

Adding an Existing Control or Objective to a Risk

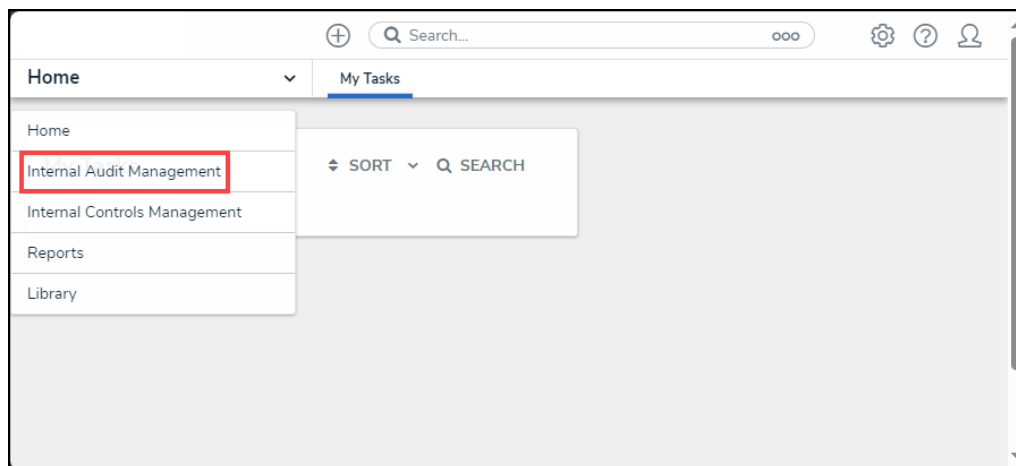
Last Modified on 05/31/2024 1:33 pm EDT

Overview

Users can add an existing Test, Document Request, Policy, Corrective Action, or Issue to a control instead of creating a new one.

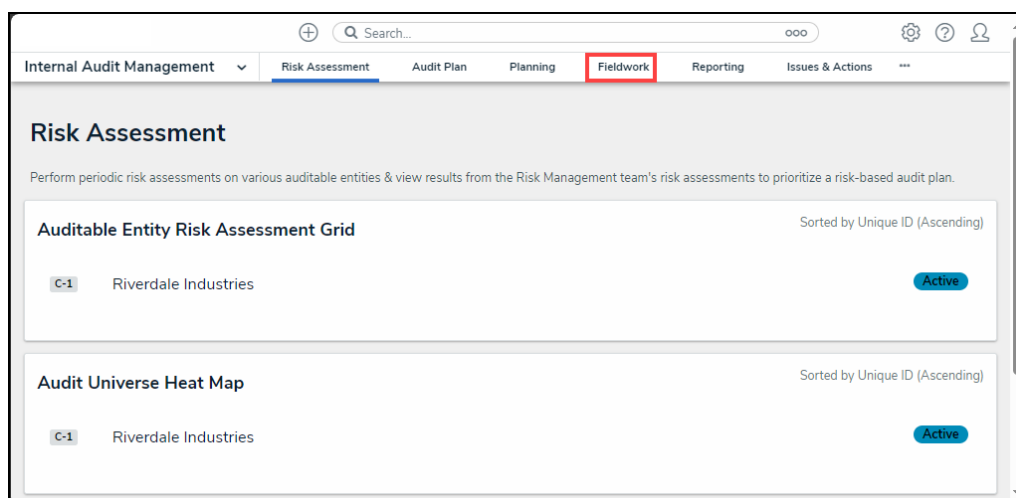
Navigation

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



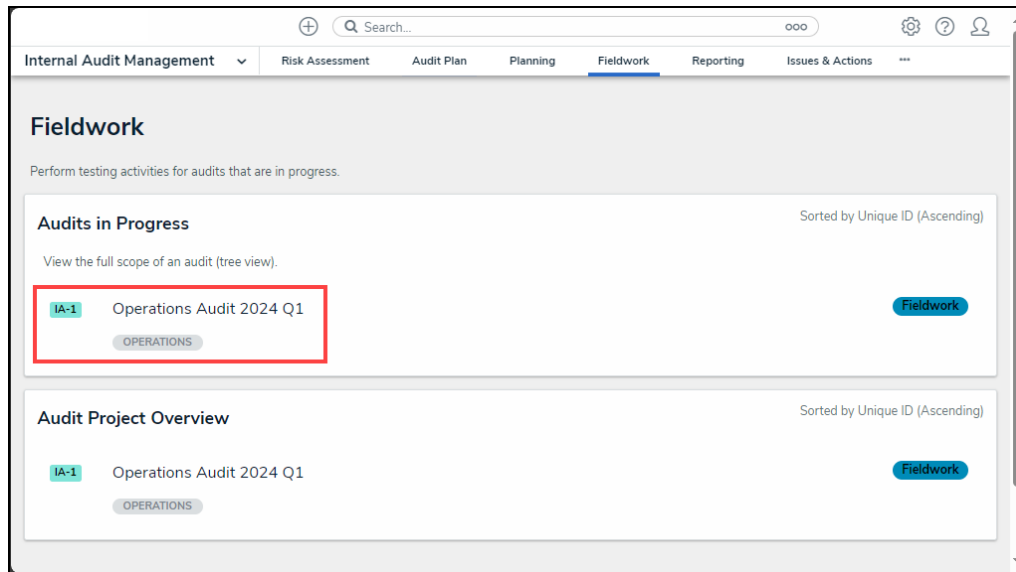
Home Dropdown

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



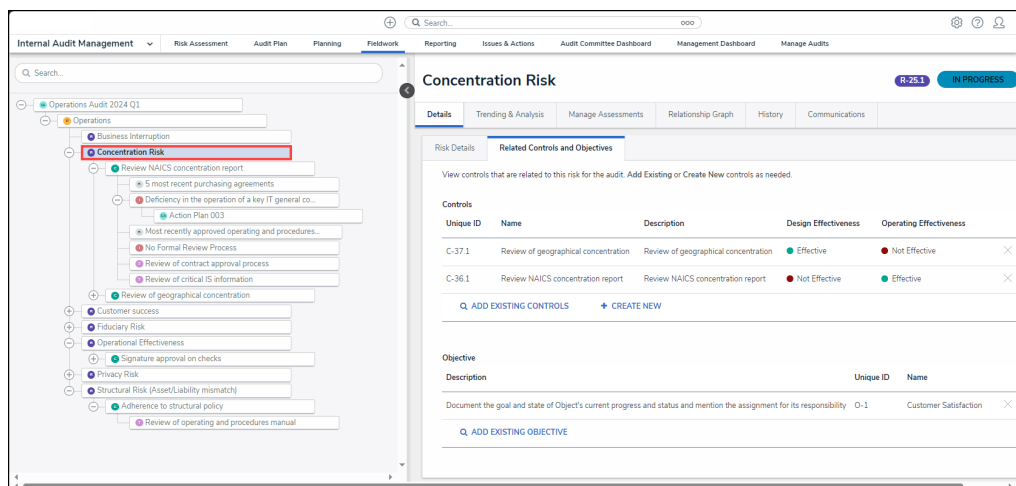
Fieldwork Tab

- 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 **Risk Details** screen. Risks are indicated with a **R** icon next to the risk name on the node.



Risk Node

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

Review NAICS concentration report C-36.1 IN PROGRESS

Control Details

Description
Review NAICS concentration report

Control Owner
Internal Controls First Line Users (Limited User)

Tested By
Internal Controls Team

Control Attributes
Document how the control operates within the organization. Provide any necessary attachments/web links to support this.

Key Control
Key

Testing Summary

Test

Unique ID	Name	# of Samples Tested	# of Samples Failed	Working Papers	Test Result
T-4.1	Review of critical IS information	10	5	Internal Audit Management Artifice Tracker.xlsx	Fail

[ADD EXISTING TEST](#) [+ CREATE NEW](#)

Total Samples Planned
15

Sampling Justification

% of Samples Tested % of Samples Failed

Collapse Icon

Adding an Existing Control or Objective to a Risk

The process for adding an existing control or objective to a risk is the same. The only difference is the navigation. For this illustration we will be adding a control to a risk.

1. From the **Risk Details** screen, click the **Add Existing Controls** link.

Concentration Risk R-26.1 IN PROGRESS

Related Controls and Objectives

View controls that are related to this risk for the audit. Add Existing or Create New controls as needed.

Controls

Unique ID	Name	Description	Design Effectiveness	Operating Effectiveness
C-37.1	Review of geographical concentration	Review of geographical concentration	Effective	Not Effective
C-36.1	Review NAICS concentration report	Review NAICS concentration report	Not Effective	Effective

[ADD EXISTING CONTROLS](#) [+ CREATE NEW](#)

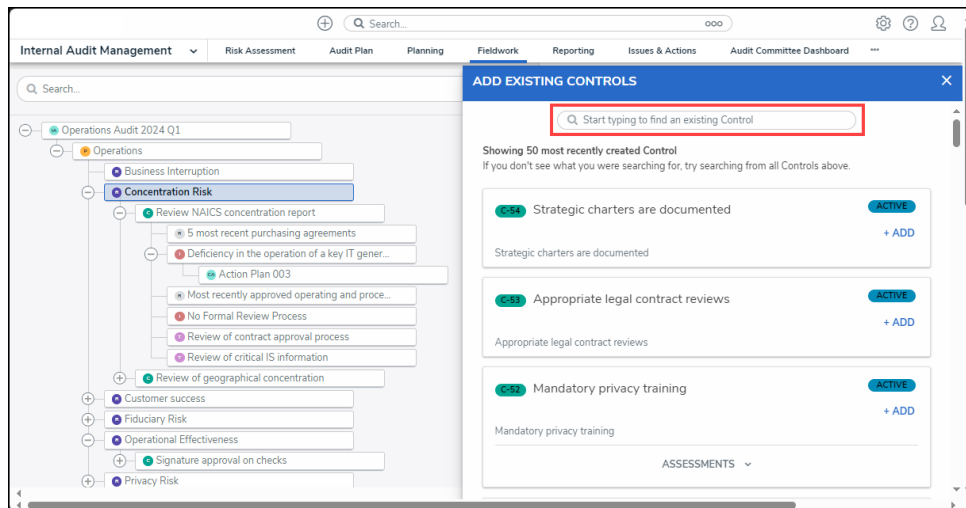
Objective

Description	Unique ID	Name
Document the goal and state of Object's current progress and status and mention the assignment for its responsibility	O-1	Customer Satisfaction

[ADD EXISTING OBJECTIVE](#)

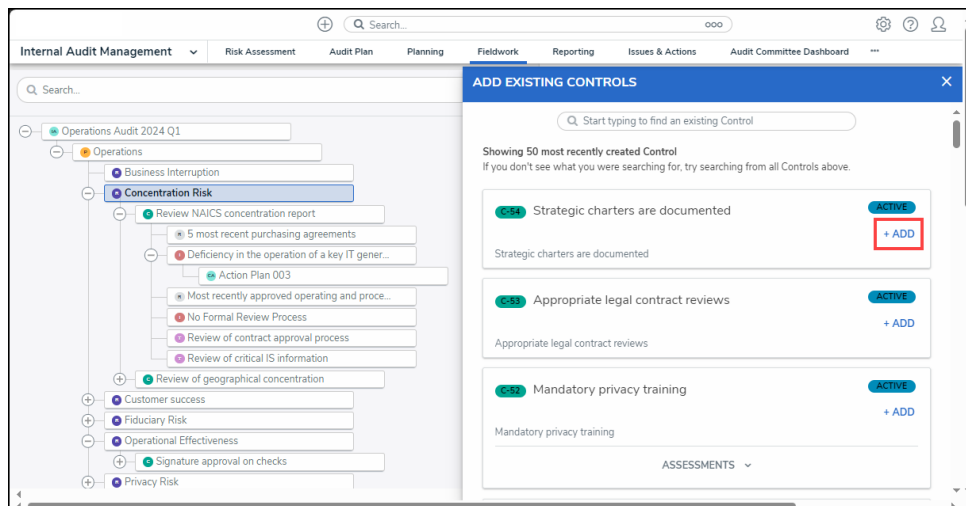
Add Existing Controls Link

2. From the **Add Existing Controls** pop-up, enter a test name in the **Search** field if the control you are looking for is not listed under the 24 most recently created controls list.



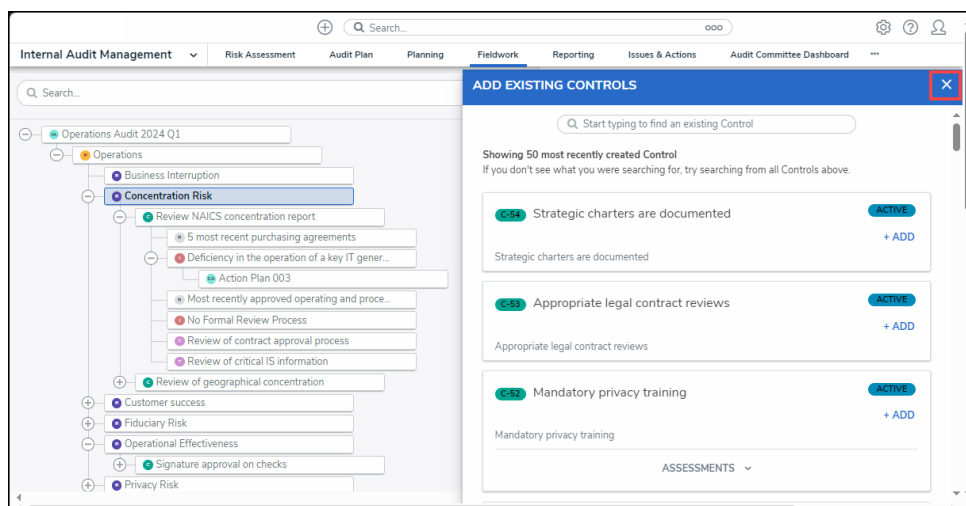
Search Field

- Click the **+ Add** link to add the control to the risk.



+ Add Link

- Click the **x** icon to close the **Add Existing Control** pop-up.



5. The selected control will be listed under the **Controls** table on the control.

Internal Audit Management

Risk Assessment

Audit Plan

Planning

Fieldwork

Reporting

Issues & Actions

Audit Committee Dashboard

Management Dashboard

Manage Audits

Search...

Operations Audit 2024 Q1

Operations

Business Interruption

Concentration Risk

Review NAICS concentration report

5 most recent purchasing agreements

Deficiency in the operation of a key IT general co...

Action Plan 003

Most recently approved operating and procedures...

No Formal Review Process

Review of contract approval process

Review of critical IS information

Review of geographical concentration

Customer success

Fiduciary Risk

Operational Effectiveness

Signature approval on checks

Privacy Risk

Structural Risk (Asset/Liability mismatch)

Adherence to structural policy

Review of operating and procedures manual

Concentration Risk

R-25.1

IN PROGRESS

Details

Trending & Analysis

Manage Assessments

Relationship Graph

History

Communications

Risk Details

Related Controls and Objectives

View controls that are related to this risk for the audit. Add Existing or Create New controls as needed.

Unique ID	Name	Description	Design Effectiveness	Operating Effectiveness
C-54.1	Strategic charters are documented	Strategic charters are documented	Effective	Not Effective
C-37.1	Review of geographical concentration	Review of geographical concentration	Effective	Not Effective
C-36.1	Review NAICS concentration report	Review NAICS concentration report	Not Effective	Effective

ADD EXISTING CONTROLS

CREATE NEW

Objective

Description	Unique ID	Name
Document the goal and state of Object's current progress and status and mention the assignment for its responsibility	O-1	Customer Satisfaction

ADD EXISTING OBJECTIVE

Controls Table