Closing a Corrective Action

Last Modified on 07/10/2024 11:03 am EDT

Overview

Once a member of the Internal Audit Team has reviewed a corrective action attached to an internal audit project in the **Fieldwork** phase, it is assigned to the Internal Audit Lead for final review.

Related Information/Setup

Please refer to the Creating a New Test article for further information on creating a new test.

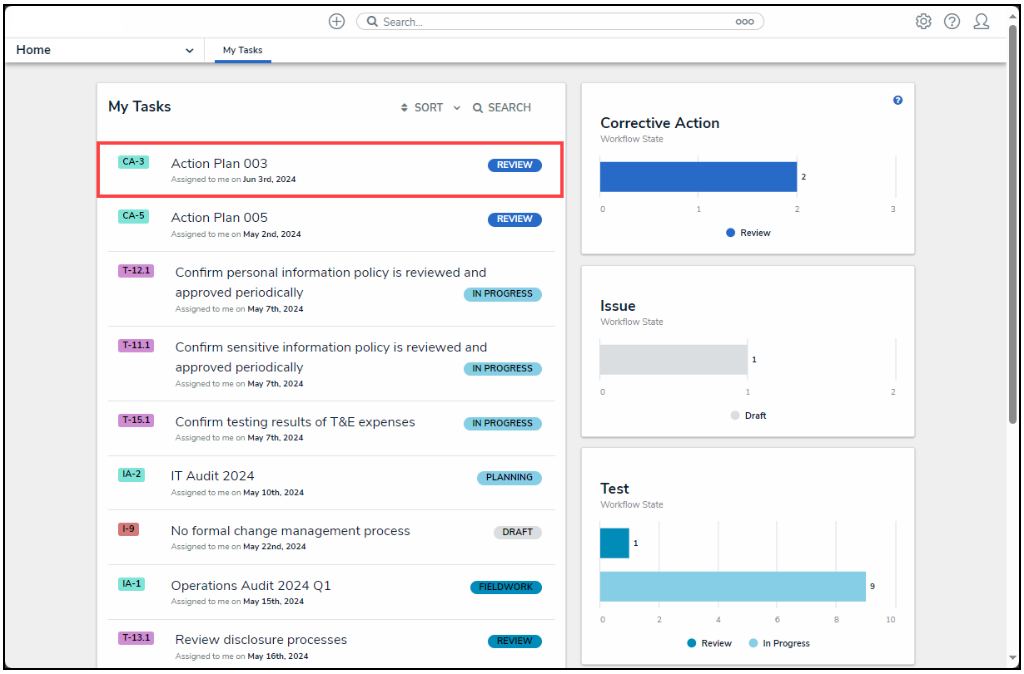
Please refer to the Sending an Internal Audit Test for Review article for further information on sending a test for review.

User Account Requirements

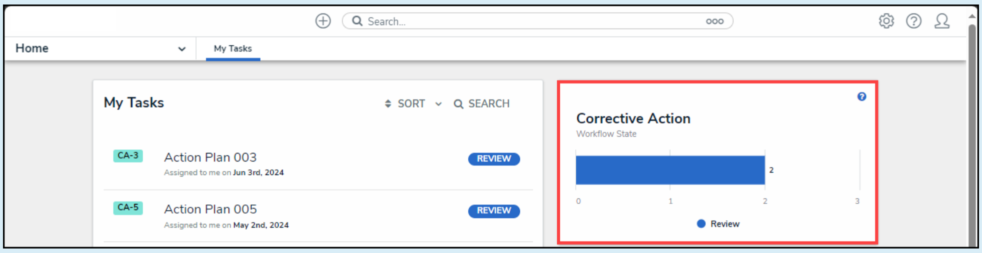
The user account used to log into Resolver must be added to the Internal Audit Lead user group.

Navigation

- From the ***Home*** screen, click a corrective action in a review status from the ***My Tasks*** section.

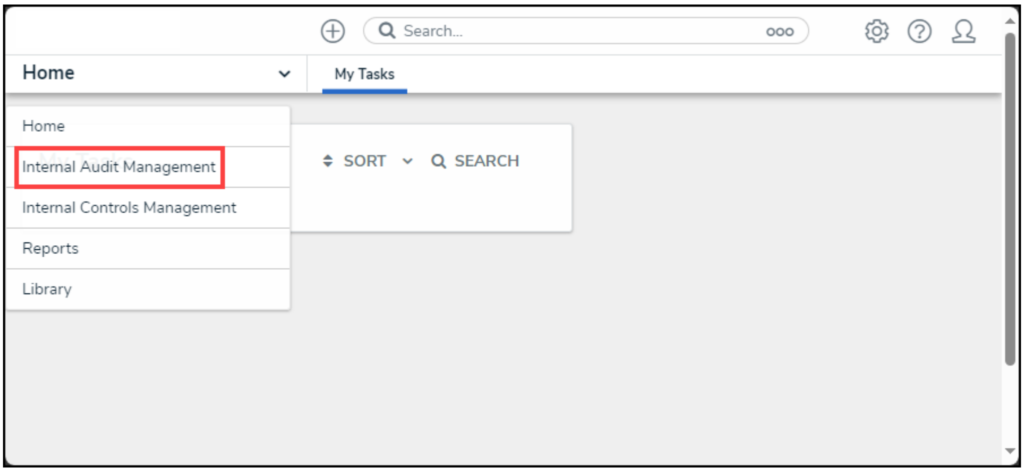


My Tasks

> ***Note:***
> *Click on the* **Corrective Action** *bar chart to view all corrective actions that require attention in the* ***My Tasks*** *section.*
>
> 
>
>
> *Bar Chart*

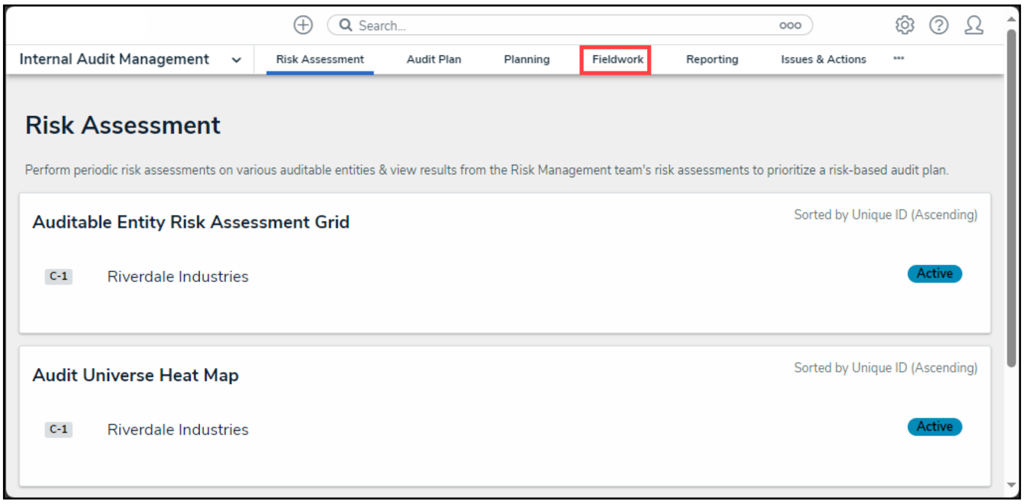
Alternate Navigation

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



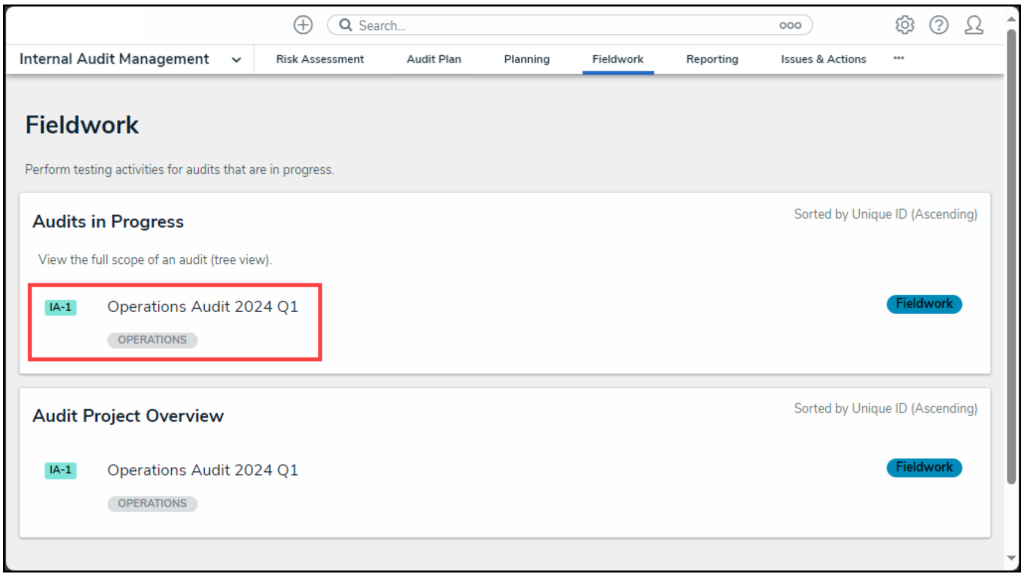
Home Dropdown

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



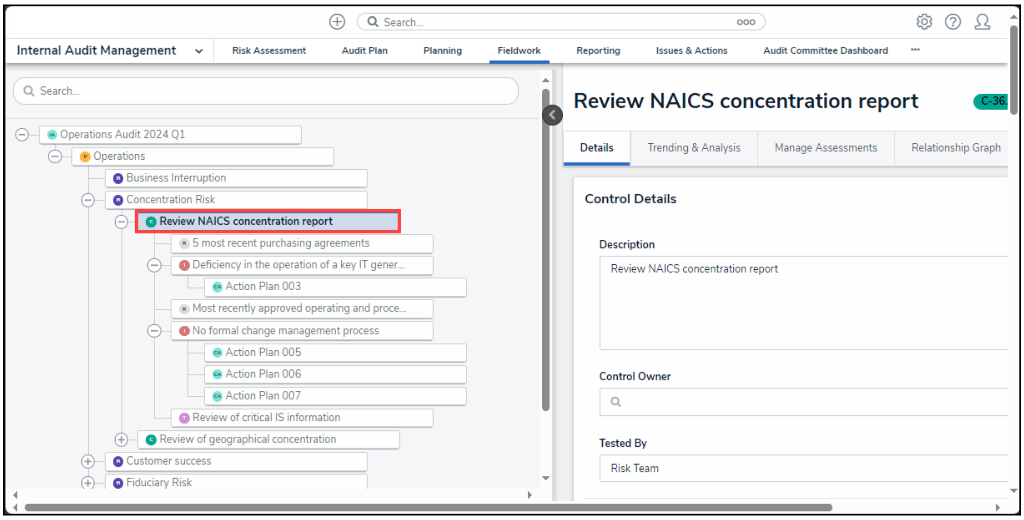
Fieldwork Tab

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



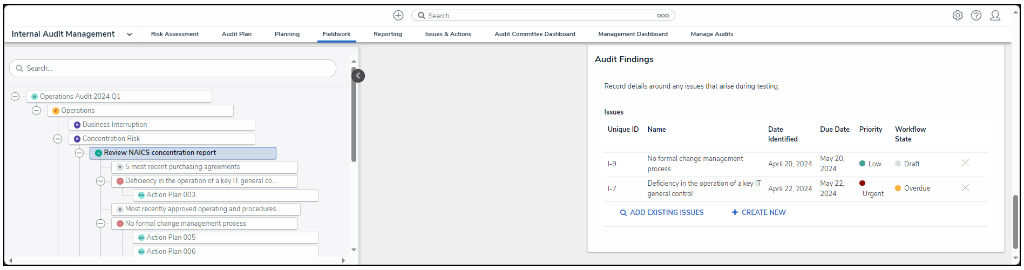
Internal Audit Report

4. 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.
5. 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.



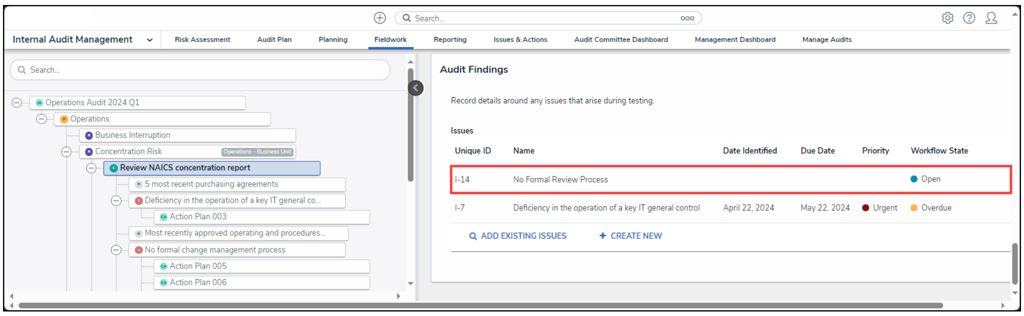
Control Overview Pop-up

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



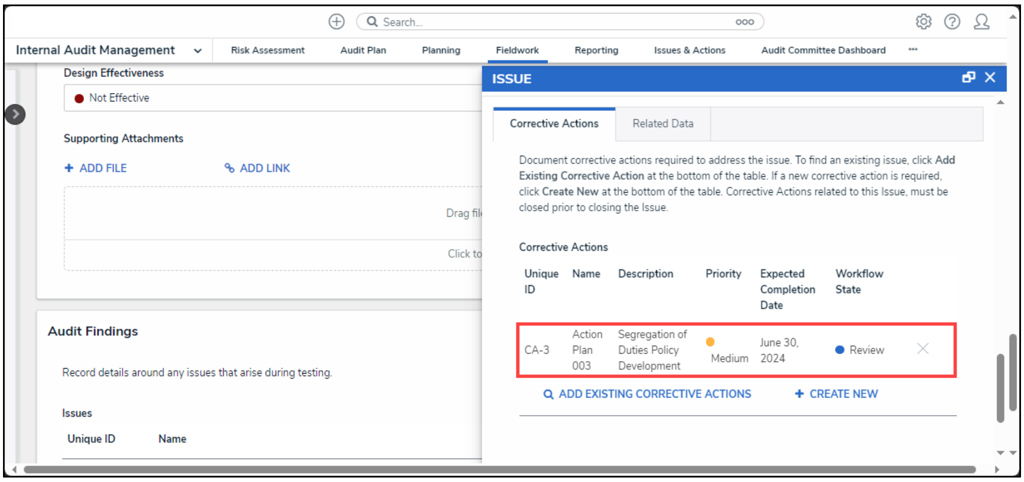
Audit Findings Section

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



Issue

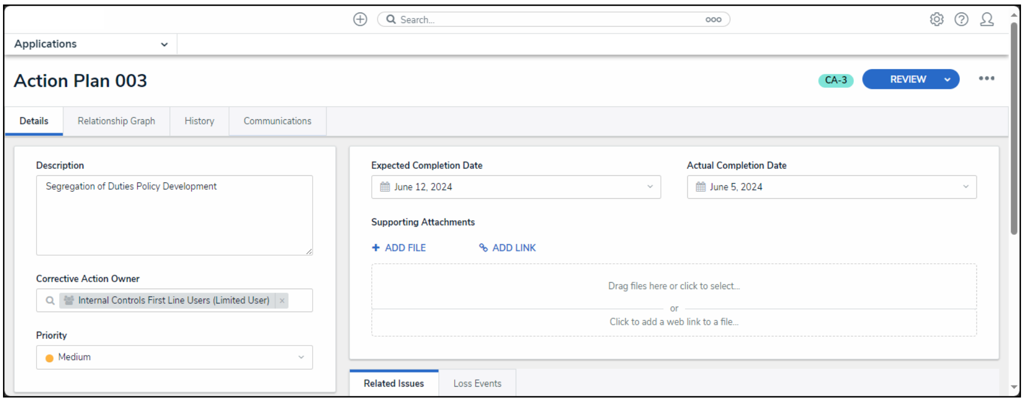
8. From the ***Issue*** pop-up, scroll to the ***Corrective Actions*** tab and click on a corrective action on the **Corrective Actions** table.



Corrective Action

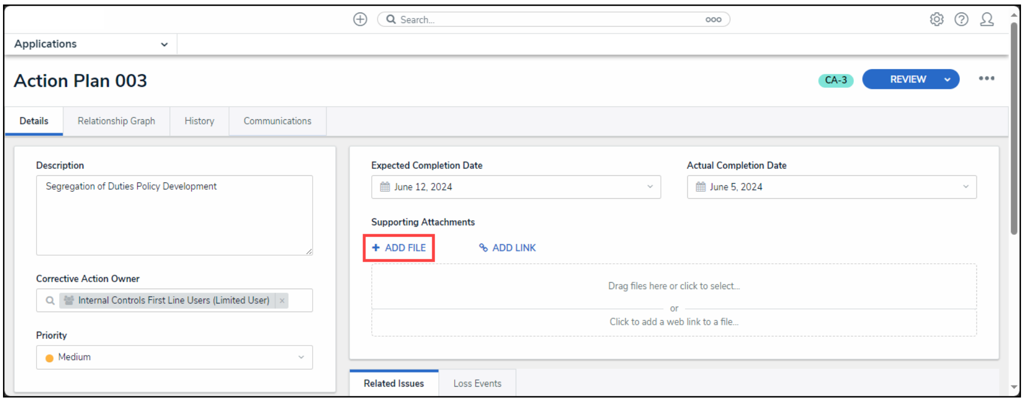
Closing a Corrective Action

1. From the ***Corrective Action*** screen, review the following fields:
   - **Description:** A brief description outlining the steps within the corrective action.
   - **Corrective Action Owner:** Select the user or user group responsible for the corrective action from the **Corrective Action Owner** dropdown menu.
   - **Priority:** Select a corrective action priority from the Priority dropdown menu (e.g., Low, Medium, or High).
   - **Expected Completion Date:** Select the date the corrective action is expected to be complete from the ***Calendar*** pop-up.
   - **Actual Completion Date:** Select the date the correction action was completed from the **Calendar** pop-up.



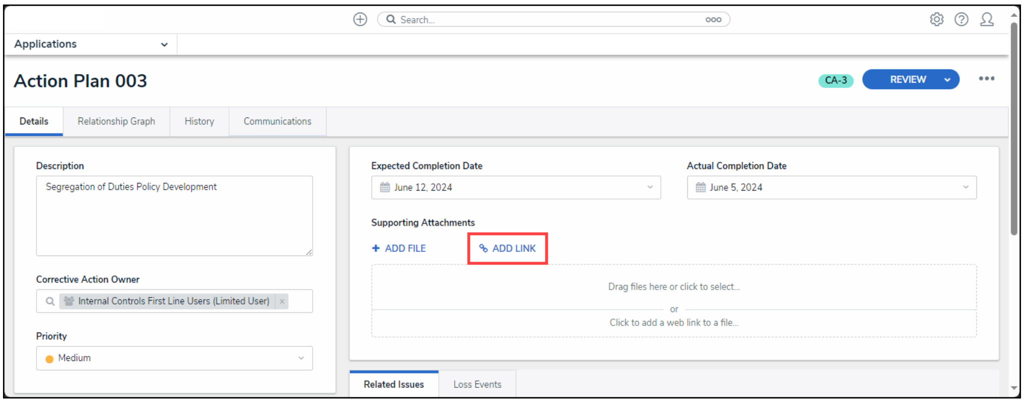
Corrective Action Screen

2. Users can attach evidence to the corrective action 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).



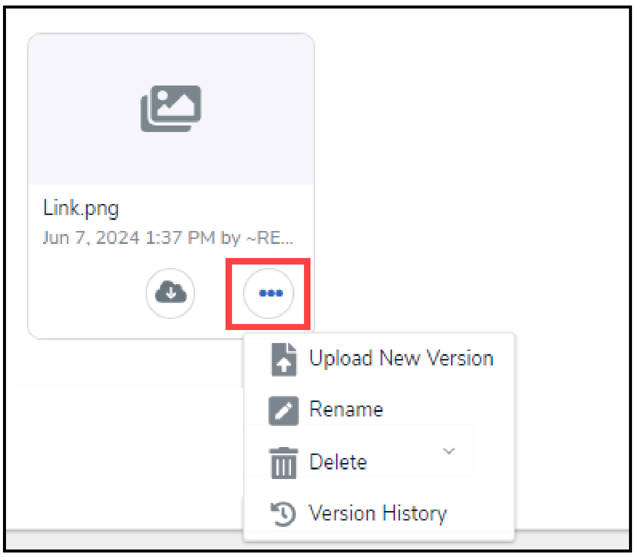
+ Add File Link

3. Users can attach evidence to the corrective action by clicking on the **Add Link** link to attach a web link to the corrective action or click the **Click to add a web link to a file** link.



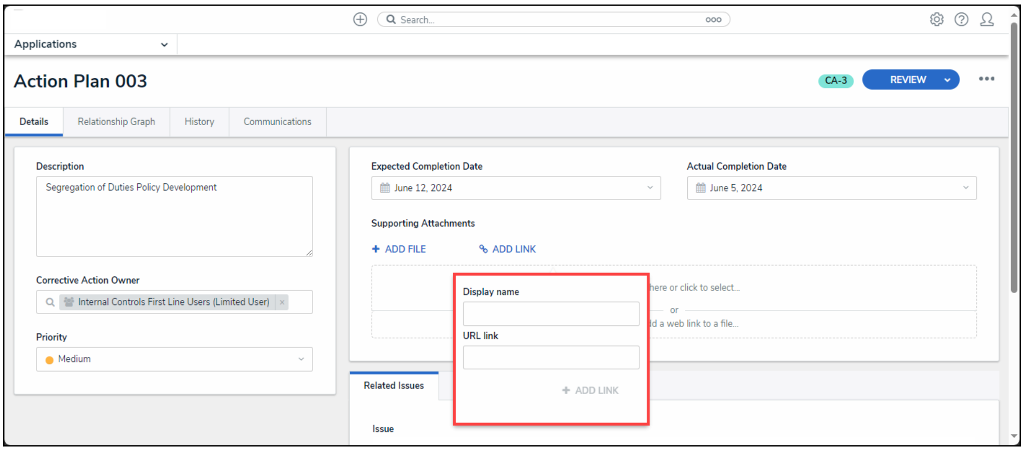
Add Link

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



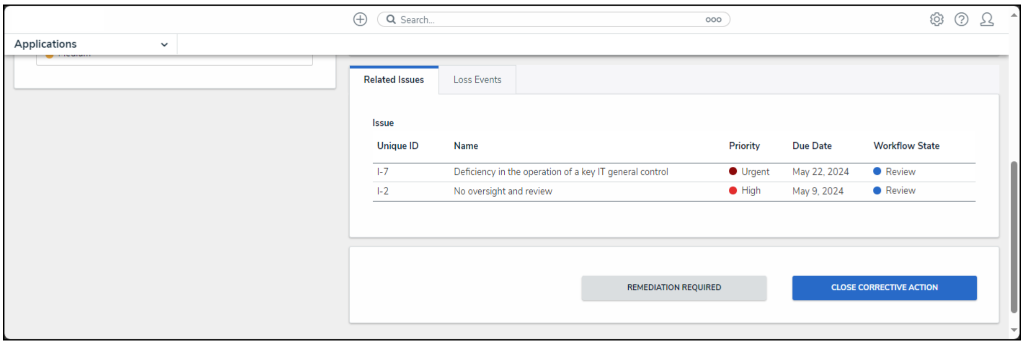
More Icon

5. From the ***Add Web Link*** pop-up, enter a **Display Name** and **URL Link**.



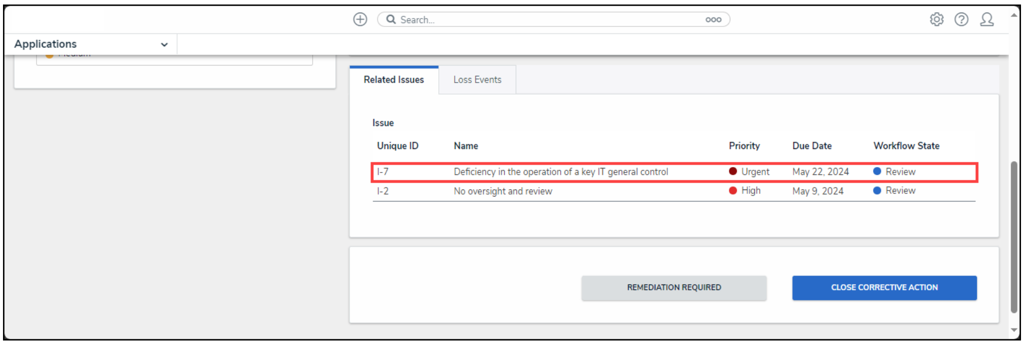
Add Web Link Pop-up

6. Review the issues listed on the ***Related Issues*** tab.



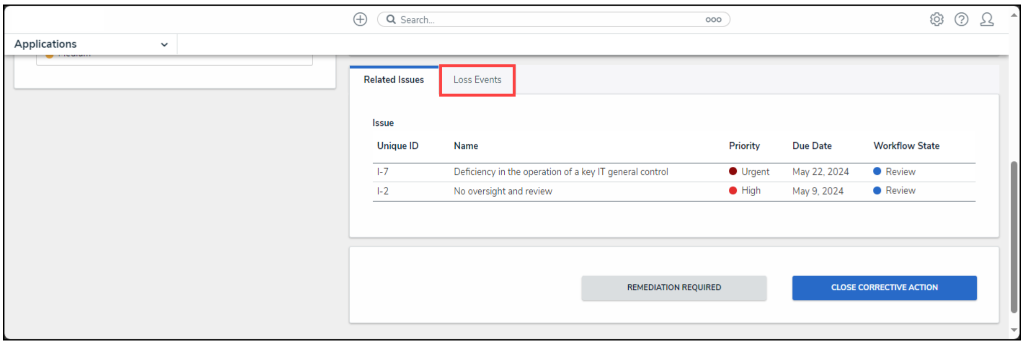
Related Issues Tab

7. Click an **Issue** to view further issues details or submit an issue for review.



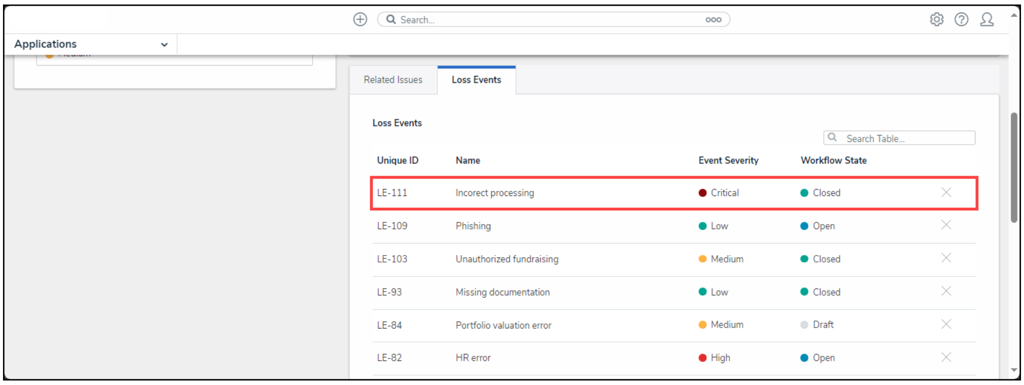
Issue

8. Click the ***Loss Events*** tab to view loss event details.



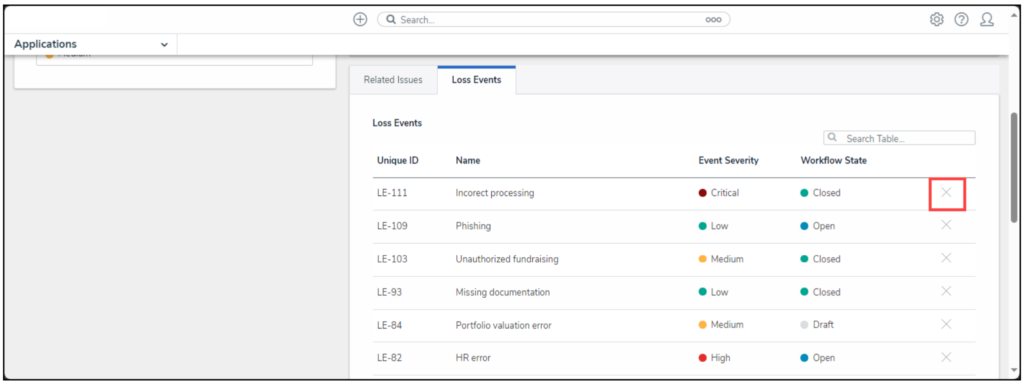
Loss Events Tab

9. Click a **Loss Event** for more details.



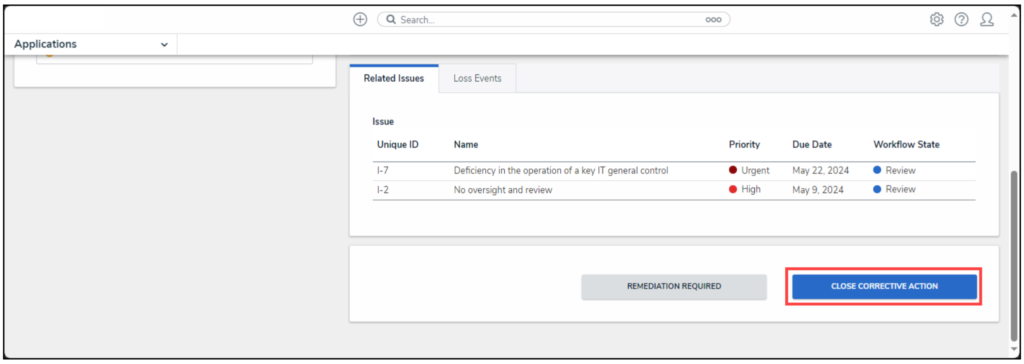
Loss Event

10. **(Optional)** Click the **X** icon to remove the loss event from the corrective action.



X Icon

11. Scroll to the bottom of the screen and click the **Close Corrective Action** button to complete the corrective action.



Close Corrective Action Button