

Submitting a Corrective Action for Review

Last Modified on 07/11/2024 9:54 am EDT

Overview

After a corrective action has been reviewed and moved to an open state, it must be reviewed by an Internal Audit Manager.

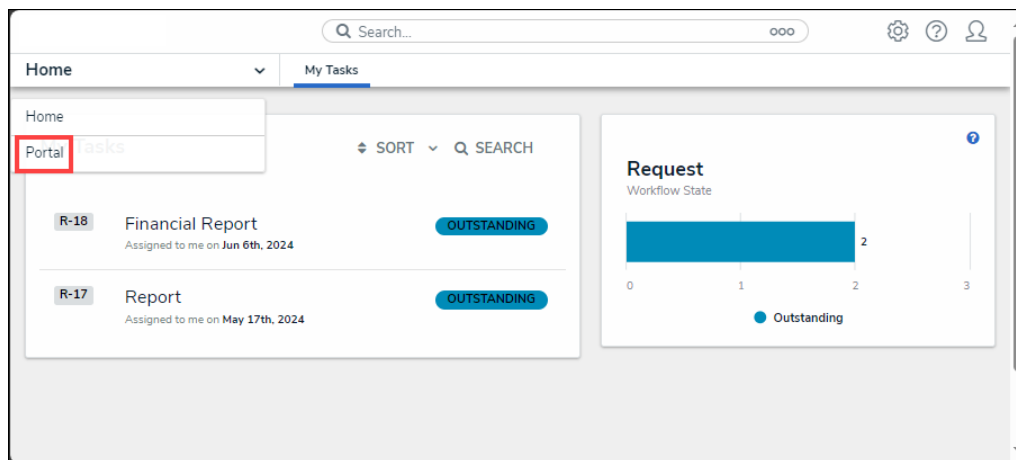
Related Information/Setup

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

Please refer to the [Opening a Corrective Action](#) article for further information on opening a corrective action.

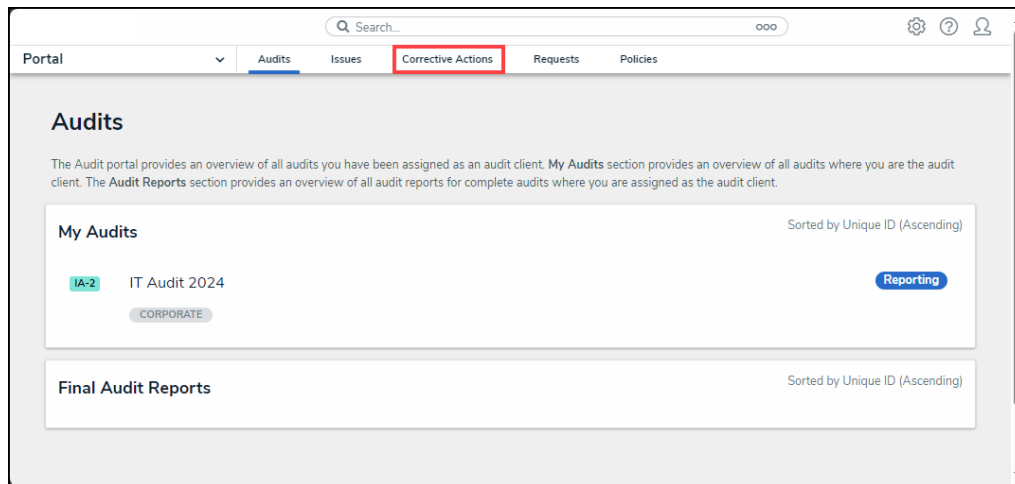
Navigation

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



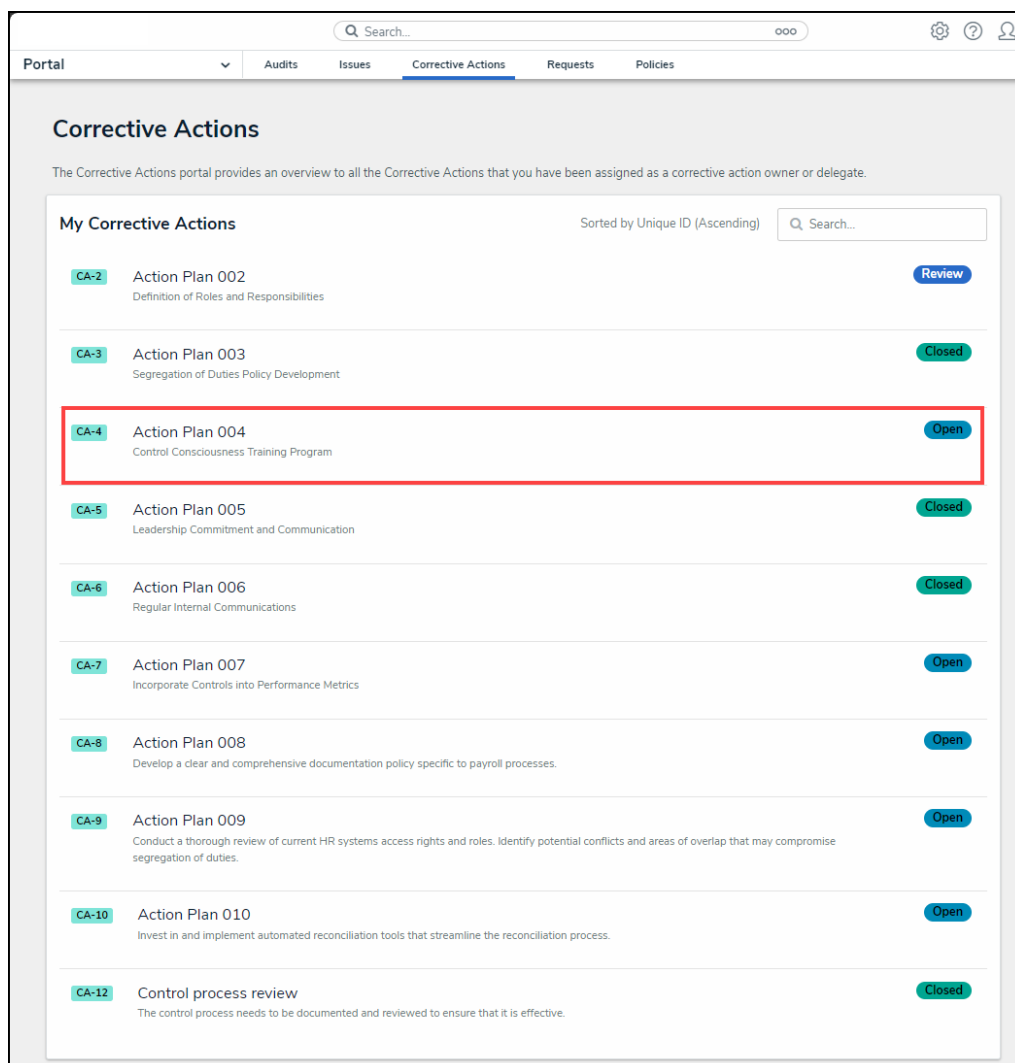
Home Dropdown

2. From the **Audits** screen, click on the **Corrective Actions** tab.



Corrective Actions Tab

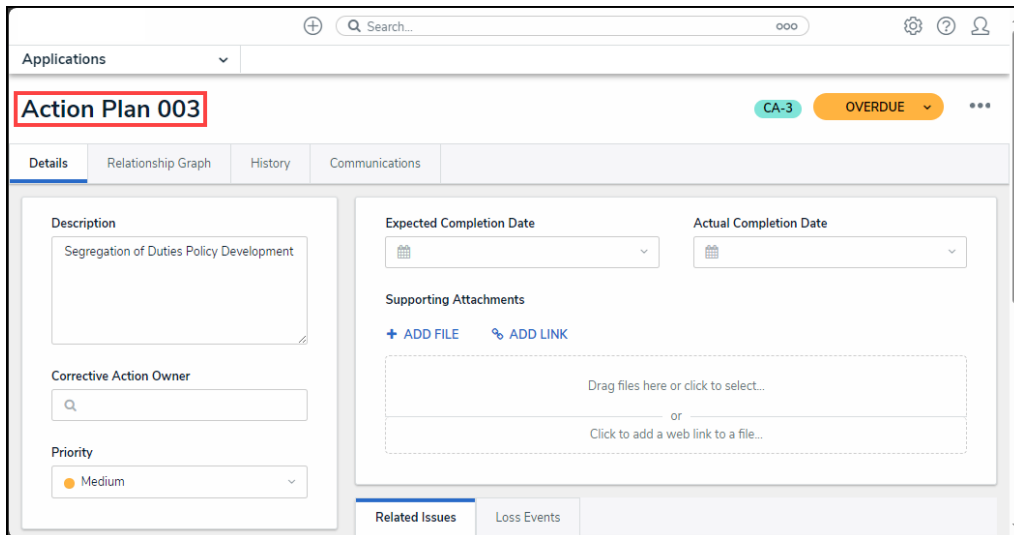
- From the **Corrective Actions** screen, click on an open corrective action from the **My Corrective Actions** section.



Open Corrective Action

Submitting a Corrective Action for Review

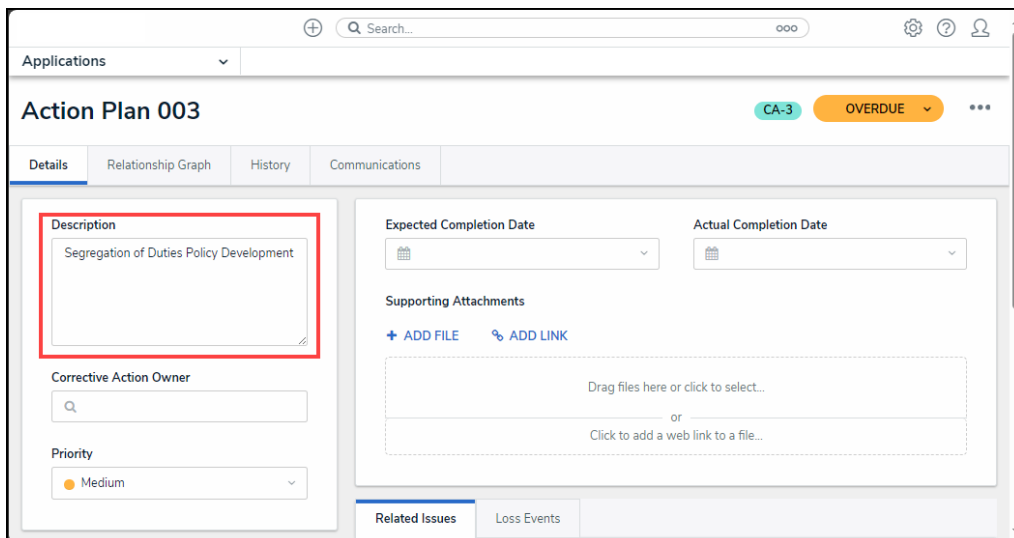
1. From the **Corrective Action** screen, review the corrective action and apply any required changes
2. Edit the corrective action name by clicking on the **Corrective Action Name** in the header to unlock the field and enter a new name. The content entered will be automatically saved.



The screenshot shows the Resolver interface for a corrective action. At the top, there's a search bar and a user profile icon. Below that, the 'Applications' dropdown is visible. The main header area displays 'Action Plan 003' in a red box, along with 'CA-3' and 'OVERDUE' status indicators. The 'Details' tab is selected, showing a form with the following fields: 'Description' (containing 'Segregation of Duties Policy Development'), 'Corrective Action Owner' (with a search icon), 'Priority' (set to 'Medium'), 'Expected Completion Date' (with a calendar icon), 'Actual Completion Date' (with a calendar icon), and 'Supporting Attachments' (with 'ADD FILE' and 'ADD LINK' buttons). The 'Related Issues' and 'Loss Events' tabs are also visible at the bottom.

Corrective Action Name Field

3. Click the **Description** field and enter a brief description outlining the steps within the corrective action.



This screenshot is similar to the previous one, but the 'Description' field is highlighted with a red box. The 'Description' field contains the text 'Segregation of Duties Policy Development'. The rest of the interface, including the header, tabs, and other fields, remains the same.

Description Field

4. Enter a user or user group name in the **Corrective Action Owner** field and select a user or user group from the dropdown menu.

The screenshot shows the 'Action Plan 003' interface. The 'Details' tab is active. The 'Description' field contains 'Segregation of Duties Policy Development'. The 'Expected Completion Date' and 'Actual Completion Date' fields are empty. The 'Supporting Attachments' section has '+ ADD FILE' and '+ ADD LINK' buttons. The 'Corrective Action Owner' dropdown is highlighted with a red box, showing a search bar with 'Internal' and three options: 'Internal Audit Clients (Limited User)', 'Internal Controls First Line Users (Limited User)', and 'Internal'. The 'Related Issues' and 'Loss Events' tabs are visible at the bottom.

Corrective Action Owner Dropdown

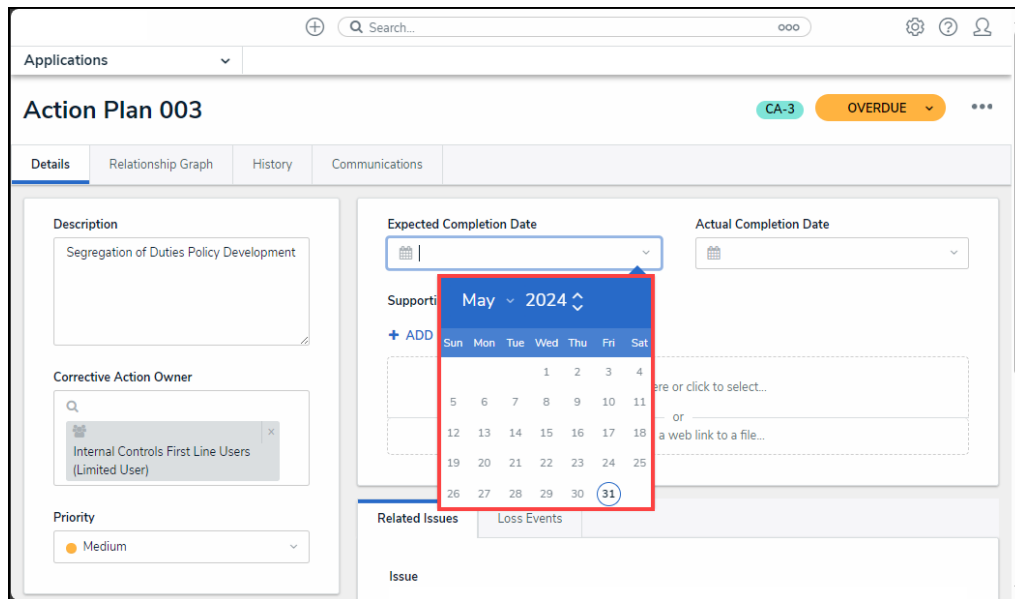
5. Set a corrective action priority by clicking the **Priority** field and selecting a priority from the dropdown menu.

- Low
- Medium
- High

The screenshot shows the 'Action Plan 003' interface. The 'Details' tab is active. The 'Description' field contains 'Segregation of Duties Policy Development'. The 'Expected Completion Date' and 'Actual Completion Date' fields are empty. The 'Supporting Attachments' section has '+ ADD FILE' and '+ ADD LINK' buttons. The 'Corrective Action Owner' dropdown is highlighted with a red box, showing a search bar with 'Internal' and three options: 'Internal Audit Clients (Limited User)', 'Internal Controls First Line Users (Limited User)', and 'Internal'. The 'Priority' dropdown is highlighted with a red box, showing a search bar with 'Medium' and four options: 'Low', 'Medium', 'Medium', and 'High'. The 'Related Issues' and 'Loss Events' tabs are visible at the bottom.

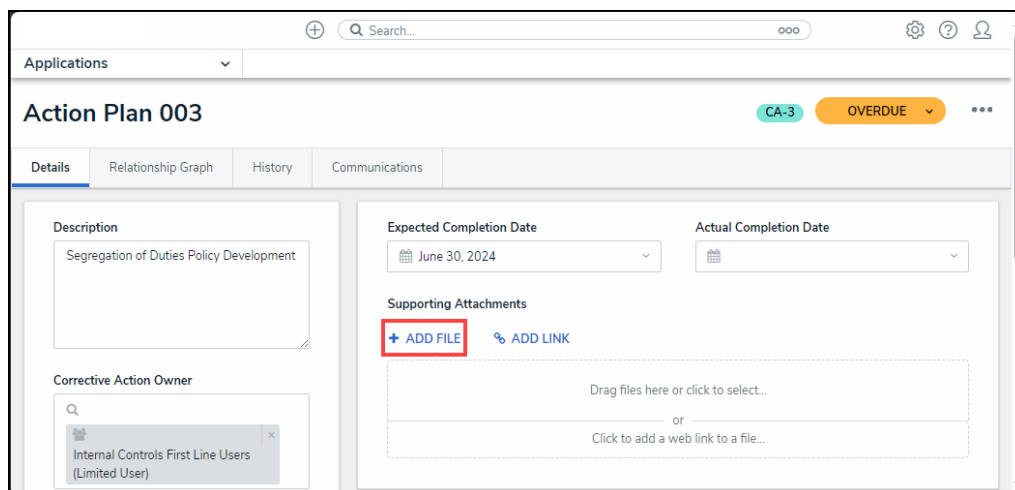
Priority Dropdown

6. **(Optional)** Select the date the corrective action is expected to be completed by clicking the **Expected Completion Date** field and selecting a **Date** from the **Calendar** pop-up.



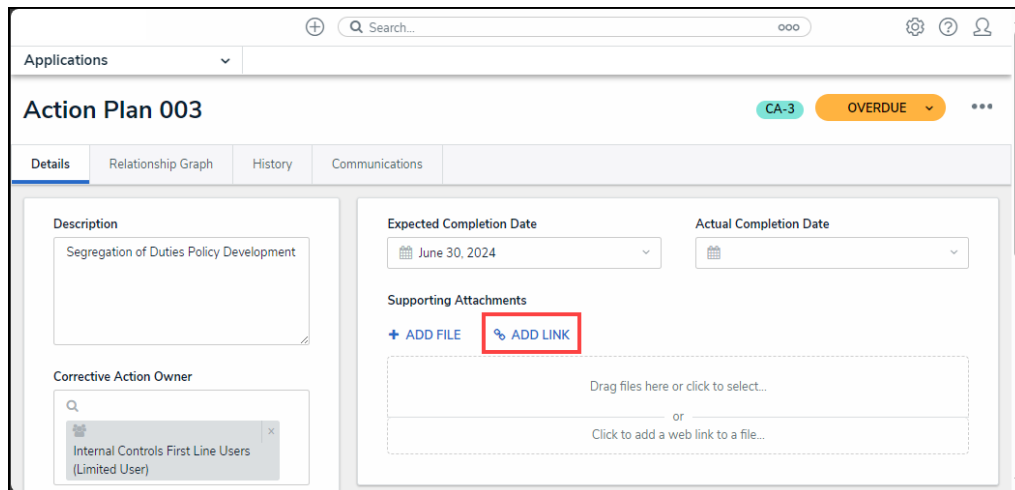
Calendar Pop-up

7. Select the corrective action's actual completion date by clicking the **Actual Completion Date** field and selecting a **Date** from the **Calendar** pop-up.
8. 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).



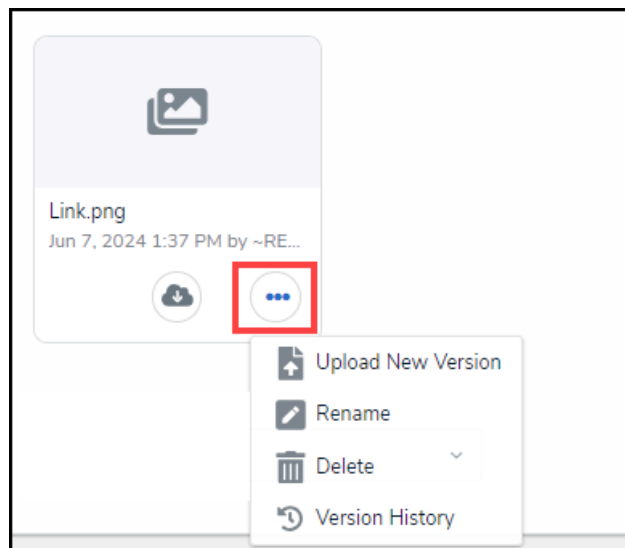
+ Add File Link

9. 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

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



More Icon

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

The screenshot shows the 'Action Plan 003' interface. The 'Details' tab is active. The 'Description' field contains 'Segregation of Duties Policy Development'. The 'Expected Completion Date' is 'June 30, 2024'. The 'Actual Completion Date' is empty. The 'Corrective Action Owner' is 'Internal Controls First Line Users (Limited User)'. The 'Priority' is 'Medium'. The 'Supporting Attachments' section has '+ ADD FILE' and '+ ADD LINK' buttons. A red box highlights the 'Add Web Link Pop-up' which contains the following fields:

Display name	Click to select...
URL link	Click to add a web link to a file...

Below the pop-up, there is a 'Related Issues' section with an '+ ADD LINK' button.

Add Web Link Pop-up

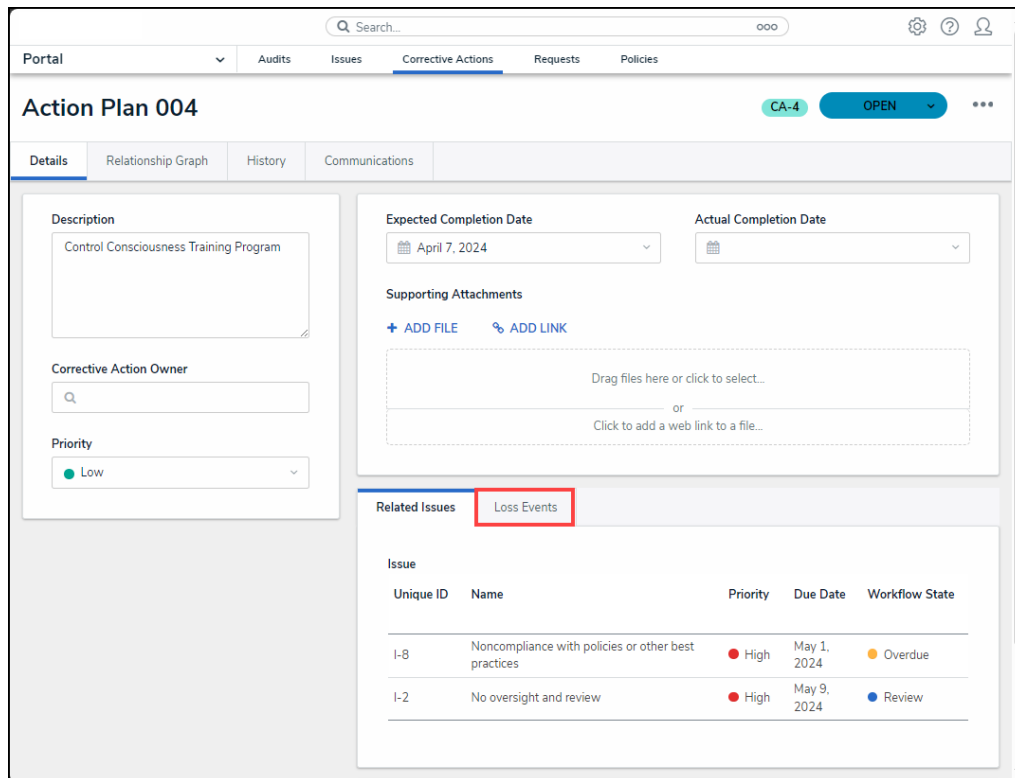
12. Click on a related issue on the **Issues** table to view the related issue.

The screenshot shows the 'Action Plan 004' interface. The 'Details' tab is active. The 'Description' field contains 'Control Consciousness Training Program'. The 'Expected Completion Date' is 'April 7, 2024'. The 'Actual Completion Date' is empty. The 'Corrective Action Owner' is empty. The 'Priority' is 'Low'. The 'Supporting Attachments' section has '+ ADD FILE' and '+ ADD LINK' buttons. The 'Related Issues' section is active, showing a table of related issues.

Unique ID	Name	Priority	Due Date	Workflow State
I-8	Noncompliance with policies or other best practices	High	May 1, 2024	Overdue
I-2	No oversight and review	High	May 9, 2024	Review

Related Issue

12. Click the **Loss Events** tab.



Action Plan 004 CA-4 OPEN

Details Relationship Graph History Communications

Description
Control Consciousness Training Program

Corrective Action Owner
[Search]

Priority
Low

Expected Completion Date
April 7, 2024

Actual Completion Date
[Dropdown]

Supporting Attachments
+ ADD FILE + ADD LINK

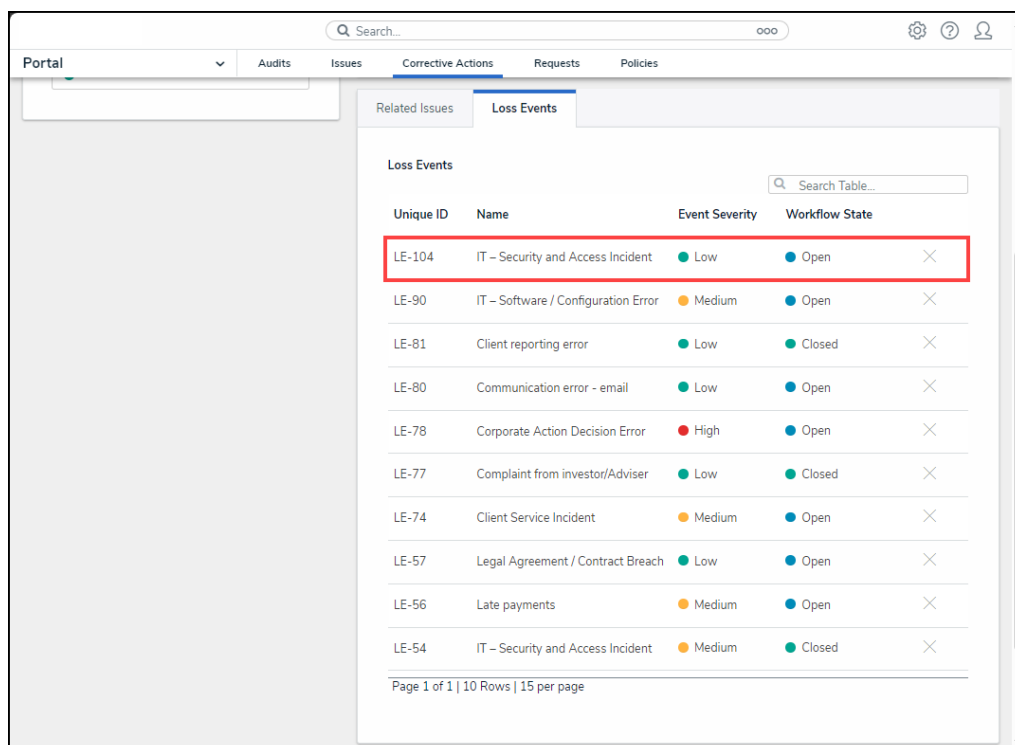
Drag files here or click to select...
or
Click to add a web link to a file...

Related Issues **Loss Events**

Issue	Unique ID	Name	Priority	Due Date	Workflow State
I-8		Noncompliance with policies or other best practices	High	May 1, 2024	Overdue
I-2		No oversight and review	High	May 9, 2024	Review

Loss Events Tab

- From the **Loss Events** tab, click on a loss event on the **Loss Events** table to view the loss event.



Loss Events

Search Table...

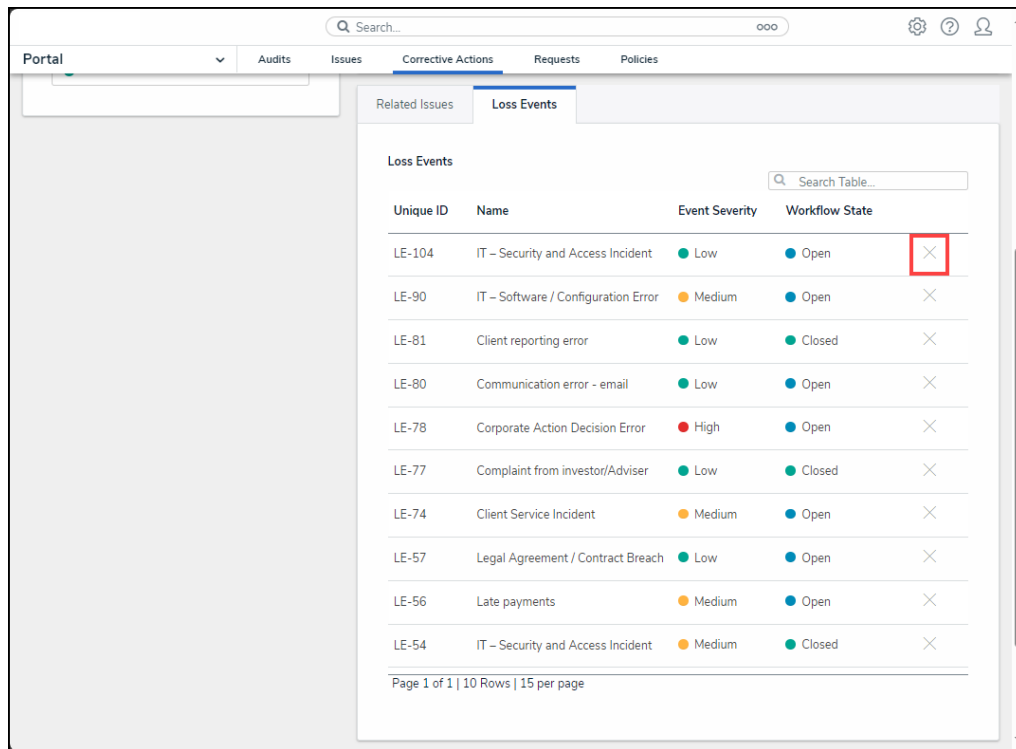
Unique ID	Name	Event Severity	Workflow State	
LE-104	IT – Security and Access Incident	Low	Open	✕
LE-90	IT – Software / Configuration Error	Medium	Open	✕
LE-81	Client reporting error	Low	Closed	✕
LE-80	Communication error - email	Low	Open	✕
LE-78	Corporate Action Decision Error	High	Open	✕
LE-77	Complaint from investor/Adviser	Low	Closed	✕
LE-74	Client Service Incident	Medium	Open	✕
LE-57	Legal Agreement / Contract Breach	Low	Open	✕
LE-56	Late payments	Medium	Open	✕
LE-54	IT – Security and Access Incident	Medium	Closed	✕

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Loss Event

- (Optional)** Click the **x** icon next to a loss event to remove the loss event from the

corrective action.



Portal Audits Issues **Corrective Actions** Requests Policies

Related Issues **Loss Events**

Loss Events

Search Table...

Unique ID	Name	Event Severity	Workflow State
LE-104	IT – Security and Access Incident	Low	Open X
LE-90	IT – Software / Configuration Error	Medium	Open X
LE-81	Client reporting error	Low	Closed X
LE-80	Communication error - email	Low	Open X
LE-78	Corporate Action Decision Error	High	Open X
LE-77	Complaint from investor/Adviser	Low	Closed X
LE-74	Client Service Incident	Medium	Open X
LE-57	Legal Agreement / Contract Breach	Low	Open X
LE-56	Late payments	Medium	Open X
LE-54	IT – Security and Access Incident	Medium	Closed X

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X Icon

12. Scroll to the bottom of the screen and click the **Submit for Review** button. Users in the Internal Audit Management user group will receive a notification that there is a corrective action ready for review.

Search...

PortalAuditsIssuesCorrective ActionsRequestsPolicies

Related Issues

Loss Events

Loss Events

Search Table...

Unique ID	Name	Event Severity	Workflow State	
LE-104	IT – Security and Access Incident	Low	Open	×
LE-90	IT – Software / Configuration Error	Medium	Open	×
LE-81	Client reporting error	Low	Closed	×
LE-80	Communication error - email	Low	Open	×
LE-78	Corporate Action Decision Error	High	Open	×
LE-77	Complaint from investor/Adviser	Low	Closed	×
LE-74	Client Service Incident	Medium	Open	×
LE-57	Legal Agreement / Contract Breach	Low	Open	×
LE-56	Late payments	Medium	Open	×
LE-54	IT – Security and Access Incident	Medium	Closed	×

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REVERT TO DRAFT

SUBMIT FOR REVIEW

Submit for Review Button