AuditFindings.com

TRACK - ASSIGN - RESOLVE

PLANO ISD
INSTRUCTIONS

Internal Audit Department

PLANO ISD

LAST UPDATED 11/24/21

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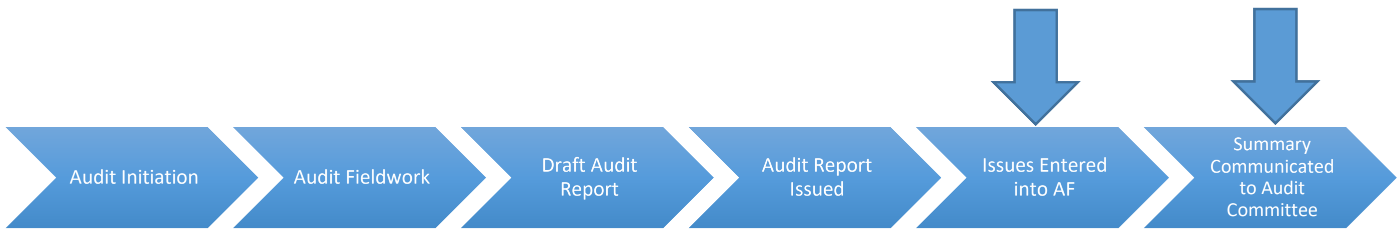
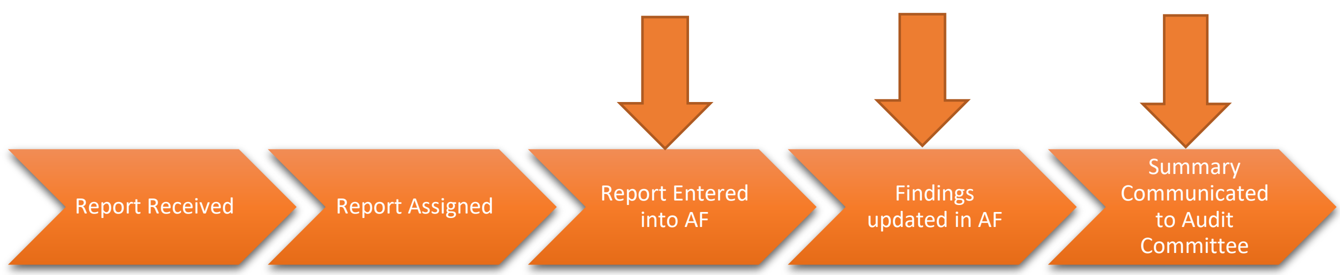
Purpose

AuditFindings.com (AF) is an audit issue tracking system for managing audit issues. With AF, internal audit and management have a robust system to keep track of audit issue corrective actions. In addition to assigning issues by department and employee, the system allows for monitoring, establishing priorities, and auto-notifications. Summary information will be utilized to communicate more effectively to the Board Audit Committee.



AF will also be utilized to track the status of fraud hotline reports received through Lighthouse.

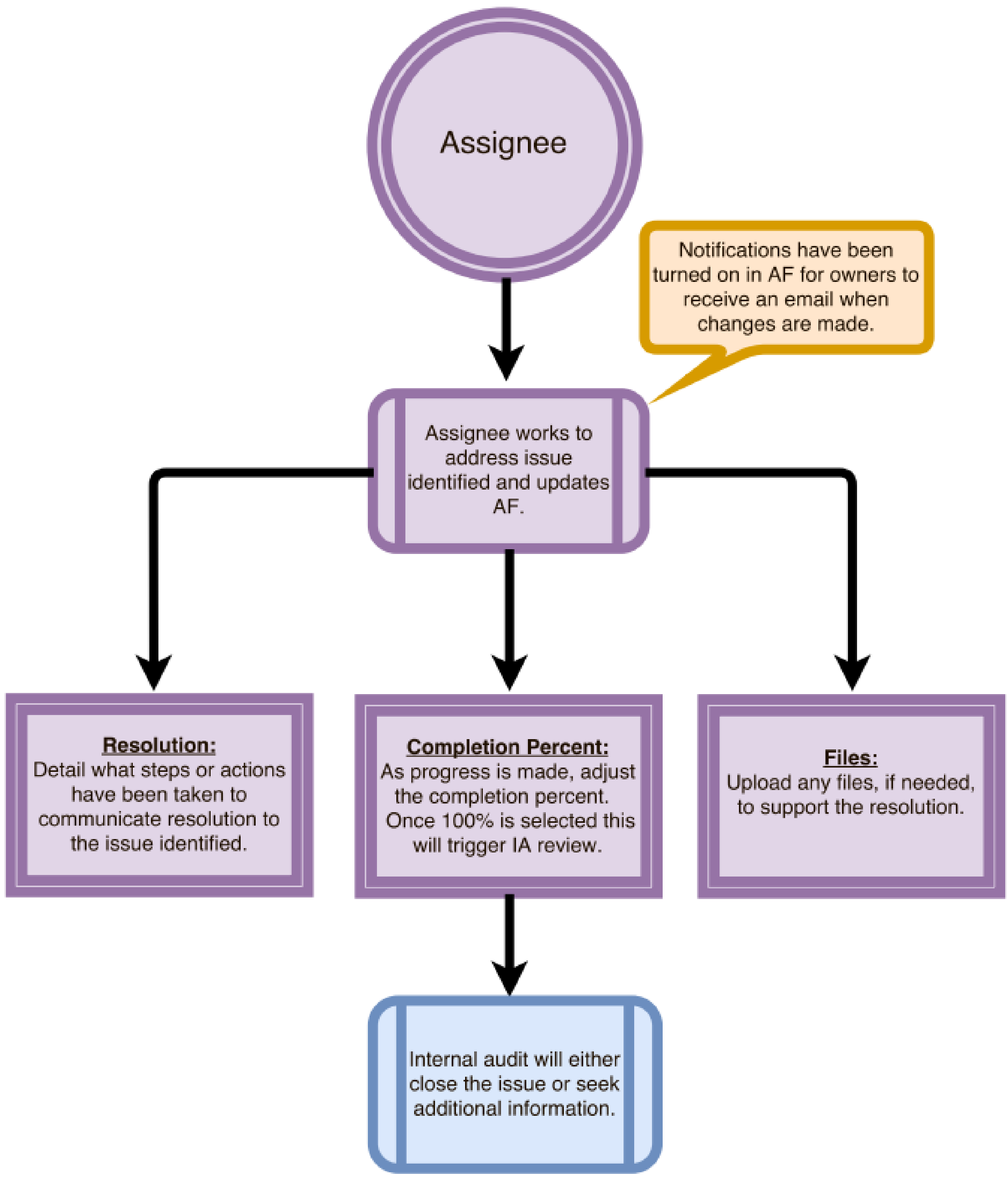


Custody of Fields

There are 21 fields available with the AF database that provide information, some of which are auto populated and others for entry by either internal audit, management, or the assignee. Only certain fields should be completed by each group to provide segregation of duties between internal audit and management.

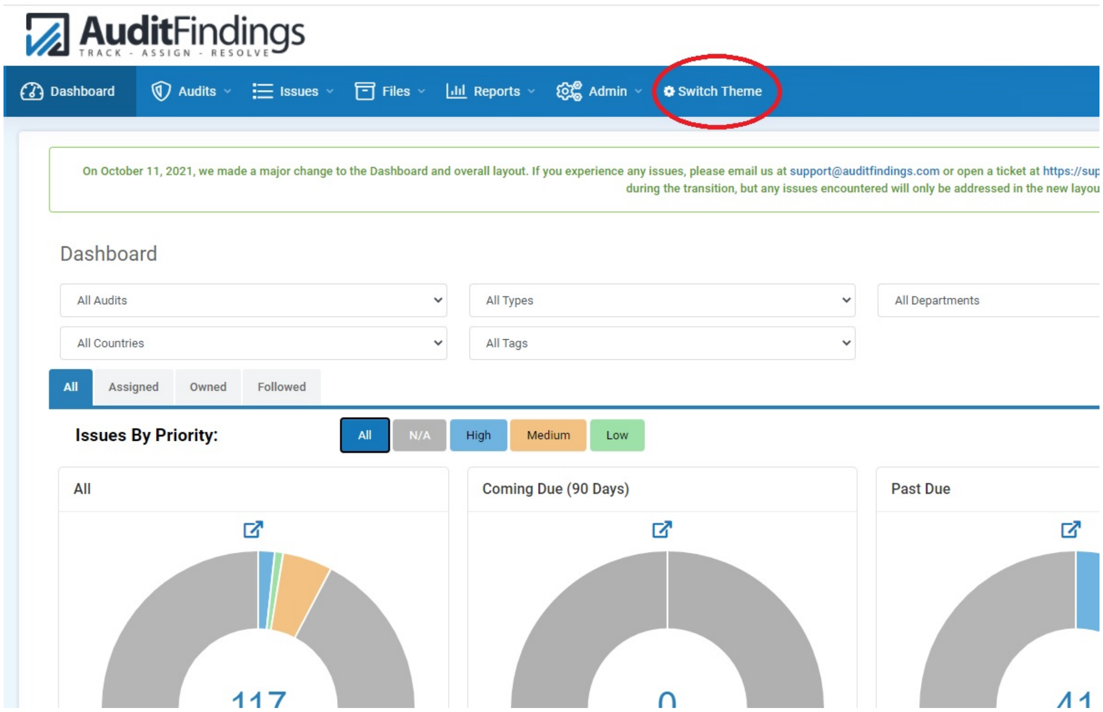
Field	Owner
Issue ID	Auto-populated
Issue Name	Internal Audit
Description	Internal Audit
Repeat Issue (Yes/No)	Internal Audit
Audit	Internal Audit
Issue Date	Internal Audit
Issue Age	Auto-populated
Department	Chief Operating Officer (COO)
Recommendation	Internal Audit
Assigned	Cabinet/COO/Internal Audit
Owner	COO
Resolution	Assignee
Priority	COO
Status	Internal Audit
Completion Percentage	Assignee/Cabinet
Target Resolution Date	Cabinet/COO
Actual Resolution Date	Internal Audit
Due/Past Due	Auto-populated
Files	Assignee/Cabinet/Internal Audit
Comments	All
Following	User defined

Process Flow


Assignee
Notifications have been turned on in AF for owners to receive an email when changes are made.
Assignee works to address issue identified and updates AF.
Resolution:
Detail what steps or actions have been taken to communicate resolution to the issue identified.
Completion Percent:
As progress is made, adjust the completion percent. Once 100% is selected this will trigger IA review.
Files:
Upload any files, if needed, to support the resolution.
Internal audit will either close the issue or seek additional information.

<u>Using the Legacy Dashboard Style</u>

In October 2021, AuditFindings.com made significant changes to their website, especially the dashboard. As of the writing of this document, a user can choose to use the old dashboard style by selecting *Switch Theme* on the dashboard menu line as shown below.



Managing Issues - Overview

To manage the progress of the issue, there are several tools available.

1. Assign the issue to the appropriate person.
2. Establish a target resolution date.
3. Monitor the *Dashboard* – Provides a high level look at issue status.
4. Review the weekly email status update.
5. Run a report – reports are available by issue, department, or issue age.

Selecting a New Primary Assignee

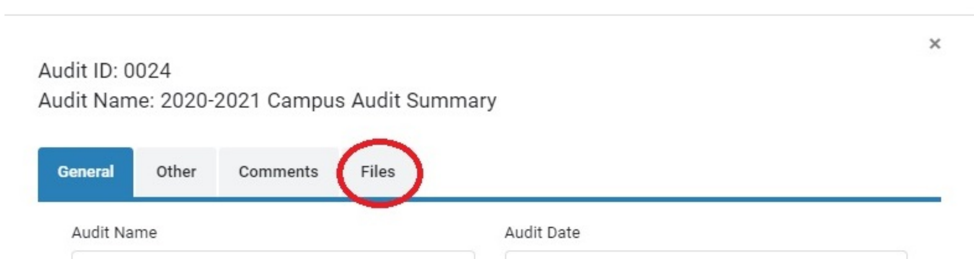
When an issue is assigned to you as an owner, there are two choices.

1. Keep the issue as assigned (see quick reference guide for assignees)
2. Assign the issue to an employee. To assign, open the issue, and use the drop down box to select an employee. If they are not listed, contact internal audit and the employee will be added to AF and an invitation will be sent.

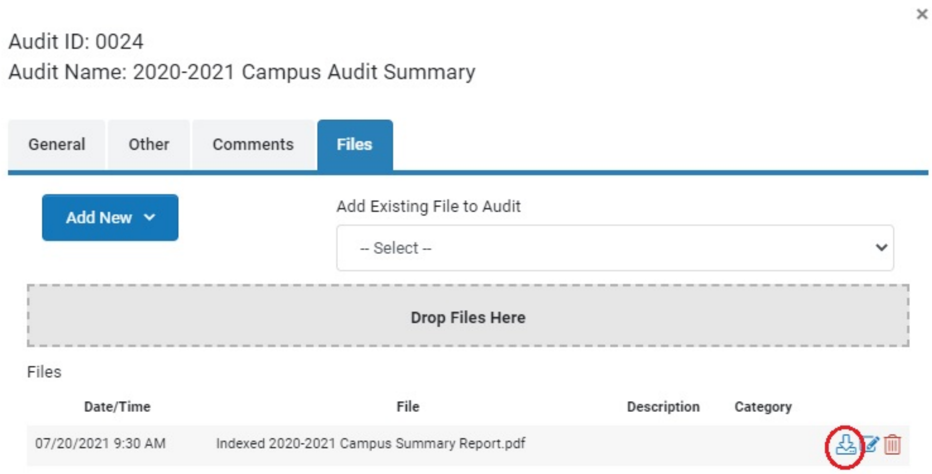
Downloading Audit Reports

To understand how the issue relates to the audit, each issue is indexed in the audit report. To view the report, follow this procedure:

1. From the *Dashboard*, click the *Audi*t tab and click *Manage Audits* from the dropdown menu.
2. Select the audit. The audit will be displayed in a pop up window.
3. Click on the Files tab.



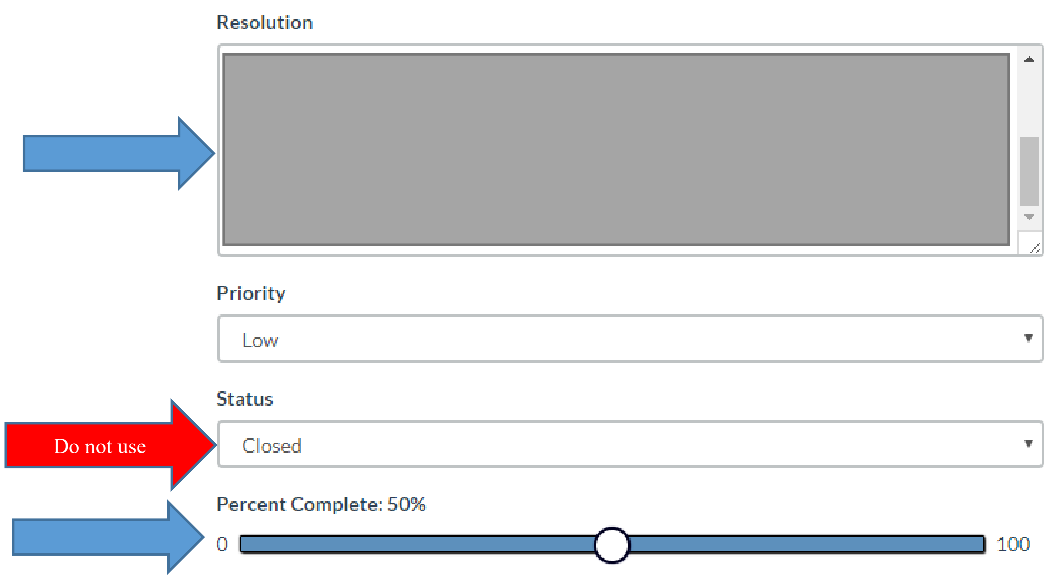
4. Click on the download button to the right of the file name.



An email will be sent to notify you when an issue has been assigned. To view the issues assigned to you, the *Dashboard* will provide a quick access point. Additionally, issues can be viewed through the issues tab. Once open, information is displayed showing the audit information, description of issue, and internal audit recommendation.

Fields to Complete

- Resolution – Detail what steps or actions have been taken to communicate resolution to the issue identified.
- Completion Percentage – Update the progress of resolution as work is performed to update management and internal audit of the status. Once marked at 100%, internal audit will review and close the issue or seek additional information. <u>Do not mark the status closed.</u>
- Files – If needed, upload any files to assist the communication of the resolution.



Frequently Asked Questions

Questions below are linked. For quick access, CTRL+click will directly take you to the question.

General Questions

What is AuditFindings.com?
How do I access AuditFindings.com?
What if I forget my password?

Monitoring

How do I only view the issues that concern me?
Can I run a report to see all of my issues?
How do I follow certain issues?
Why do I receive so many emails and can I turn them off?

Responding/Modifying/Assigning

How do I modify an issue?
How do I know when an issue is assigned to me?
Can I assign the issue to someone else?
What if I don't see the name of the employee I want to assign an issue?
Can an issue be assigned to more than one person?
What are my responsibilities when I am assigned an issue?
How do I upload a file?
Can I update more than one issue at a time?

Additional Information

What are the responsibilities of the internal auditors?
Who do I contact with questions and problems?
Where can I learn more?

What is AuditFindings.com?

AuditFindings.com is an online program used to track audit issues. You can reach the login screen simply by typing “AuditFindings.com” in your browser URL text box.

How do I access AuditFindings.com account?

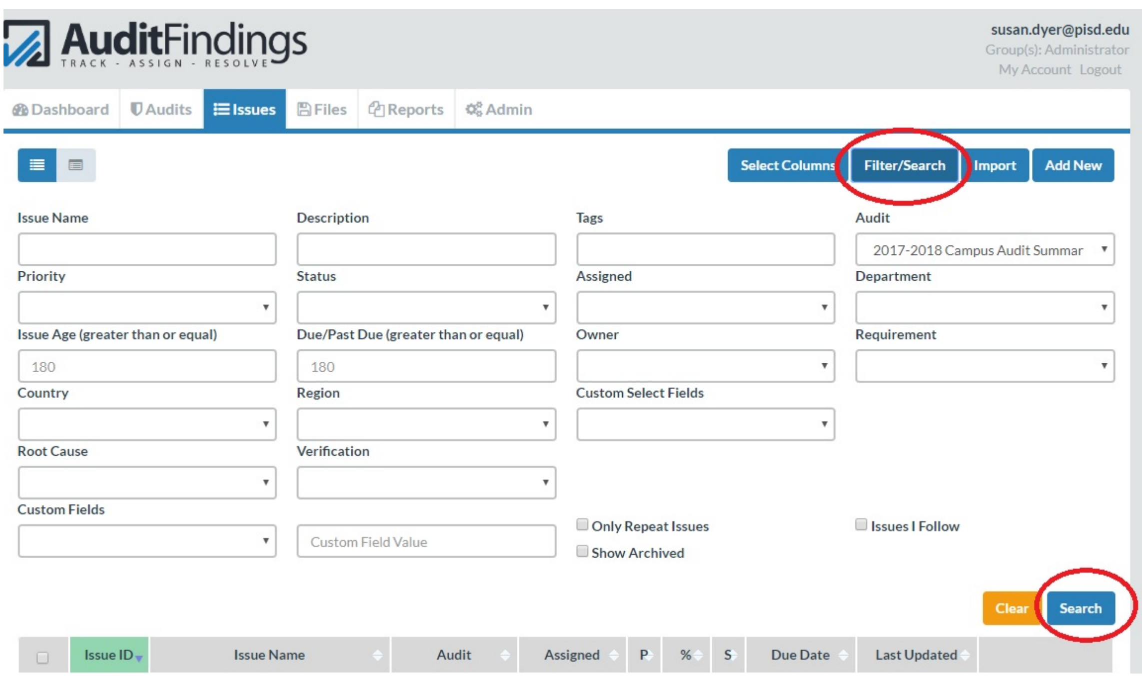
You should receive an e-mail with a link that will allow you to set up your account.

What if I forget my password?

Contact an employee from internal audit. They can initiate a password reset and you will be sent a new email to create a new password.

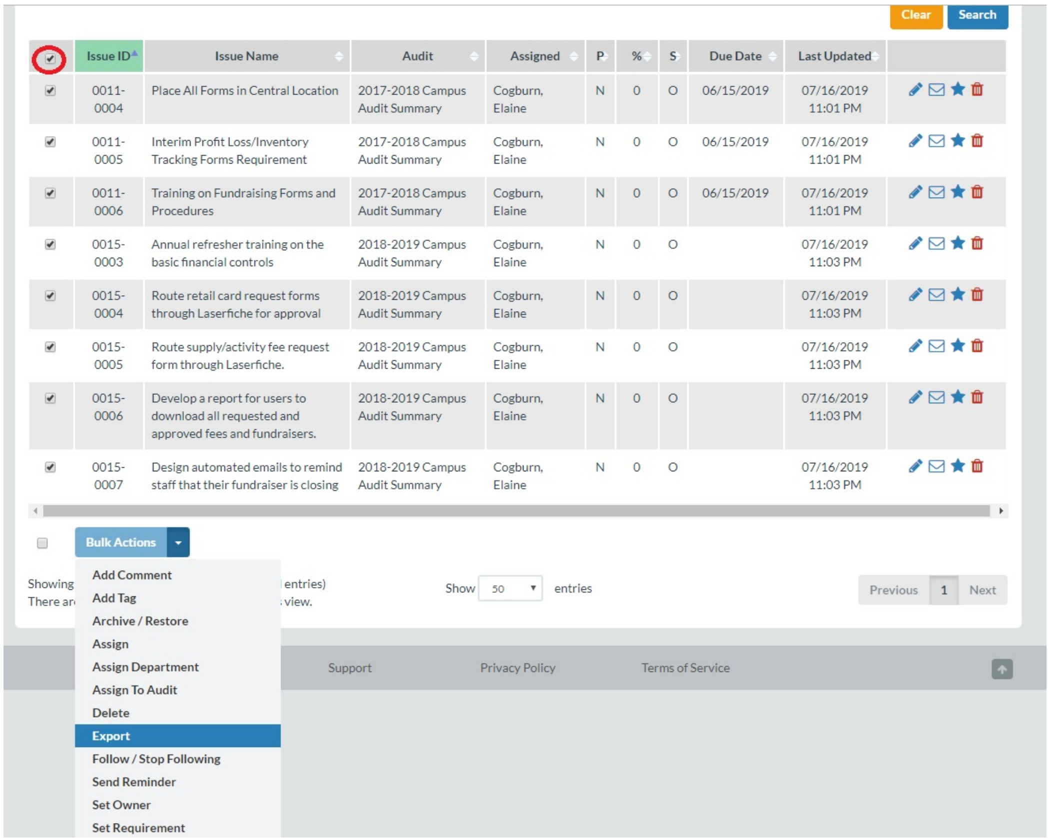
How do I only view the issues that concern me?

To view only certain categories of issues is using the *Filter/Search* button on the *Issues* screen. Click on the *Filter/Search* button to display all of the filtering options. Here you can choose to display only issues associated with a certain audit or with a specific status or assignee, etc.



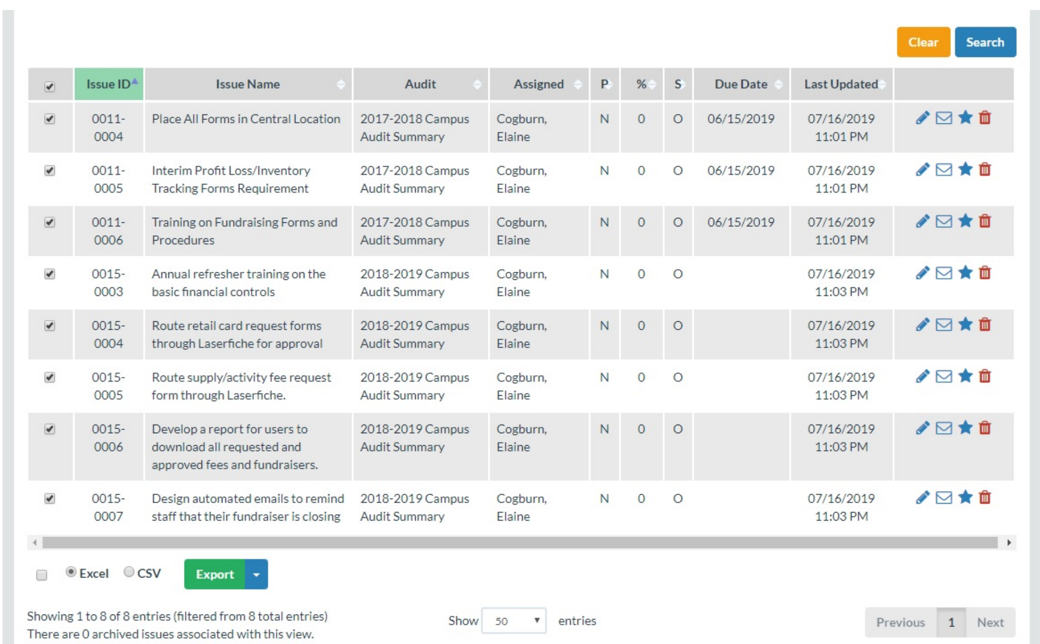
Can I run a report to see all of my issues?

To create an Excel spreadsheet of your issues, follow the steps directly above to filter the issues which are assigned (or owned or followed) by you. Then check the upper checkbox above the list of issues. This will cause all the issues listed to be checked. Then select *Export* from the *Bulk Actions* dropdown menu.



Issue ID	Issue Name	Audit	Assigned	P	%	S	Due Date	Last Updated
0011-0004	Place All Forms in Central Location	2017-2018 Campus Audit Summary	Cogburn, Elaine	N	0	O	06/15/2019	07/16/2019 11:01 PM
0011-0005	Interim Profit Loss/Inventory Tracking Forms Requirement	2017-2018 Campus Audit Summary	Cogburn, Elaine	N	0	O	06/15/2019	07/16/2019 11:01 PM
0011-0006	Training on Fundraising Forms and Procedures	2017-2018 Campus Audit Summary	Cogburn, Elaine	N	0	O	06/15/2019	07/16/2019 11:01 PM
0015-0003	Annual refresher training on the basic financial controls	2018-2019 Campus Audit Summary	Cogburn, Elaine	N	0	O		07/16/2019 11:03 PM
0015-0004	Route retail card request forms through Laserfiche for approval	2018-2019 Campus Audit Summary	Cogburn, Elaine	N	0	O		07/16/2019 11:03 PM
0015-0005	Route supply/activity fee request form through Laserfiche.	2018-2019 Campus Audit Summary	Cogburn, Elaine	N	0	O		07/16/2019 11:03 PM
0015-0006	Develop a report for users to download all requested and approved fees and fundraisers.	2018-2019 Campus Audit Summary	Cogburn, Elaine	N	0	O		07/16/2019 11:03 PM
0015-0007	Design automated emails to remind staff that their fundraiser is closing	2018-2019 Campus Audit Summary	Cogburn, Elaine	N	0	O		07/16/2019 11:03 PM

After you select Export, a green Export button will appear where the drop down menu was. Click on the Export button to export all of the selected issues to an Excel spreadsheet.



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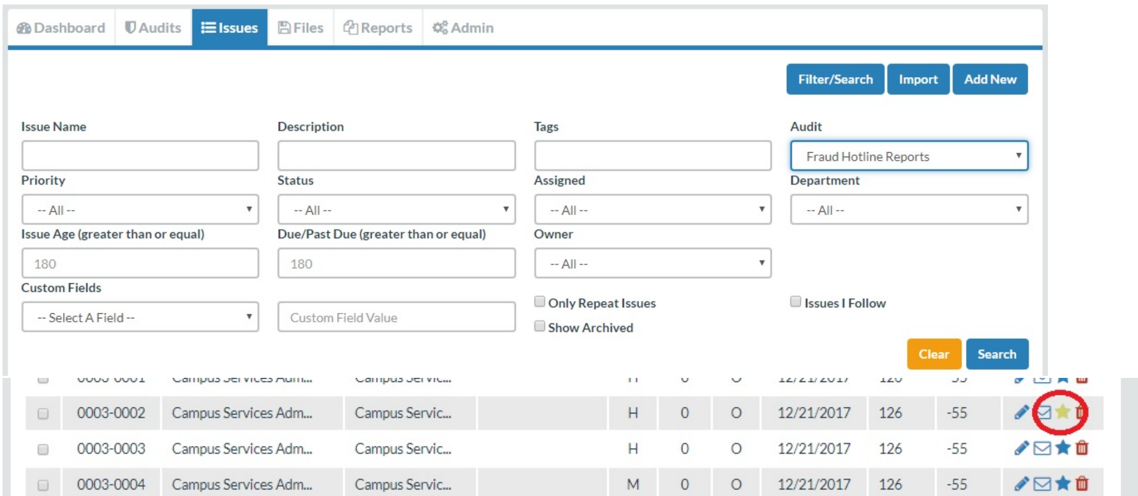
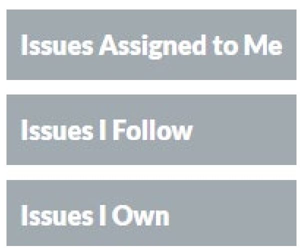
How do I follow an issue?

Go to the *Issues* screen and click on the star to the right of the issue you would like to follow. The star will turn yellow, indicating you are now following it.

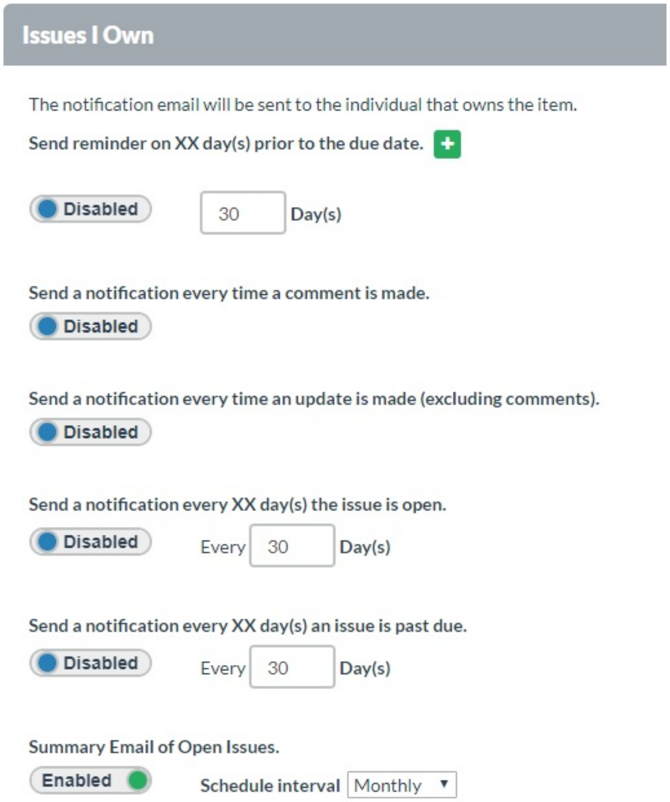


Why do I receive so many emails and can I turn them off?

Anytime an issue is assigned to you, an email will be sent. This cannot be adjusted. There are three categories of settings.



Notification for all three categories have been established based on the following settings.

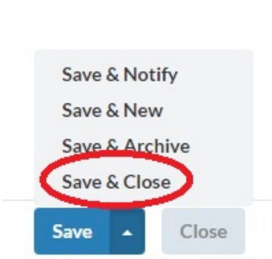


Any changes made to the setting applies to all users. Therefore, adjustments will be made with consensus from user preferences.

How do I modify an issue?

Those with manager rights (cabinet members) can modify all information within the *Issue* window. Those with assignee rights are only able to modify certain fields (e.g. *Resolution*, *Percent Complete*, *Primary Assigned*). To modify an issue, click on the issue from the *Issues* screen. The *Issue* window will be displayed. From here you can view and modify information about the issue, such as assignee, resolution, completion percent, target resolution date, and comments.

You must click *Save* prior to closing, otherwise all changes will be lost. You will be given the option to *Save and Close*.



How do I know when an issue is assigned to me?

You will receive an email when a new issue has been assigned to you. It will contain the issue name and a link.

Can I assign an issue to someone else?

Yes, if an issue is assigned to you that should be assigned to someone else, you can change the Assignee. Simply go to the *Primary Assigned* section of the *Issue* window and click the arrow to display a drop down menu of names. Click on a name to reassign the issue to someone else.

What if I don't see the name of the employee I want to assign an issue?

An employee will need to be set up within AF. Email or call Susan Dyer or Jenna Isensee. The setup process can be done very quickly.

Can an issue be assigned to more than one person?

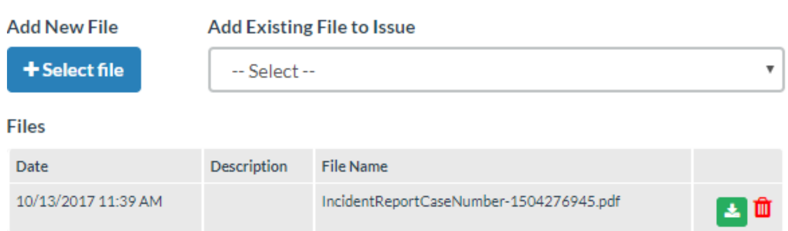
No, currently an issue can only be assigned to one person.

What are my responsibilities when I am assigned an issue?

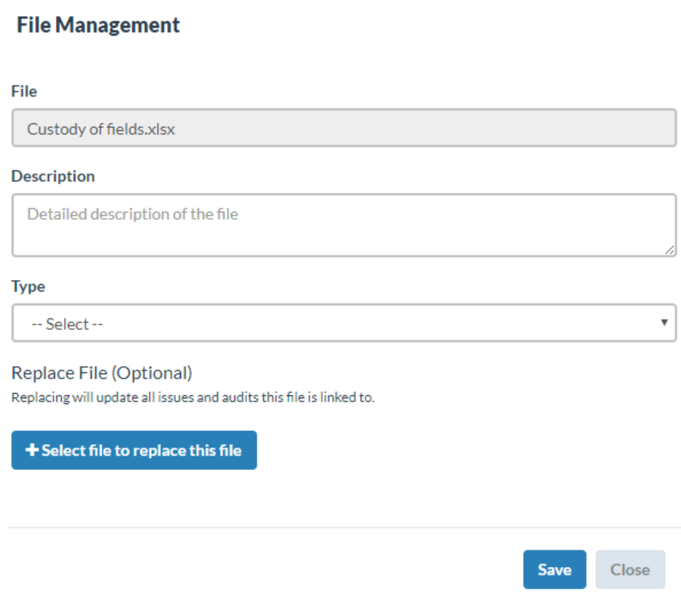
It is the responsibility of the assignee to fill out the *Resolution* and the *Percent Complete* sections of the *Issue* window. The content of the *Resolution* section should describe what steps have been taken to resolve the issue and show that due diligence has been performed. It is **not** the responsibility of the assignee to change the *Status* from *Open* to *Closed*. If needed, the assignee should upload any files to support the resolution.

How do I upload a file?

There are two options to attaching a file to an issue, attach a new file or attach a file that exists with another issue. To attach a new file, click on Select file.

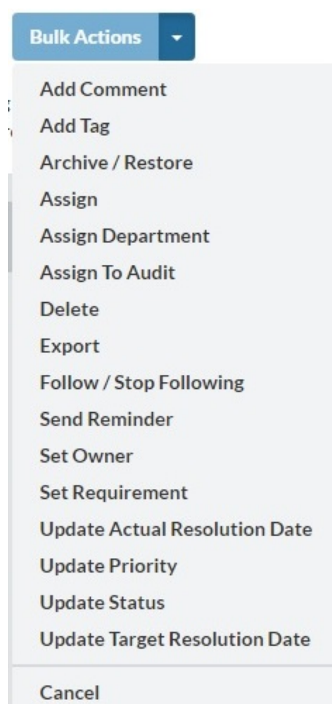


Once you select a file, you will be prompted to add details regarding the file.



Can I update one or more issues at a time?

Yes. The following fields can be updated for one or more issues.



From the issues tab, use the boxes on the left to select the issues you want to update. Use the dropdown box below the issues labeled “Bulk Actions” to select the field to be updated. Once selected, Bulk Action will change green to the change requested. Click the green button. If you do not confirm the update by selecting the green button, the issues will not be updated.

What are the responsibilities of the auditors?

The auditors will create/open and close out issues. They will evaluate the resolution to determine if additional work or information is needed.

Who do I contact with questions and problems?

Please contact Susan Dyer, susan.dyer@pisd.edu, or Jenna Isensee, jenna.isensee@pisd.edu.

Where can I learn more?

On the bottom right of the Dashboard there is a Support hyperlink. This takes you to *support.auditfindings.com*, where you will find a Quick Start Guide and several FAQs and articles about using auditfindings.com.