

Viewing an Internal Audit Finding Summary Report

Last Modified on 06/12/2024 2:51 pm EDT

Overview

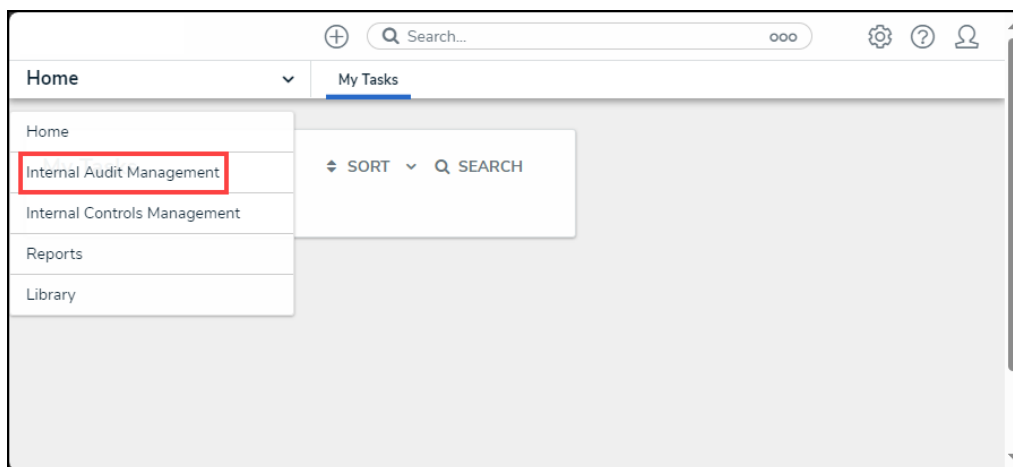
The Audit Committee Summary report displays information on all internal audit projects within an internal audit plan. Users can see Audit Ratings, Issue Priority, Audits Reports Issued in the last quarter, and the status of all internal audit projects within an audit plan.

User Account Requirements

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

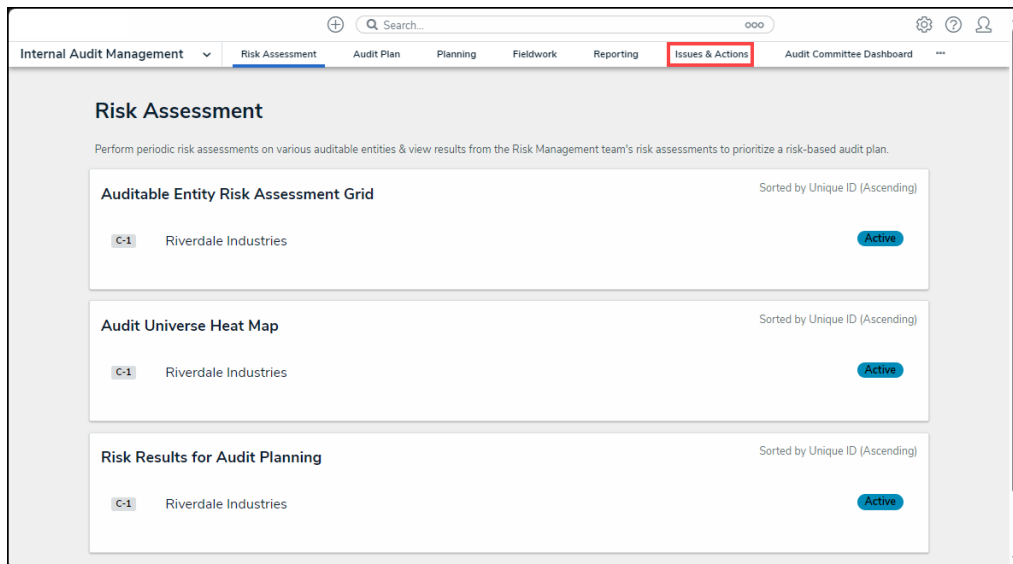
Navigation

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



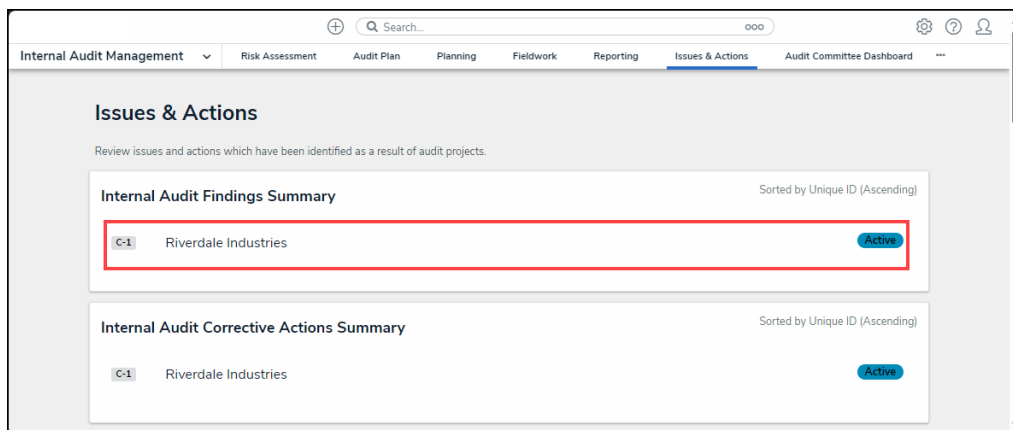
Home Dropdown

2. From the **Risk Assessment** screen, click on the **Issue & Actions** tab.



Issue & Actions Tab

- From the **Issue & Actions** screen, click a **Business Unit** link on the **Internal Audit Findings Summary** section.



Business Unit Link

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- From the **Findings Summary** screen, fill out the filter fields to narrow the search results.
 - Date Identified - Issue:** Enter a date range for when the issue was first identified.
 - From:** Enter the from date, creating the start date for the range.
 - To:** Enter the to date, creating the end date for the range.
 - Identified By - Issue:** Enter a user or user group name and select the user or user group who identified the issue.
 - Issue: Issue Owner:** Enter a user or user group name and select the user or user group who is responsible for the issue.
 - Due Date - Issue:** Enter a date range for the issue's due date.
 - From:** Enter the from date, creating the start date for the range.

- **To:** Enter the to date, creating the end date for the range.
- **Issue:** Select an issue status type from the dropdown menu to include issues with the selected status types (e.g., draft, complete, etc.).
- **Priority - Issue:** Select an issue priority from the dropdown menu (e.g., Low, Medium, or High).

The screenshot shows the 'IA - Findings Summary' section of the Resolver application. It includes a search bar at the top and a navigation menu with options like 'Internal Audit Management', 'Risk Assessment', 'Audit Plan', 'Planning', 'Fieldwork', 'Reporting', 'Issues & Actions', and 'Audit Committee Dashboard'. The 'Issues & Actions' tab is selected. Below the navigation, there's a section titled 'IA - Findings Summary' with a note: 'Your report must be filtered prior to launch. To do so, please fill in all required filters and then click 'Run Report'.' The filter fields include: 'Date Identified - Issue' (with a date range from May 1, 2024 to June 12, 2024), 'Identified By - Issue' (a dropdown menu), 'Issue: Issue Owner' (a search field), 'Due Date - Issue' (with 'FROM' and 'TO' date pickers), '* Issue Required' (a multi-select menu with options: Open, Overdue, Closed, Review), and 'Priority - Issue' (a dropdown menu). At the bottom right, there are 'CANCEL' and 'RUN REPORT' buttons.

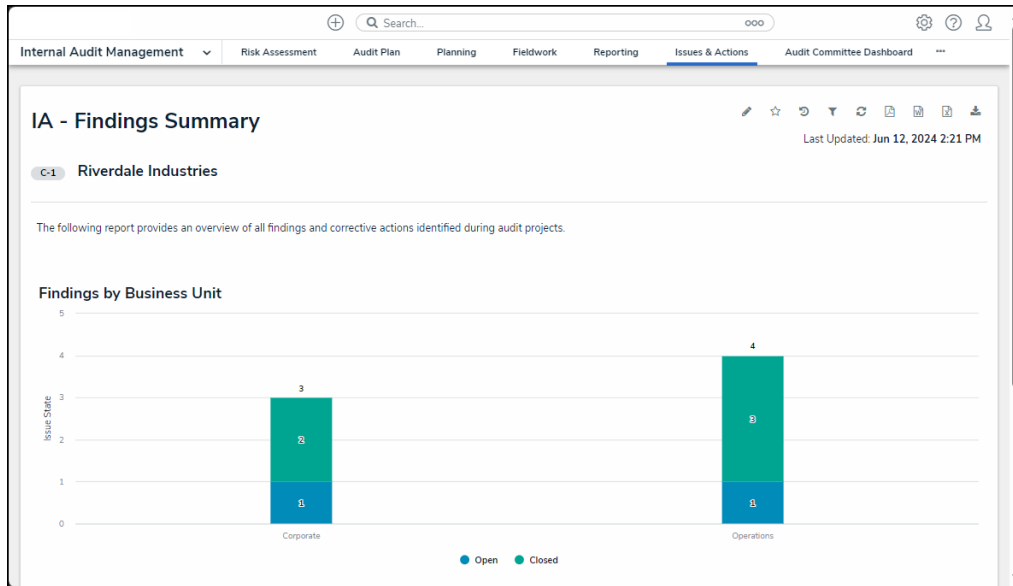
Findings Summary Filter Fields

2. Click the **Run Report** button to generate the report based on the filter field values.

This screenshot is identical to the previous one, showing the 'IA - Findings Summary' filter fields. The 'RUN REPORT' button at the bottom right is highlighted with a red rectangle, indicating the next step in the process.

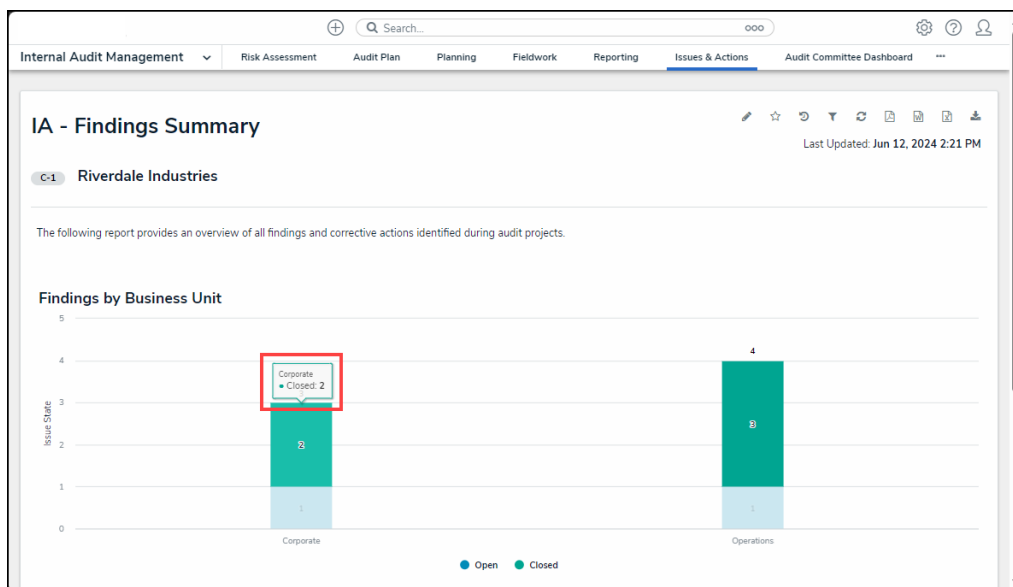
Run Report Button

3. The **Findings by Business Unit** graph shows the status of all issues for the selected business unit.



Findings by Business Unit Graph

4. Hover the cursor over a bar graph to see the issue's type, status, and number of issues in that status.



Bar Graph Hover Over

5. The **Issues** table displays all issues for the selected business unit.

Internal Audit Management							
Risk Assessment Audit Plan Planning Fieldwork Reporting Issues & Actions Audit Committee Dashboard							
Search Table...							
Issue Unique ID	Issue Name	Issue Owner	Date Identified	Due Date	Priority	Corrective Actions	Issue State
I-14	No Formal Review Process	Internal Controls First Line Users (Limited User)	May 27, 2024	June 10, 2024	Medium	Control process review	Closed
I-13	Insufficient Documentation in Cash Bank Account Opening Process		April 3, 2024		High	Action Plan 011	Closed
I-9	No formal change management process		April 20, 2024	May 20, 2024	Low	Action Plan 005, Action Plan 006, Action Plan 007	Open
I-7	Deficiency in the operation of a key IT general control	Internal Audit Clients (Limited User)	April 22, 2024	May 22, 2024	Urgent	Action Plan 003	Closed
Page 1 of 1 4 Rows 20 per page							

Issues Table

6. Click an **Issue** link for more detailed information and to move an issue through the stages from draft to complete.

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Page 1 of 1 4 Rows 20 per page							

Issues Link