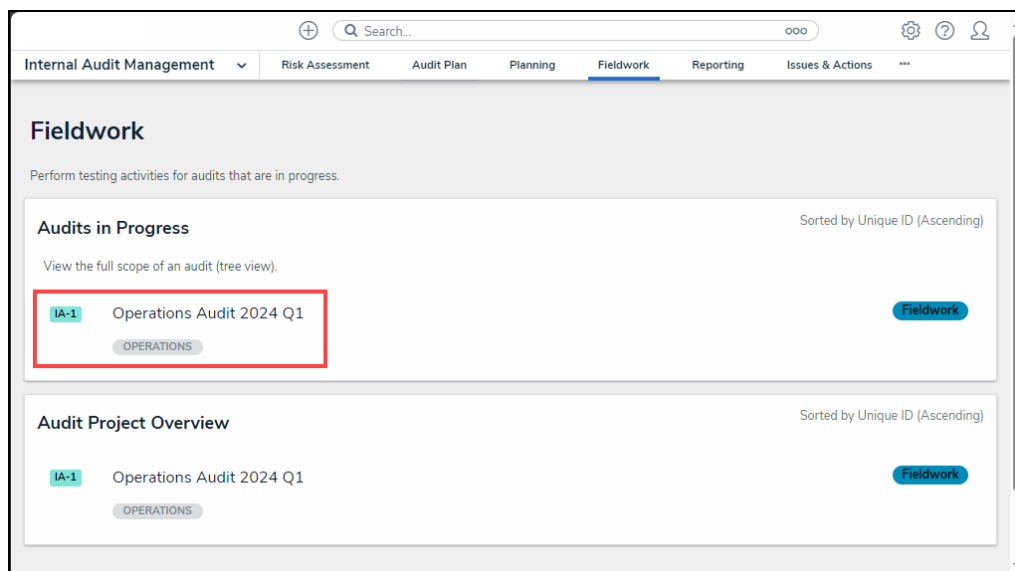
Home Dropdown

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



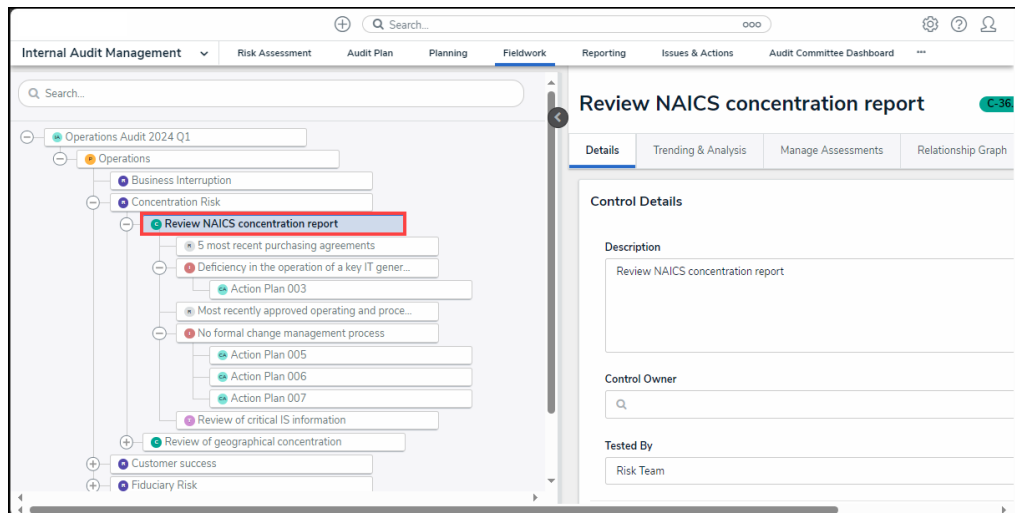
Fieldwork Tab

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



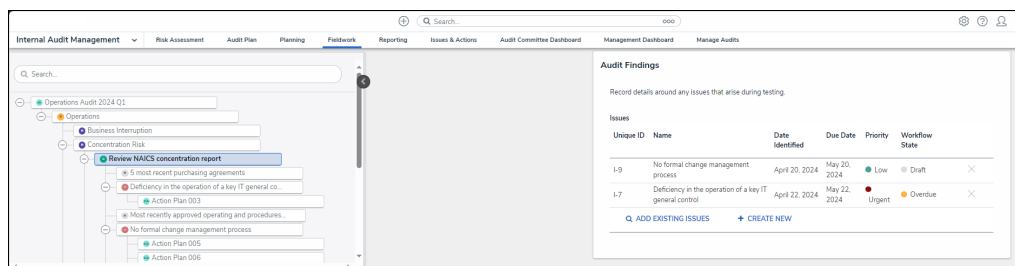
Internal Audit Report

- From the **Audit Project Overview** screen, click on the **Expand** icon on the **Navigation Tree** to expand the nodes until you find the desired control.
- Click the control to open the **Control Details** pop-up. Controls are indicated with a **C** icon next to the control name on the node.



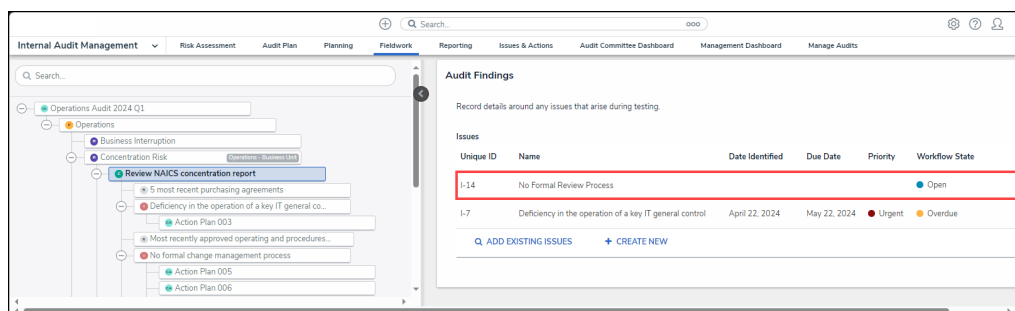
Control Overview Pop-up

- From the **Control Overview** pop-up, scroll to the **Audit Findings** section.



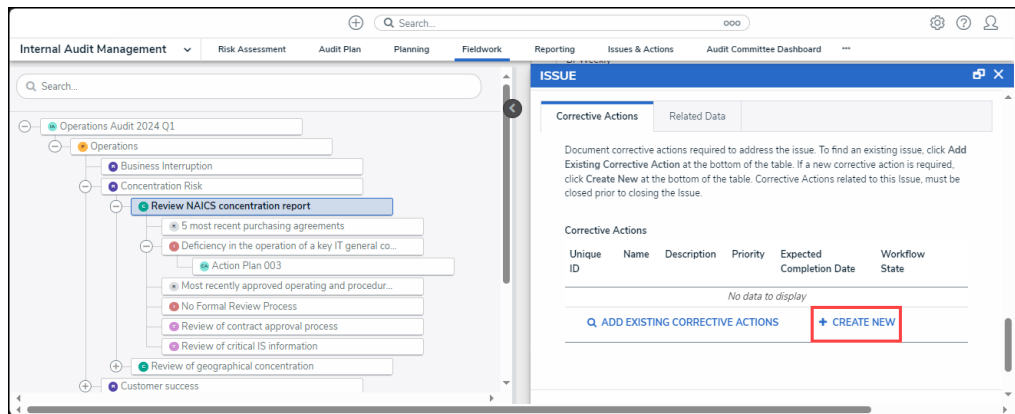
Audit Findings Section

- Click an **Issue** with an open workflow status from on the **Issues** table.



Issue

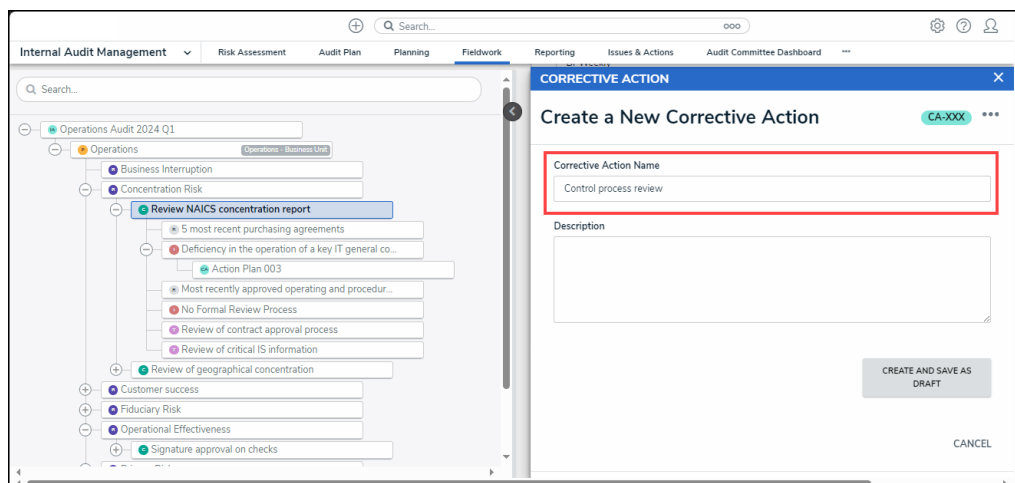
- From the **Issue** pop-up, scroll to the **Corrective Actions** tab and click the **+ Create New** link.



+ Create New Link

Creating a New Corrective Action

1. From the **Create a New Corrective Action** pop-up, enter a corrective action name in the **Corrective Action Name** field.



Corrective Action Name Field

2. Enter a brief description outlining the steps within the corrective action in the **Description** field.

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

Search...

CORRECTIVE ACTION | CA-XXX

Create a New Corrective Action

Corrective Action Name
Control process review

Description
The control process needs to be documented and reviewed to ensure that it is effective.

CREATE AND SAVE AS DRAFT | CANCEL

Description Field

- Click the **Create and Save as Draft** button to create the new corrective action.

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

Search...

CORRECTIVE ACTION | CA-XXX

Create a New Corrective Action

Corrective Action Name
Control process review

Description
The control process needs to be documented and reviewed to ensure that it is effective.

CREATE AND SAVE AS DRAFT | CANCEL

Create and Save as Draft Button

- The **Corrective Action** will be added to the **Corrective Actions** table.

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

Search...

ISSUE

Corrective Actions | Related Data

Document corrective actions required to address the issue. To find an existing issue, click **Add Existing Corrective Action** at the bottom of the table. If a new corrective action is required, click **Create New** at the bottom of the table. Corrective Actions related to this Issue, must be closed prior to closing the Issue.

Unique ID	Name	Description	Priority	Expected Completion Date	Workflow State
CA-12	Control process review	The control process needs to be documented and reviewed to ensure that it is effective.	Low		Draft

Q ADD EXISTING CORRECTIVE ACTIONS | + CREATE NEW

Corrective Action