

Submitting an Issue for Review Using the Portal

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Overview

After creating an issue for an Internal Audit Project's Control, a member of the Internal Audit Team must review the issue and add further information before the issue can be submitted for review.

User Account Requirements

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

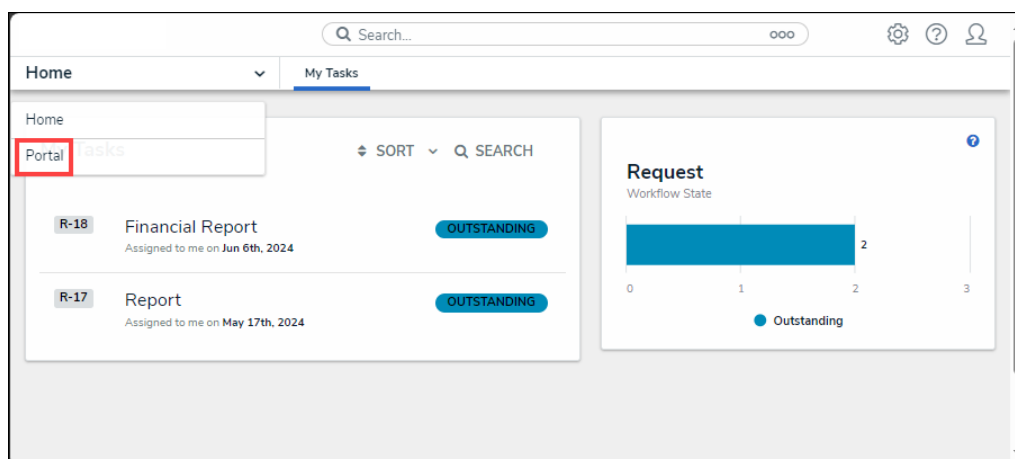
Related Information/Setup

Please refer to the [Creating a New Issue](#) article for more information on how to add a new issue to an Internal Audit Project's Control.

Please refer to the [Creating a New Corrective Action](#) article for more information on creating a new corrective action for an issue.

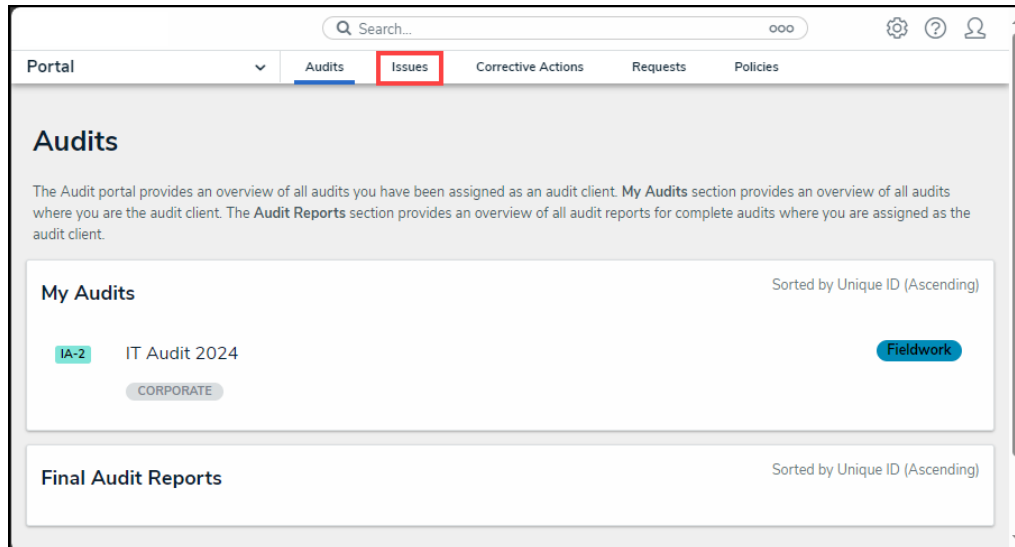
Navigation

1. From the **Home** screen, click the **Home** dropdown and select the **Portal** link.



Home Dropdown

2. From the **Audits** screen, click on the **Issues** tab.



Issues Tab

3. From the **Issues** screen, click on an open issue from the **My Issues** section.

The screenshot shows the Resolver portal interface. At the top, there's a search bar and navigation tabs: Portal, Audits, Issues (selected), Corrective Actions, Requests, and Policies. Below the navigation, the 'Issues' section is titled, followed by a description: 'The Issue portal provides an overview to all the Issues that you have been assigned as an issue owner or delegate.' Below this, there's a 'My Issues' section with a 'Sorted by Due Date (Ascending)' filter and a search bar. A list of issues follows, each with an ID, title, description, and a status button. The issue 'I-12 Lack of Timely Reconciliation in Cash Handling Processes' is highlighted with a red box. The status buttons are: Overdue (orange), Review (blue), Open (teal), and Closed (green).

Issue ID	Issue Title	Description	Status
I-8	Noncompliance with policies or other best practices	The key controls or procedures are not in compliance with organizational policies or generally accepted best practices	Overdue
I-3	Lack of separation of duties	Individuals involved in the control performance have excessive or elevated permissions enabling access to areas that should be separated	Overdue
I-6	Management override of controls	Management has demonstrated a pattern of control override	Overdue
I-2	No oversight and review	There is no supervision or review of the process	Review
I-4	Insufficient control consciousness	Within the organization, for example, the tone at the top and the control environment	Review
I-9	No formal change management process	Controls may exist for this objective, but have undergone changes without adequate review and approval and may not provide adequate coverage	Open
I-7	Deficiency in the operation of a key IT general control	A key application or IT general control is not operating effectively	Closed
I-14	No Formal Review Process	Controls for this objective have not undergone changes without an adequate review.	Closed
I-12	Lack of Timely Reconciliation in Cash Handling Processes	The internal audit for the Cash Process for SOX (Sarbanes-Oxley) Compliance project identified a deficiency in the timely reconciliation of cash transactions. The reconciliation process, specifically related to cash receipts and disbursements, is not performed on a regular and timely basis	Open
I-11	Insufficient Segregation of Duties in HR Systems Access	The internal audit identified a lack of adequate segregation of duties in the access controls for HR systems, particularly in the Payroll module. Certain employees possess overlapping responsibilities, allowing them to initiate, approve, and process payroll transactions without sufficient checks and balances.	Open
I-10	Inadequate Documentation of Payroll Processes	The internal audit identified a lack of comprehensive documentation for the end-to-end payroll processes within the HR and Payroll department. The absence of detailed process documentation poses a risk to data accuracy, employee confidentiality, and compliance with regulatory requirements.	Open

Open Issue

Submitting an Issue for Review

- From the **Issues Details** screen, review the following fields:
 - Description:** A brief description outlining the issue.
 - Priority:** The issues current priority:
 - Low

- **Medium**
- **High**
- **Urgent**
- **Issue Owner:** The user or user group that is responsible for the issue.
- **Issue Type:** The type of Issue:
 - **Documentation Issue**
 - **Control Design Issue**
 - **Control Operation Issue**
 - **Human Error**
- **Due Date:** The date the issue is due to be resolved. A date can be selected from the **Calendar** pop-up by clicking on a **Date**.
- **Issue Resolution Date:** The date the issue is actually completed and resolved. This date will be added before the issue is completed and is selected from the **Calendar** pop-up by clicking on a **Date**.

The screenshot displays the Resolver application interface. At the top, there's a navigation bar with tabs: Portal, Audits, Issues (selected), Corrective Actions, Requests, and Policies. Below this, a header indicates 'No formal change management process' with a status indicator '1-9' and an 'OPEN' button. The main content area is divided into two sections: 'Issue Details' (highlighted with a red box) and 'Manage Issue'.

Issue Details (Left Sidebar):

- Description:** Controls may exist for this objective, but have undergone changes without adequate review and approval and may not provide adequate coverage.
- Priority:** Low (selected from a dropdown).
- Issue Owner:** Internal Audit Clients (Limited User) (selected from a dropdown).
- Issue Type:** Control Operation Issue (selected from a dropdown).
- Due Date:** May 20, 2024 (selected from a dropdown).
- Issue Resolution Date:** (empty dropdown).

Manage Issue (Main Area):

- Date Identified:** April 20, 2024 (selected from a dropdown).
- Recommendation:** Develop comprehensive change management policies and procedures that outline the entire change lifecycle, from identification and assessment to implementation and evaluation. Ensure that these policies align with industry best practices and organizational goals.
- Management Response:** The management acknowledges the identification of the absence of a formal change management process, and we recognize the importance of a structured approach to managing organizational changes. We are committed to addressing this issue promptly and have outlined a comprehensive plan to establish a formal change management process within our organization.
- Supporting Attachments:** Includes buttons for '+ ADD FILE' and '+ ADD LINK', and a drag-and-drop area with the text 'Drag files here or click to select...'.

Review the following Fields

2. From the **Manage Issue** section review the following fields:

- **Date Identified:** The date the issue was initially identified.
- **Recommendation:** Outline a brief recommendation used to address the issue. The **Recommendation** field is a free form field.
- **Management Response:** Management will enter a response to the issue and resolution in the **Management Response** field. User may see information in this field if an issue was sent for review and sent back to the owner requesting further information.
- **Supporting Attachments:**
 - **+ Add File:** Users can attach evidence to the issue by dragging and dropping

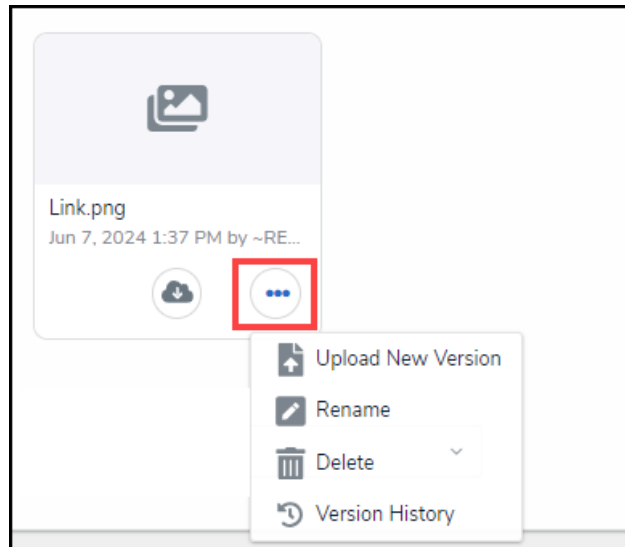
an image in the **Supporting Attachments** field or clicking the **+ Add File** link and selecting an image from the connected PC. The maximum size for Files is 100 MB. the following file types are not valid (.bat, .exe, .gif, .sh, .dll, or .com).

- **Add Link:** Users can attach evidence to the issue by clicking on the **Add Link** link to attach a web link to the issue or click the **Click to add a web link to a file** link.
- **Identified By:** The user or user group who initially identified the issue. Select the user group who initially identified the issue from the **Identified By** dropdown menu.

The screenshot shows the 'Manage Issue' section in the Resolver application. The interface is split into two main areas. On the left, the 'Issue Details' panel includes a description field, a priority dropdown set to 'Low', an issue owner dropdown set to 'Internal Audit Clients (Limited User)', an issue type dropdown set to 'Control Operation Issue', a due date dropdown set to 'May 20, 2024', and an issue resolution date dropdown. On the right, the 'Manage Issue' panel contains a text area for the issue description, a 'Date Identified' dropdown set to 'April 20, 2024', a 'Recommendation' text area, a 'Management Response' text area, a 'Supporting Attachments' section with '+ ADD FILE' and '+ ADD LINK' buttons, and an 'Identified By' dropdown set to 'Risk Team'.

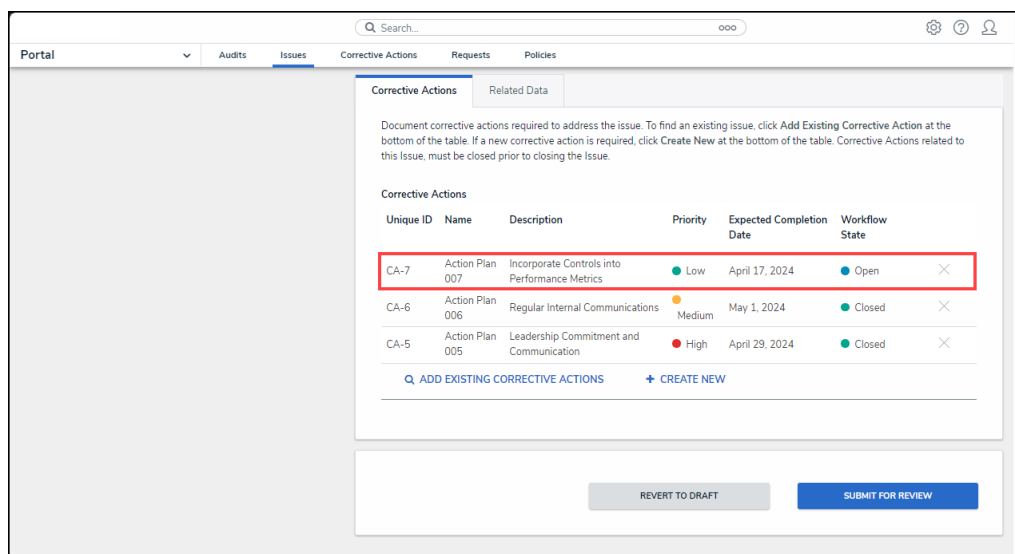
Manage Issue Section

3. **(Optional)** Click the **More** icon on the uploaded file card to [upload new version](#), [rename](#), [delete](#), or check [version history](#).



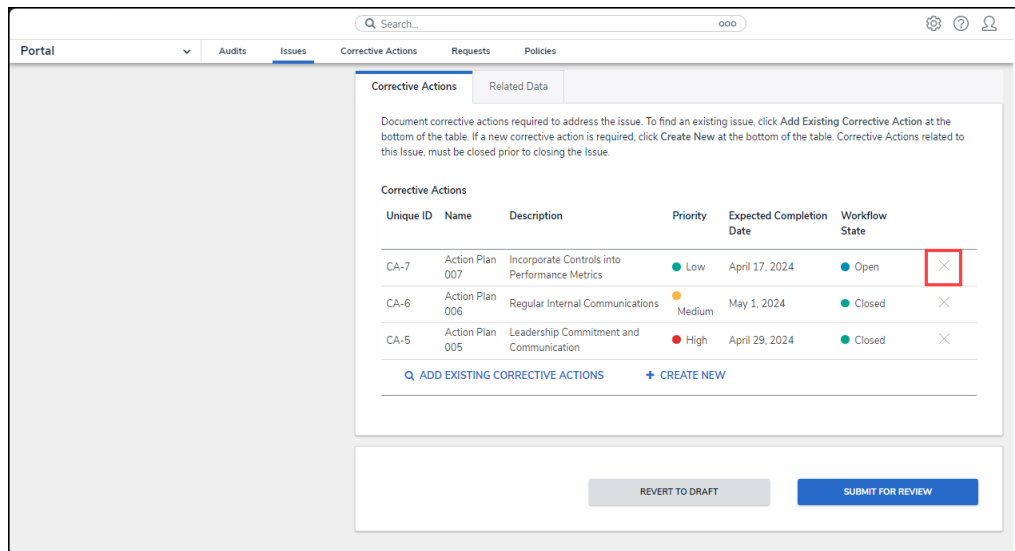
More Icon

4. From the **Corrective Actions** tab, click on a **Unique ID** on the **Corrective Actions** table to view the corrective action.



Corrective Action

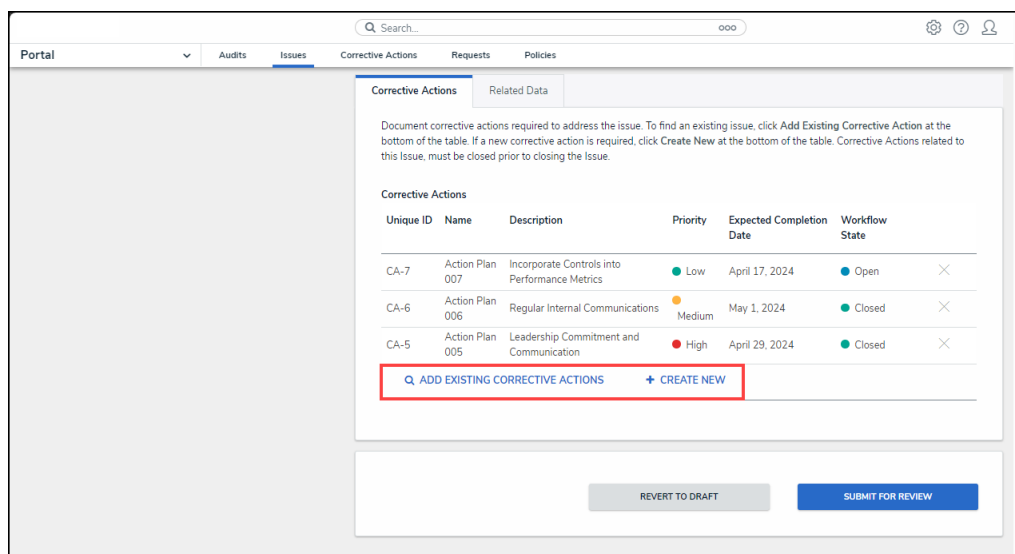
5. **(Optional)** Click the **x** icon next to a corrective action to remove the corrective action from the issue.



X Icon

6. Add a corrective action to the issue by clicking one of the following links:

- **Add Existing Corrective Actions:** Click the **Add Existing Corrective Actions** link to add an existing corrective action to the issue.
- **+ Create New:** Click the **+ Create New** link to add a new corrective action to the issue.



Corrective Action Links

7. Click the **Related Data** tab.

The screenshot shows the Resolver interface with the 'Issues' tab selected. Under 'Corrective Actions', the 'Related Data' sub-tab is active. It displays a table of corrective actions related to the current issue.

Unique ID	Name	Description	Priority	Expected Completion Date	Workflow State
CA-7	Action Plan 007	Incorporate Controls into Performance Metrics	Low	April 17, 2024	Open
CA-6	Action Plan 006	Regular Internal Communications	Medium	May 1, 2024	Closed
CA-5	Action Plan 005	Leadership Commitment and Communication	High	April 29, 2024	Closed

Buttons at the bottom include 'REVERT TO DRAFT' and 'SUBMIT FOR REVIEW'.

Related Data Tab

- From the **Related Data** tab, enter a control name in the **Controls** field and select a control from the dropdown menu to add the control to the issue.

The screenshot shows the 'Related Data' tab with the 'Controls' field selected. A dropdown menu is open, displaying a list of controls. The first control, 'Review NAICS concentration report', is highlighted.

Controls:

- Review NAICS concentration report
- Signature approval on checks
- Signature approval on checks
- Staff
- Staff understand loan and policy procedures Library
- Staff engagement surveys Library
- Regular Compliance Training for HR and Payroll Staff Library

Below the controls list are fields for 'Requirements', 'Citations', 'Third-Party Assessment', and 'Alert', each with a search icon.

Controls Dropdown Menu

- Enter a risk name in the **Risks** field and select a risk from the dropdown menu to add the risk to the issue.
- Enter a requirement name in the **Requirements** field and select a requirement from the dropdown menu to add the requirement to the issue.
- Enter a citation name in the **Citations** field and select a citation from the dropdown menu to add the citation to the issue.
- Enter a control name in the **Third-Party Assessment** field and select an assessment from the dropdown menu to add the assessment to the issue.
- Enter an alert name in the **Alert** field and select an alert from the dropdown menu to add the alert to the issue.
- Scroll to the bottom of the screen and click the **Submit for Review** button to submit the

issue for review.

The screenshot displays the Resolver portal interface. At the top, there is a navigation bar with a search bar and a user profile icon. Below this, a horizontal menu contains the following items: Portal, Audits, Issues (which is currently selected), Corrective Actions, Requests, and Policies. The main content area is divided into two tabs: 'Corrective Actions' and 'Related Data'. The 'Related Data' tab is active, showing several sections with search bars: Controls (containing three items: 'Review NAICS concentration report', 'Signature approval on checks', and 'Staff understand loan and policy procedures'), Risks, Requirements, Citations, Third-Party Assessment, and Alert. At the bottom right of the main content area, there are two buttons: 'REVERT TO DRAFT' and 'SUBMIT FOR REVIEW'. The 'SUBMIT FOR REVIEW' button is highlighted with a red rectangular box.

Submit for Review Button