

Closing an Issue

Last Modified on 06/10/2024 4:02 pm EDT

Overview

User can close an issue once it has been reviewed and resolved. An issue can only be closed once all connected corrective actions have been closed.

User Account Requirements

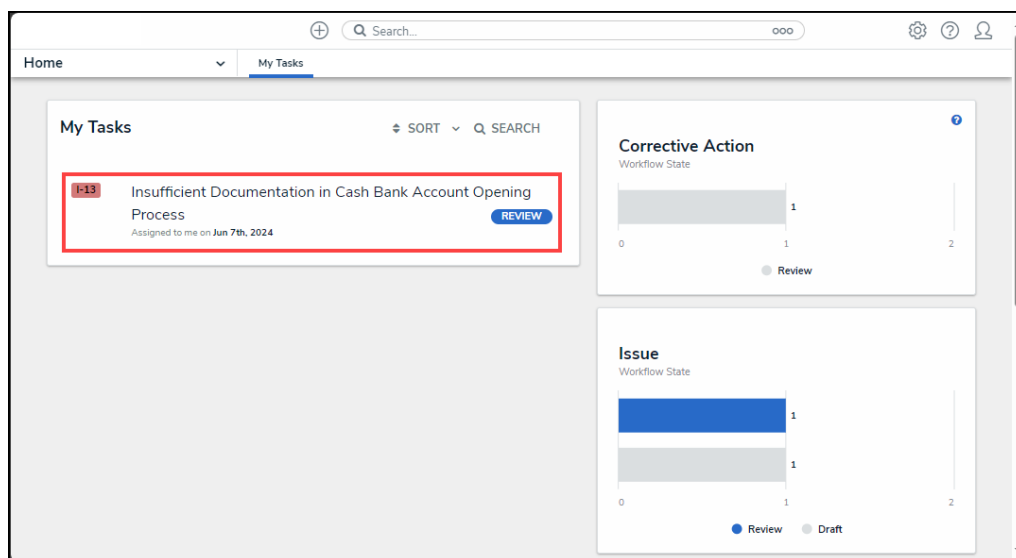
The user account used to log into Resolver must be added to the Internal Audit Lead user group.

Related Information/Setup

Please refer to the [Closing a Corrective Action](#) article for more information on closing a corrective action.

Navigation

- From the **Home** screen, click an issue with a review stage from the **My Tasks** section.

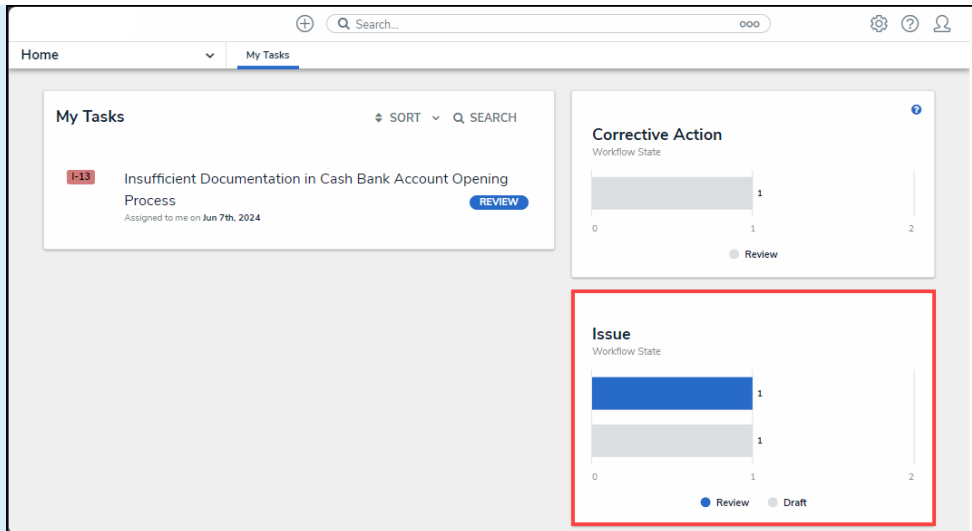


My Tasks



Note:

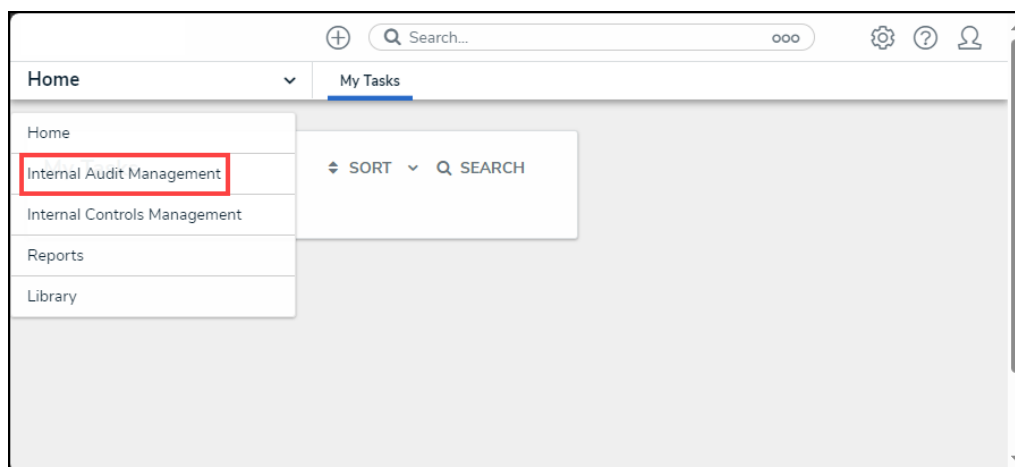
Click on the **Issues** bar chart to view all issues that require attention in the **My Tasks** section.



Bar Chart

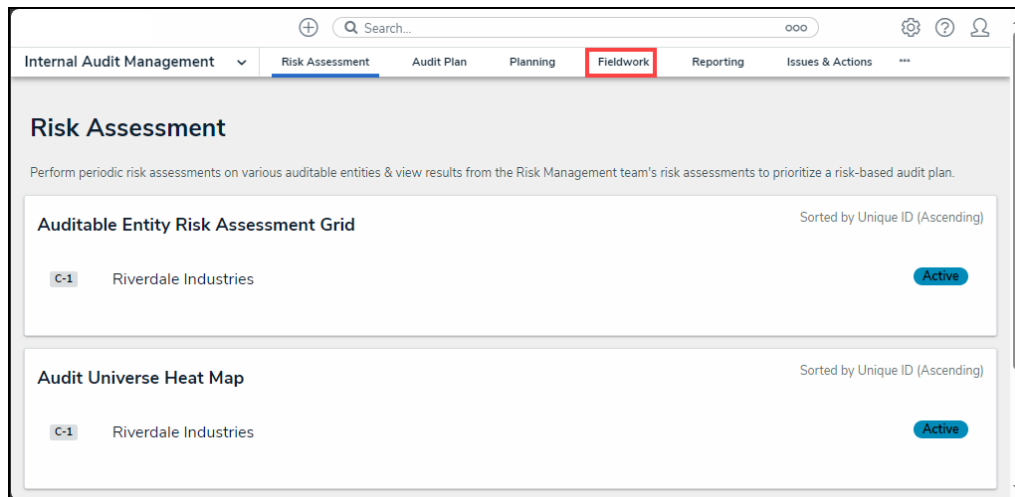
Alternate Navigation

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



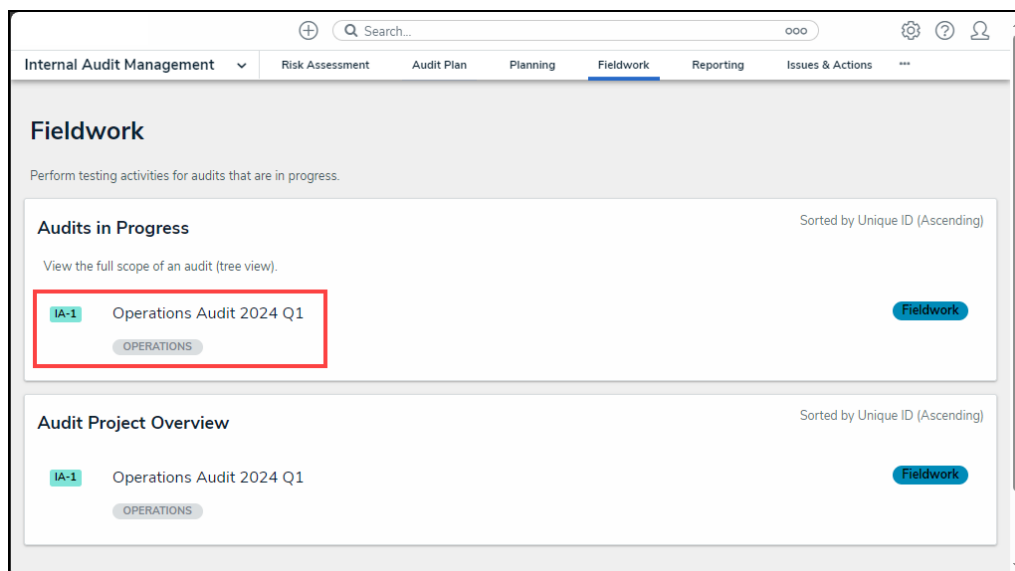
Home Dropdown

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



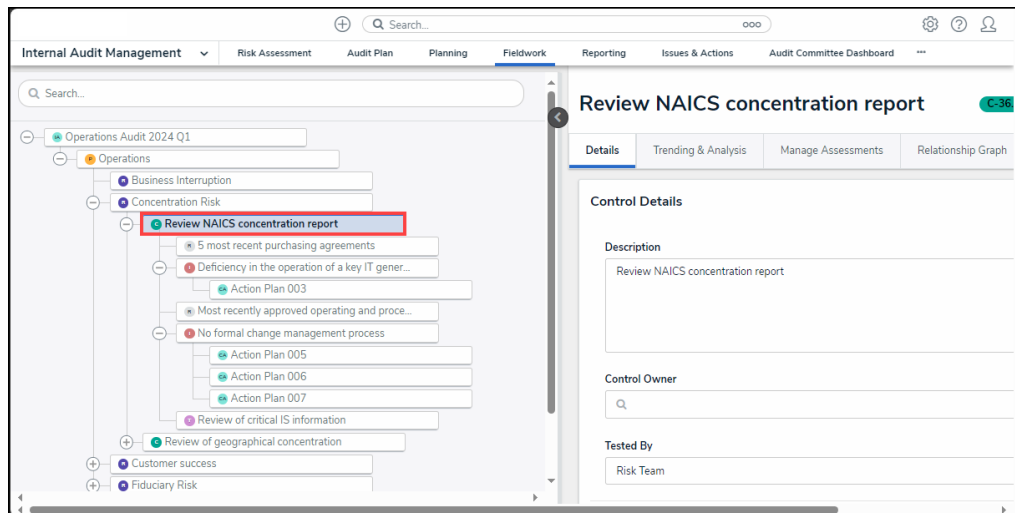
Fieldwork Tab

- 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.



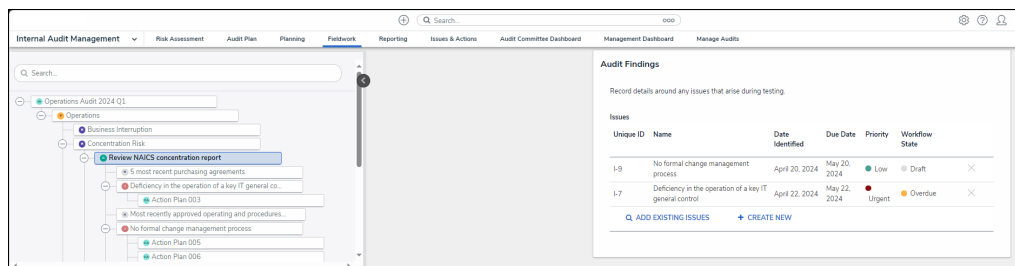
Internal Audit Report

- 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.



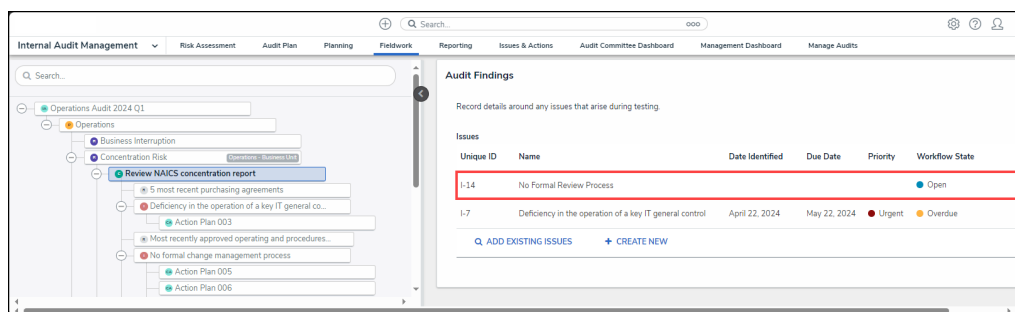
Control Overview Pop-up

- 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.

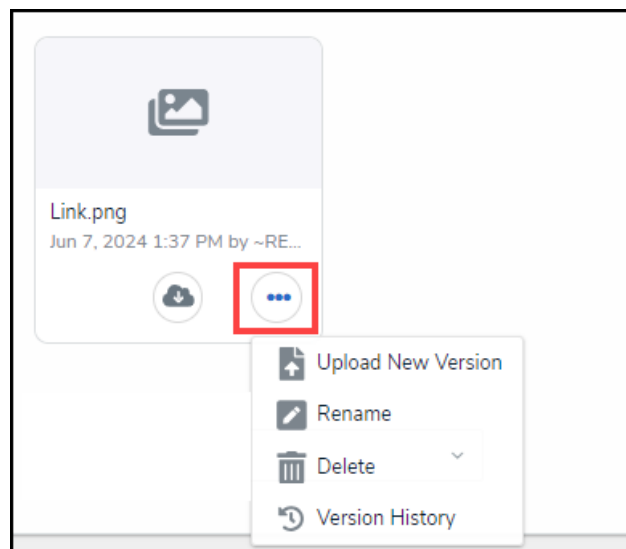


Issue

Closing an Issue

- From the **Issue Details** tab, review the following fields:
 - Description:** A description outlining the issue.
 - Priority:** The issue's priority (Low, Medium, or High).
 - Issue Owner:** The user or user group responsible for the issue.
 - Issue Type:** The issue's type.

- **Document Issue**
- **Control Design Issue**
- **Control Operation Issue**
- **Human Error**
- **Due Date:** The date the issue should be resolved by.
- **Issue Resolution Date:** The date the issue was resolved.
- **Date Identified:** The date the issue was first identified.
- **Recommendations:** A free form text field that allows users to add any resolutions or recommendations.
- **Management Response:** A free form text field for managers to comment on the issue.
- **Supporting Attachments:** Files or web links that offer evidence to support the issue or issue resolution. Click the **More** icon on the uploaded file card to [upload new version](#), [rename](#), [delete](#), or check [version history](#).



More Icon

- **Identified By:** The user or user group who initially identified the issue.

Applications [Search...] [Settings] [Help] [User]

Insufficient Documentation in Cash Bank Account Opening Process [1:13] [REVIEW] [More]

Details | Relationship Graph | History | Communications

Issue Details

Description
The internal audit for the Cash Bank Opening Account for SOX (Sarbanes-Oxley) Compliance project identified a deficiency in the documentation process for opening new bank accounts. The current procedure lacks comprehensive documentation, including the necessary approvals, account opening forms, and corrective information.

Priority
High

Issue Owner
[Search]

Issue Type
Control Design Issue

Due Date
[Calendar]

Issue Resolution Date
April 4, 2024

Manage Issue
Record all key information related to the identified issue and identify a plan to resolve the issue.

Date Identified
April 3, 2024

Recommendation
The internal audit recommends that the organization establish a standardized and documented procedure for opening new bank accounts. This includes developing a comprehensive checklist that outlines the required documentation, approvals, and verification steps. The checklist should be consistently followed for each account opening.

Management Response
The management acknowledges the documentation issue and recognizes the importance of maintaining a robust account opening process. They commit to enhancing the documentation process by implementing a standardized account opening checklist, requiring proper approvals at each stage, and providing additional training to staff involved in the account opening process.

Supporting Attachments
+ ADD FILE + ADD LINK

Drag files here or click to select...
or
Click to add a web link to a file...

Issue Details Tab

2. Close all **corrective actions** list on the **Corrective Actions** tab.

Applications [Search...] [Settings] [Help] [User]

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.

Corrective Actions

Unique ID	Name	Description	Priority	Expected Completion Date	Workflow State
CA-11	Action Plan 011	Establish clear protocols for the collection of required documents during the account opening process.	High	April 25, 2024	Open

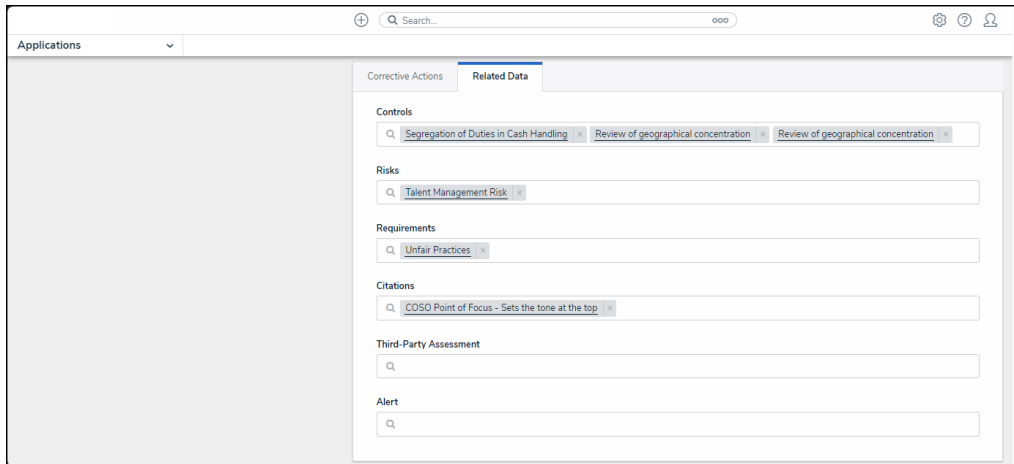
[ADD EXISTING CORRECTIVE ACTIONS] [CREATE NEW]

[REMEDIATION REQUIRED] [CLOSE ISSUE]

Corrective Actions Tab

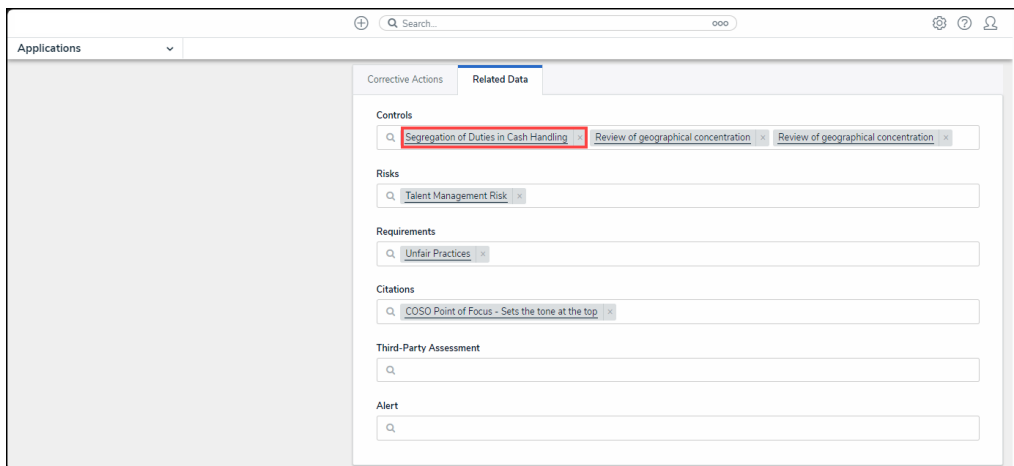
3. Review all related data on the **Related Data** tab.

- **Controls**
- **Risks**
- **Requirements**
- **Citations**
- **Third-Party Assessments**
- **Alerts**



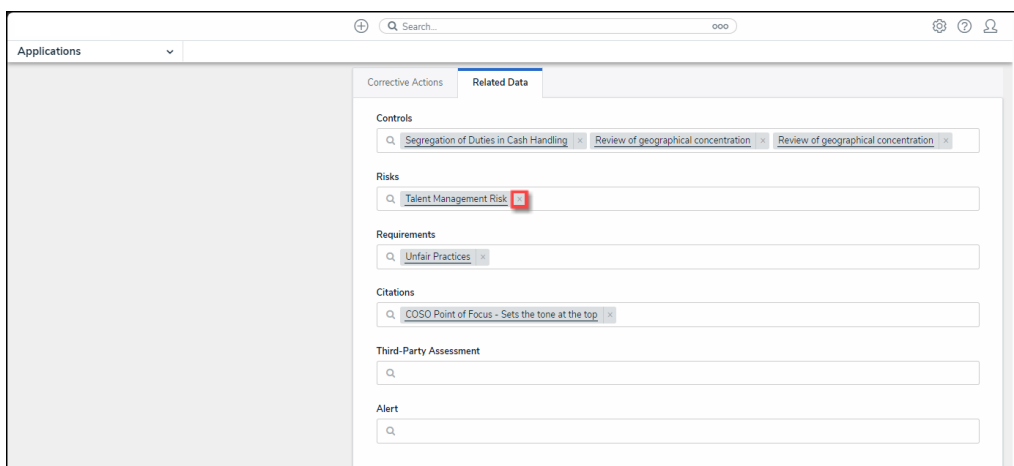
Related Data Tab

- Click on the corresponding element for more details (e.g., Control).



Control Link

- Click the **X** icon next to an element to remove it from the issue.



X Icon

- Click the **Close Issue** button to complete the issue.

Applications

Corrective Actions

Related Data

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Unique ID	Name	Description	Priority	Expected Completion Date	Workflow State	
CA-11	Action Plan 011	Establish clear protocols for the collection of required documents during the account opening process.	High	April 25, 2024	Open	✕

[ADD EXISTING CORRECTIVE ACTIONS](#)[+ CREATE NEW](#)

REMEDATION REQUIRED

CLOSE ISSUE

Close Issue Button