



Audit Management Module

Baseline Configuration Guide

Document Version: 02.00.02 | December 2018

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About Rsam Baseline Configuration Guides

Rsam Baseline Configuration Guides provide you the information needed to understand the pre-defined configurations for each module. These guides should be referenced to gain a better understanding of how the module is configured and can be used out-of-the-box.

Baseline Configuration Overview

This document describes the baseline configuration and structure for the Rsam Internal Audit Management module. The baseline configuration for the Internal Audit Management module allows users to plan, execute, and manage audits. The pre-configured activities support all aspects of an audit life cycle as follows:

- Annual Planning - Includes creating auditable entities and setting up audit plans.
- Detailed Planning and Audit Execution – Includes defining the audit details and resources and executing audits.
- Audit Findings Management - Includes creating and validating the findings, obtaining management response, and following remediation procedures.

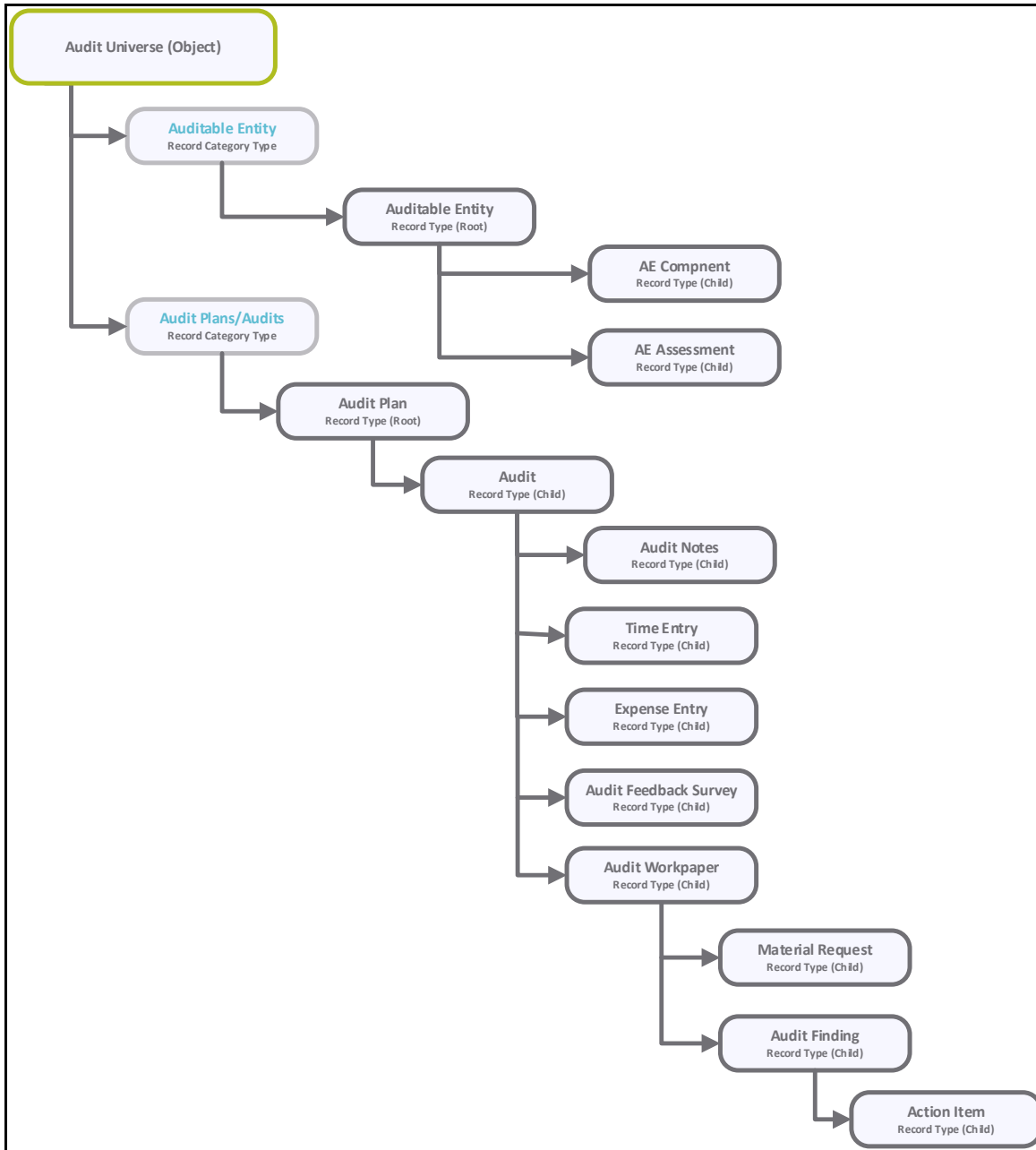
The following is a list of elements that have been configured out-of-the-box in the Internal Audit Management module:

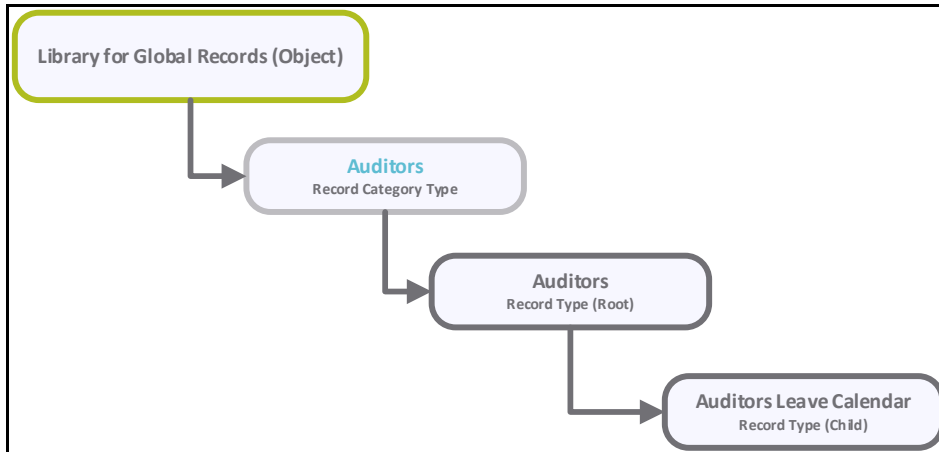
- Forms Configuration
- Risk Analytics
- Data Structure
- Role-based Home Page Tabs
- Audit Management Workflow

This document explains each of the preceding elements in order to provide a baseline understanding before you leverage the *Internal Audit Management Step-by-Step Tutorial* or begin to tailor the module to meet your unique requirement

Internal Audit Management Structure

All the auditable entities, audits, audit plans, assessments, audit findings, audit workpapers, time entry, expense, material request, action item, and audit notes in the Internal Audit Management module are stored in the object type **Audit Universe**. All the auditor records in the Internal Audit Management module are stored in the object type **Library for Global Records**.





Object Types

The following table lists the object types pre-configured in this module.

Object Type	Usage
Library for Global Records	A standard library object under which all the general records are stored.
IAM: Audit Universe	An object that stores the collection of all audit elements (auditable entities, audits, audit plans, assessments, audit findings, audit workpapers, time entry, expense, material request, action item, audit notes) within an organization that may be subjected to internal audit activity.

Record Categories

The following table lists the record categories pre-configured in this module.

Record Category	Usage
IAM: Process Library	A record category type that includes the Library Process record type.
IAM: Risk Library	A record category type that includes the Library Risk and Audit Workpaper record types.
IAM: Auditable Entities	A record category type that includes the Auditable Entity, AE Component, and AE Assessment record types.
IAM: Audit Plans/Audits	A record category type that includes the Audit Plan, Audit, Audit Workpaper, Material Request, Audit Finding, Audit Notes, Action Item, Time Entry, Expense Entry, and Audit Feedback Survey record types.

Record Category	Usage
IAM: Auditors	A record category type that includes the Auditor and Auditor Leave Calendar record types.

Record Types

The following table lists the record types pre-configured in this module.

Record Type	Usage
IAM: Auditable Entity	This is a root level record used to define scope of an audit. Auditable entities may or may not align with organizational or legal structure; however, they provide the ability to organize auditable areas into collections that can be audited.
IAM: AE Components	This is a child level record of an Auditable Entity record that is indirectly related to a business unit, the business process implemented within the business unit, risk and controls related to the business process.
IAM: AE Assessment	This is a child level record of an Auditable Entity record that helps conduct a risk assessment for each of the business unit associated to the auditable entity.
IAM: Audit Plan	This is a root level record that allows a user to create an audit plan that includes scoped auditable entities. This can be related to a container that can store both planned and postponed audits.
IAM: Audit	This is a child level record that allows a user to create and execute an audit. Here, a <i>Lead Auditor</i> will define the audit by assigning resources, setting up an audit team, creating audit workpapers, notifying auditees, managing audit resource and costs, collecting feedback, and reporting the audit outcomes.
IAM: Audit Workpaper	This is a child level record that allows a user to provide general instructions to the auditor and help capture results and observations of an audit. This includes capturing details electronically on the form as well as the ability to attach supporting evidence and other documentation.
IAM: Material Request	This is a child level record for workpaper record that will be used as an artifact by the audit team to get familiar with the collateral while executing an audit.
IAM: Audit Finding	This is a child level record that allows an <i>Auditor</i> to create findings that result from a process that evaluates audit evidence and compares it against audit criteria. This record shows whether audit criteria is met.

Record Type	Usage
IAM: Action Item	This is a child level record that allows a user to create an action item for an audit finding.
IAM: Audit Notes	This is a child level record of an audit that provides auditors the ability to capture and exchange information separate from the details of an audit, and are generally used for auditor-to-auditor communication that will not live past the completion of an audit. Occasionally, notes may contain sensitive information that an audit team does not wish to include in the audit documentation and therefore it needs to be removed from the audit record.
IAM: Time Entry	This is a child level record of an audit that provides the ability to individually record time related to an audit execution.
IAM: Expense Entry	This is a child level record of an audit that provides the ability to individually record expense related to an audit execution.
IAM: Audit Feedback Survey	This is a child level record of an audit that allows auditors to collect feedback from the auditees about the audit's completeness.
IAM: Auditor	This is a root level record used to store the list of users with auditor privileges. Users added to this record type will inherit auditor privileges.
IAM: Auditor Leave Calendar	This is a child level record of Auditor record type, it helps to manage the auditors' leave plans.
CON: Library Control	Defines a control at the library level. The control may or may not have associated library control tests.
IAM: Library Process	This is a root level record that allows a user to create a process.
IAM: Library Risk	This is a root level record that allows a user to create a risk.

Home Page Tabs

The Baseline Configuration of the Internal Audit Management module contains several Home Page Tabs. These tabs can be configured for various roles and then can be assigned to your users to complete their tasks. The following table lists the Home Page Tabs available in the Internal Audit Management module.

Home Page Tab	Description
Audit Management (grouping)	Allows quick access to the subtabs available in the Internal Audit Management module.
Audit Universe Home	This home page tab provides links to access all the elements of audit management. This page provides self-registration links, record categories to auditable entities, audit plans/audits, library elements, auditors.
Manager Dashboard	This home page tab provides the managerial audit information in chart format to the user with workflow role, Audit Manager .
Lead Auditor Dashboard	This home page tab provides the various audit information in chart format to the user with workflow role, Lead Auditor .
Auditor Dashboard	This home page tab provides access to records, such as audit, material request, time entry, and workpaper that are owned by a logged-in user with the workflow role, Auditor .
Coordinator Dashboard	This home page tab provides the records and chart that gives the information about the audits, auditable entities, audit workpaper, material request and audit findings owned by an audit co-ordinator user.
Auditee Dashboard	This home page tab provides the records and chart that gives the information about audit workpaper, material request and audit findings owned by an <i>Auditee</i> .
Audit Planning	This home page tab provides charts and links to access the auditable entities and audit plan records.
Audit Plan Navigator	This home page list the auditable entities by workflow state and audit plans by workflow state records navigators.
Audit Navigator	This is a record navigator that displays library controls, library processes, and library risks.
Auditors	This is a record navigator that displays auditors, auditors by language, and auditors by skills.

Home Page Tab	Description
Findings Management	This home page tab displays various dashboard charts to manage audit findings.
Findings Navigator	This is a group of record navigator tab that display the list of audit findings grouped by assets, business units, severity, related risk, related controls, related auditable entity, related audit, etc.

Internal Audit Management Workflows

This section covers various details on the following baseline workflows in the Internal Audit Management module:

- Auditable Entity
- Audit Plan
- Audit
- Audit Notes
- Audit Workpaper
- Material Request
- Audit Finding
- Action Item
- Time Entry
- Expense Entry
- Audit Feedback Survey

Workflow Roles

The following table lists the workflow roles to perform tasks in the baseline Internal Audit Management workflows.

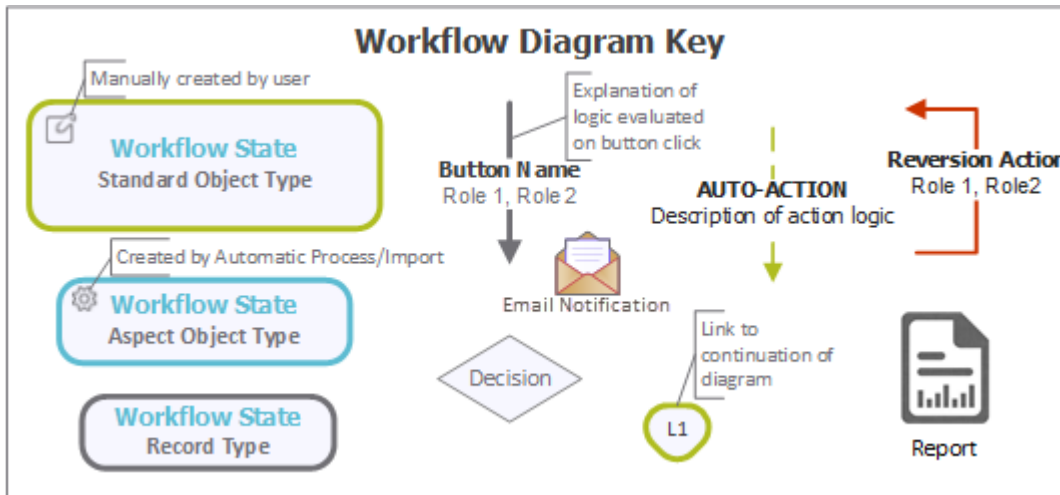
Note: Sample users for each of these roles are optionally provided with the baseline module installation package.

User ID	Role	Description
r_audit_manager	IAM: Audit Manager	This role allows a user to view and manage auditable entities, audit plans, audits, and related child records. In addition, it allows the user to perform all the actions on each record. A user with this role has access to the Planning Dashboard, Planning Navigator, Audit Management, Auditors, Library Elements, Findings Management, and Shortcuts home page tabs.
r_audit_lead	IAM: Lead Auditor	This role allows a user to monitor all the audits, including the child records. In addition, it allows the user to perform all the actions on each record. A user with this role has access to the Audit Management, Audit Dashboard, Audits, and Auditors home page tabs.
r_audit_auditor	IAM: Auditor	This role allows a user to create audit findings. A user with this role has access to the Audits and Audit Navigator home page tabs.
r_audit_coordinator	IAM: Audit Coordinator	This role allows a user to serve as a liaison within a business. It allows a user to provide management response on the finding and create an appropriate action plan. A user with this role has access to the Coordinator Dashboard and Findings Management home page tabs.
r_auditee	IAM: Auditee	This role is assigned to user responsible for a particular line of business or area being audited. A user with this role can begin and complete an action item, submit a response on an audit finding, and complete a material request.
r_audit_fm	IAM: Audit Findings Manager	This role allows a user to validate findings and review remediation activities.
r_audit_fb	IAM: Audit Findings Submitter	This role allows a user to create and submit findings.

User ID	Role	Description
r_audit_comittee_member	IAM: Audit Committee Member	This role allows read only access for the user to view the auditable entities, audit plans, audit and its child records.

In addition to the above roles, the Rsam installation package includes an administrative role, **U: Object Administrator**, as well as a sample user for that role, **r_admin**. This user has access to all record types, object types, workflow states, and workflow buttons across all Rsam baseline modules. Rsam Administrators should take necessary precautions to restrict standard users from accessing Rsam with this administrative role.

Before proceeding to the specific workflows, it is recommended that you familiarize yourself with the following Rsam workflow diagram key.



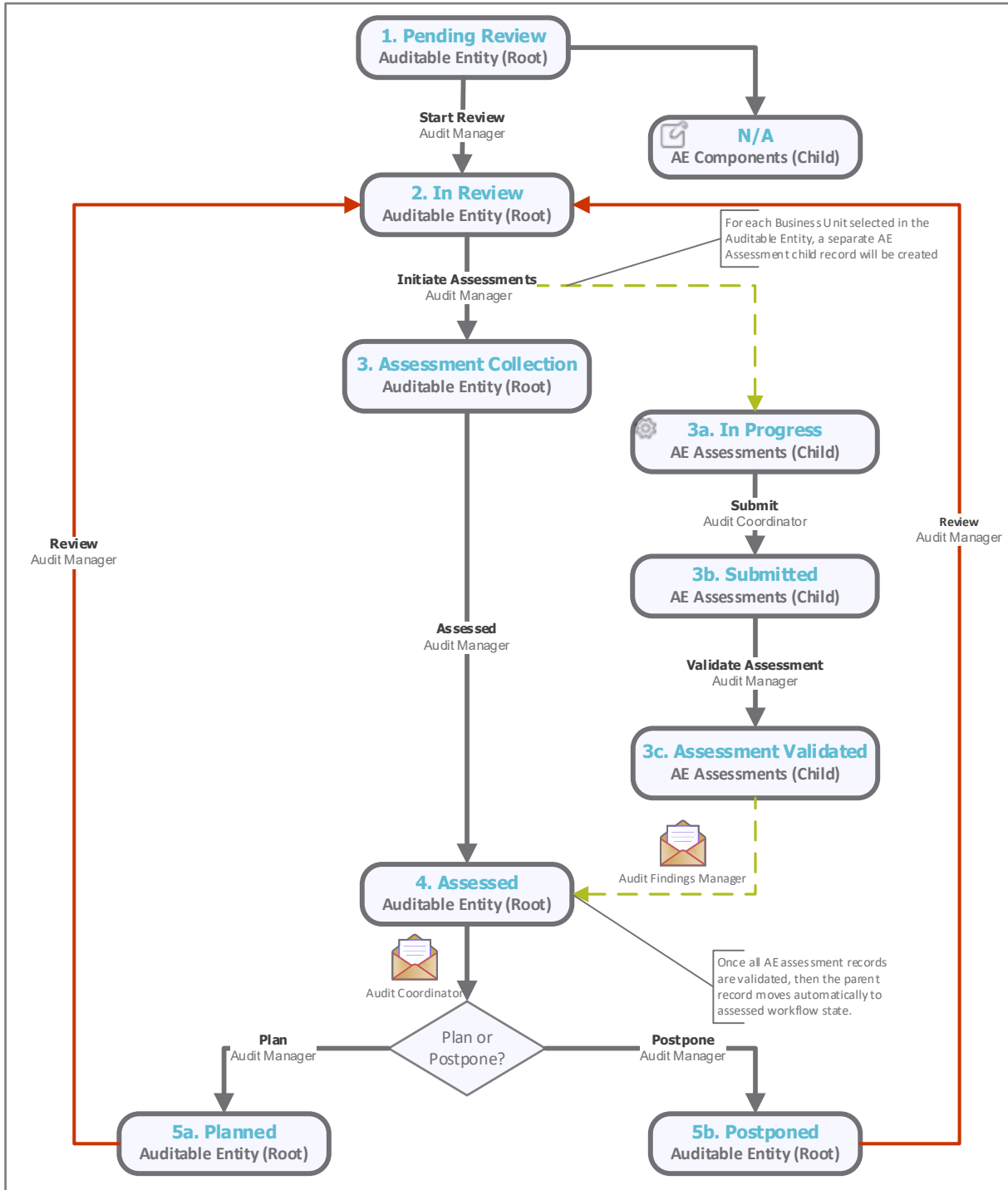
Auditable Entity Workflow

This section covers the following concepts of the baseline Auditable Entity workflow in the Internal Audit Management module:

- Workflow Diagram
- Workflow States
- Workflow Buttons

Workflow Diagram

The following diagram depicts the out-of-the-box Auditable Entity workflow:



Workflow States

The following table lists the states associated with the baseline Auditable Entity workflow.

Workflow State	Description
IAM: AE - 1. Pending Review	Creating an auditable entity record enters this state. In this state, an <i>Audit Manager</i> populates the AE information and creates AE component child record before submitting an auditable entity for review.
IAM: AE - 2. In Review	An auditable entity enters this state from the Pending Review state when an <i>Audit Manager</i> submits it for review.
IAM: AE - 3. Assessment Collection	An auditable entity enters this state from the In Review state when an assessment has been initiated.
IAM: AE - 3a. In Progress	An AE assessment record of an auditable entity enters this state when an assessment has been initiated.
IAM: AE - 3b. Submitted	An AE assessment record of an auditable entity enters this state when it has been submitted by an <i>Audit Coordinator</i> .
IAM: AE - 3c. Assessment Validated	An AE assessment record of an auditable entity enters this state when it is validated by an <i>Audit Manager</i> in the Submitted state.
IAM: AE - 4. Assessed	An auditable entity enters this state automatically from the Assessment Collection state when it has been assessed by an <i>Audit Manager</i> in the Assessment Collection state and when all the associated auditable entity assessments have been validated by an <i>Audit Manager</i> .
IAM: AE - 5a. Planned	An auditable entity enters this state from the Assessed state when it is planned by an <i>Audit Manager</i> .
IAM: AE - 5b. Postponed	An auditable entity enters this state from the Assessed state when it is postponed by an <i>Audit Manager</i> .

Workflow Buttons

The following table lists the buttons available in the various states of the baseline Auditable Entity workflow.

Button	Available to	Notification	Description
IAM: AE - Review	IAM: Audit Manager	No	Available in the Pending Review, Planned, and Postponed states to move the record workflow to the In Review state.
IAM: AE - Initiate Assessments	IAM: Audit Manager IAM: Audit Coordinator	Yes	Available in the In Review state to move the workflow to the Assessment Collection state.
IAM: AE - Submit	IAM: Audit Coordinator	No	Available in the In Progress state to move the workflow to the Submitted state.
IAM: AE - Validate Assessment	IAM: Audit Manager	No	Available in the Submitted state to move the Auditable Entity Assessment workflow to the Assessment Validated state and Auditable Entity workflow to the Assessed state when all associated assessments have been validated.
IAM: AE - Assessed	IAM: Audit Manager	No	Available in the Assessment Collection state to move the Auditable Entity workflow to the Assessed state regardless of the workflow states of the associated Auditable Entity Assessments.
IAM: AE - Plan	IAM: Audit Manager	No	Available in the Assessed state to move the workflow to the Planned state.
IAM: AE - Postpone	IAM: Audit Manager	No	Available in the Assessed state to move the workflow to the Postponed state.

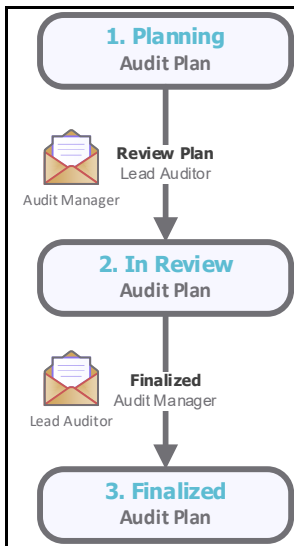
Audit Plan Workflow

This section covers the following concepts of the baseline Audit Plan workflow:

- Workflow Diagram
- Workflow States
- Workflow Buttons

Workflow Diagram

The following diagram depicts the out-of-the-box Audit Plan workflow:



Workflow States

The following table lists the states associated with the baseline Audit Plan workflow.

Workflow State	Description
IAM: AP - 1. Planning	The initial state for planning an audit.
IAM: AP - 2. In Review	An audit plan enters this state from the Planning state when an <i>Audit Manager</i> submits an audit for review.
IAM: AP - 3. Finalized	An audit plan enters this state from the Planning state when an <i>Audit Manager</i> finalizes an audit.

Workflow Buttons

The following table lists the buttons available in the various states of the baseline Audit Plan workflow.

Button	Available to	Notification	Description
IAM: AP - Review Plan	IAM: Audit Manager	No	Available in the Planning state to move the workflow to the In Review state.
IAM: AP - Finalized	IAM: Audit Manager	No	Available in the Planning and In Review states to move the workflow to the Detailed Planning and Finalized states.
IAM: AP - Calculate Person Days	IAM: Audit Manager	No	Available in the Planning and In Review states. Clicking this button calculates the Person Days Required and Person Days Available attributes.
IAM: AP - Generate Audit Records	IAM: Audit Manager	No	Available in the Planning and In Review states. Clicking this button generates audit records.

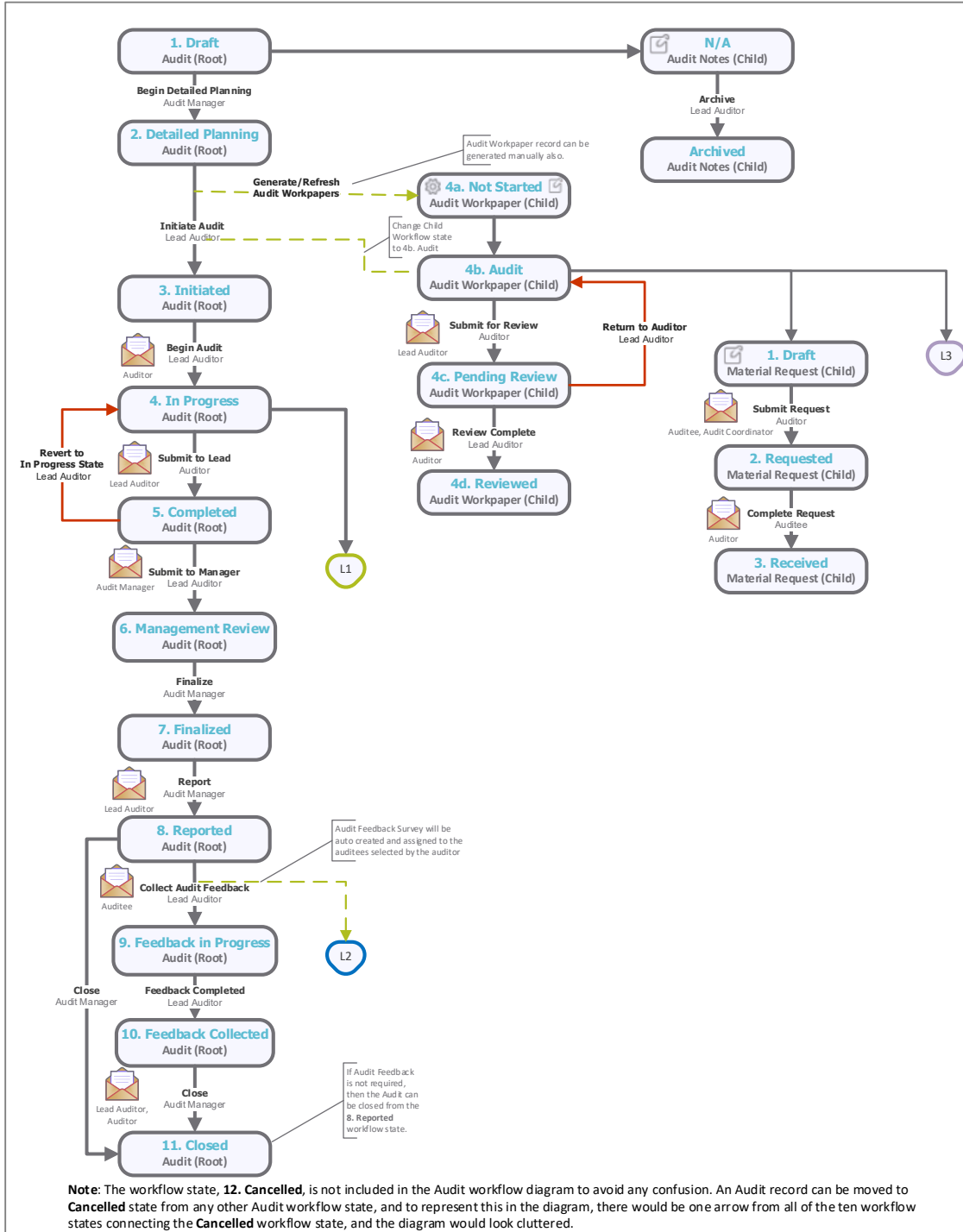
Audit Workflow

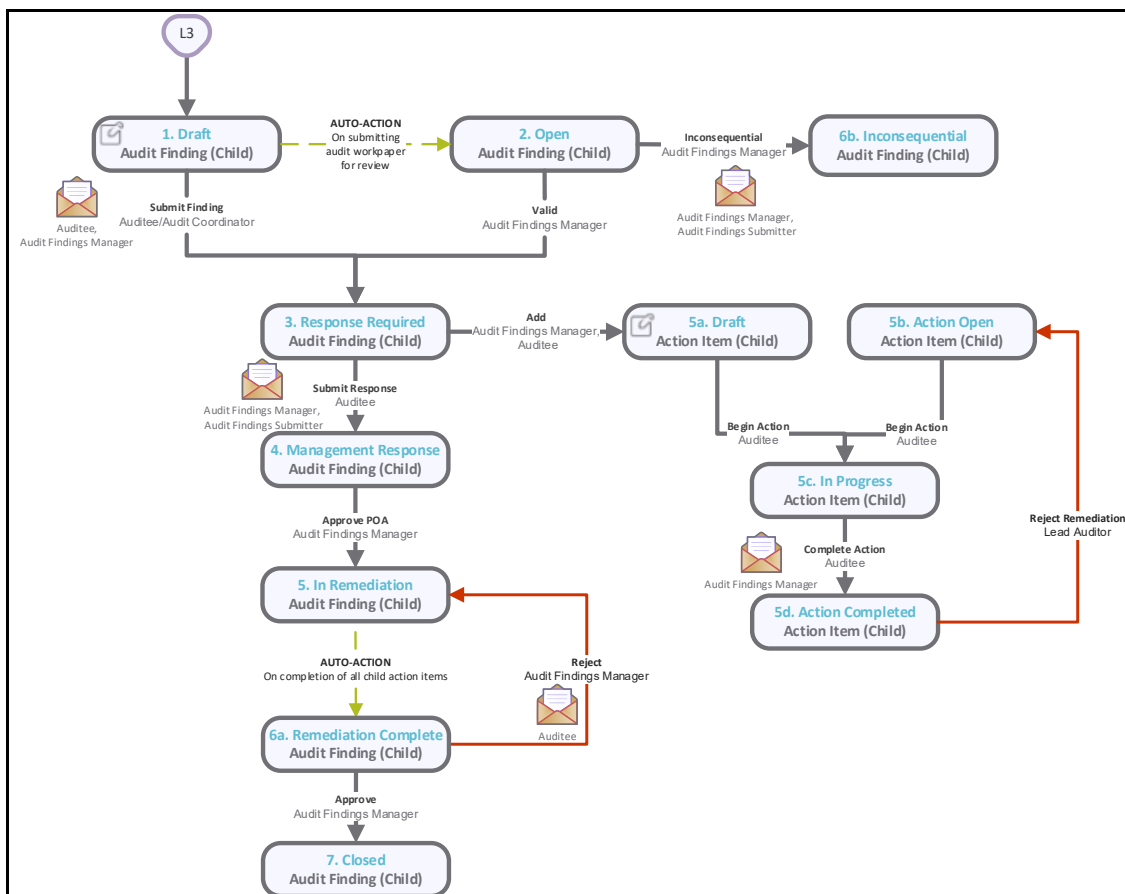
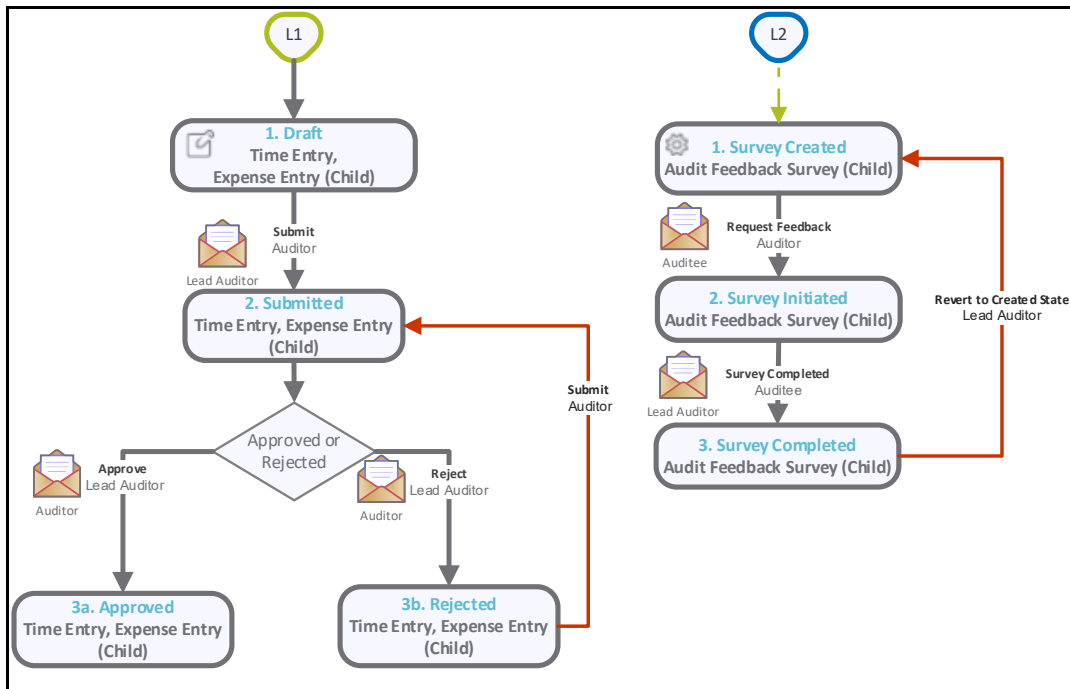
This section covers the following concepts of the baseline Audit workflow in the Internal Audit Management module:

- Workflow Diagram
- Workflow States
- Workflow Buttons

Workflow Diagram

The following diagrams depict the out-of-the-box Audit Execution workflow:





Workflow States

The following table lists the states associated with the baseline Audit workflow.

Workflow State	Description
IAM: AUD - 1. Draft	The initial workflow state that an audit enters when it is created.
IAM: AUD - 2. Detailed Planning	An audit enters this state from the Draft state when an <i>Audit Manager</i> submits an audit for detailed planning. In this state, the <i>Lead Auditor</i> defines the subjects to be audited, such as creating audit workpapers and populating other audit information, such as audit procedure and sampling size.
IAM: AUD - 3. Initiated	An audit enters this state from the Detailed Planning state when a <i>Lead Auditor</i> initiates an audit. In this state, the <i>Lead Auditor</i> assigns the auditors for each audit workpaper.
IAM: AUD - 4. In Progress	An audit enters this state from the Initiated state when an <i>Auditor</i> begins an audit.
IAM: AUD - 5. Completed	An audit automatically enters this state from the In Progress state when all of the associated subjects have been progressed to the Reviewed state.
IAM: AUD - 6. Management Review	An audit enters this state from the Completed state when a <i>Lead Auditor</i> submits an audit to the <i>Audit Manager</i> for review.
IAM: AUD - 7. Finalized	An audit enters this state from the Management Review state when an <i>Auditor</i> manager finalizes the audit.
IAM: AUD - 8. Reported	An audit enters this state from the Finalized state when an <i>Audit Manager</i> indicates that the audit has been reported. In this state, the audit team and <i>Audit Manager</i> can generate the audit report.
IAM: AUD - 9. Feedback in Progress	An audit enters this state from the Reported state when a <i>Lead Auditor</i> triggers the Collect Audit Feedback button. In this state, the audit feedback survey will be sent to the auditees selected by the author for collecting feedback about the audit execution.
IAM: AUD - 10. Feedback Collected	An audit enters this state from the Feedback in progress state when the <i>Lead Auditor</i> clicks Feedback Completed button.
IAM: AUD - 11. Closed	An audit enters this state from the Reported state when an <i>Audit Manager</i> flags an audit as closed.

Workflow State	Description
IAM: AUD - 12. Cancelled	<p>Audits that are considered irrelevant to the current situation or not required due to management decision can be moved to this state by clicking Cancel Audit button.</p> <p>Note: The workflow state 12. Cancelled is not included in the Audit workflow diagram to avoid any confusion. An Audit record can be moved to Cancelled state from any other Audit workflow state, and to represent this in the diagram, there would be one arrow from all of the ten workflow states connecting the Cancelled workflow state, and the diagram would look cluttered.</p>

Workflow Buttons

The following table lists the buttons available in the various states of the baseline Audit workflow.

Button	Available to	Notification	Description
IAM: AUD - Begin Detailed Planning	IAM: Audit Manager	No	Available in the Draft state. Clicking this button moves the workflow to the Detailed Planning state.
IAM: AUD – Get Related Audit Subjects	IAM: Audit Manager IAM: Lead Auditor	No	Available in the Detailed Planning state. Clicking this button fetches the audit subjects, such as related business process, related risk, related controls or related compliance domains, based on the type of audit and the related business unit selected in the scope of the audit.
IAM: AUD - Generate/Refresh Audit Workpapers	IAM: Audit Manager IAM: Lead Auditor	No	Available in the Detailed Planning state. Clicking this button generates or refreshes the audit workpapers and displays a message that the subjects have been created as workpaper records to the audit record.
IAM: AUD - Initiate Audit	IAM: Audit Manager IAM: Lead Auditor	Yes	Available in the Detailed Planning state. Clicking this button moves the workflow to the Initiated state.
IAM: AUD - Begin Audit	IAM: Audit Manager IAM: Lead Auditor IAM: Auditor	No	Available in the Initiated state. Clicking this button moves the workflow to the In Progress state. In addition, the related Workpaper record workflows are moved to the Audit state.

Button	Available to	Notification	Description
IAM: AUD - Submit to Lead	IAM: Auditor	Yes	Available in the In Progress state. Clicking this button moves the Audit Finding record workflow to the Open state and the Audit record workflow to the Completed state.
IAM: AUD - Revert to In Progress State	IAM: Audit Manager IAM: Lead Auditor	No	Available in the Completed state. Clicking this button moves the audit record back to in Progress state and Audit workpaper records to In Progress state.
IAM: AUD - Submit to Manager	IAM: Lead Auditor	No	Available in the Completed state. Clicking this button moves the workflow to the Management Review state.
IAM: AUD - Finalize	IAM: Audit Manager	No	Available in the Management Review state. Clicking this button moves the workflow to the Finalized state.
IAM: AUD - Report	IAM: Audit Manager	No	Available in the Finalized state. Clicking this button moves the workflow to the Reported state.
IAM: AUD - Collect Audit Feedback	IAM: Audit Manager IAM: Lead Auditor	No	Available in the Reported state. Clicking this button moves the workflow state to Feedback in Progress state, create audit feedback survey child record and notify the auditees about the audit feedback survey.
IAM: AUD - Feedback Completed	IAM: Audit Manager IAM: Lead Auditor	No	Available in the Feedback in Progress state. Clicking this button will lock all the audit feedback survey child records and move the audit record to Feedback Completed state.
IAM: AUD- Close	IAM: Audit Manager	No	Available in the Feedback Completed state. Clicking this button moves the workflow to the Closed state.
IAM: AUD - Cancel Audit	IAM: Audit Manager	No	Available in all the audit record workflow states. Clicking this button moves the record to the Cancelled state.

Audit Notes Workflow

This section covers the following concepts of the baseline Audit Notes workflow in the Internal Audit Management module:

- Workflow Diagram
- Workflow States
- Workflow Buttons

Workflow Diagram

Please refer to the baseline Audit workflow diagram to view the baseline [Audit Notes](#) workflow.

Workflow States

The following table lists the states associated with the baseline Audit Notes workflow.

Workflow State	Description
N/A	This is the initial workflow state for the Audit Notes records when they are created. In this state, the user will have the option to record their comments, observations and can be shared with other audit team members.
IAM: AN - Archived	The Audit Notes records enter this state when the <i>Lead Auditor</i> clicks Archive button. In this state, the record will be locked and cannot be edited.

Workflow Buttons

The following table lists the buttons available in the various states of the baseline Audit Notes workflow.

Button	Available to	Notification	Description
IAM: AN - Record Comment	IAM: Audit Manager IAM: Lead Auditor IAM: Auditor	Yes	Captures the comments made by the user in the text field.
IAM: AN - Archive	IAM: Audit Manager IAM: Lead Auditor	No	Moves the record to the Archived workflow state.

Audit Workpaper Workflow

This section covers the following concepts of the baseline Workpaper workflow in the Internal Audit Management module:

- Workflow Diagram
- Workflow States
- Workflow Buttons

Workflow Diagram

Please refer to the baseline Audit workflow diagram to view the baseline [Audit Workpaper](#) workflow.

Workflow States

The following table lists the states associated with the baseline Audit Workpaper workflow.

Workflow State	Description
IAM: WP – 4a. Not Started	This is the initial workflow state for audit workpaper.
IAM: WP – 4b. Audit	A workpaper enters this state when an <i>Auditor</i> in the Initiated state of the Audit record workflow begins an audit.
IAM: WP – 4c. Pending Review	A workpaper enters this state from the Audit state when an <i>Auditor</i> submits a workpaper for review.
IAM: WP – 4d. Reviewed	A workpaper enters this state from the Pending Review state when an <i>Auditor</i> flags as review complete.

Workflow Buttons

The following table lists the buttons available in the various states of the baseline Audit Workpaper workflow.

Button	Available to	Notification	Description
IAM: WP - Submit for Review	IAM: Audit Manager IAM: Lead Auditor IAM: Auditor	Yes	Available in the Audit state. Clicking this button moves the Workpaper record workflow to the Pending Review state and the Audit Finding workflow to the Open state.

Button	Available to	Notification	Description
IAM: WP - Review Complete	IAM: Audit Manager IAM: Lead Auditor	Yes	Available in the Pending Review state. Clicking this button moves the Workpaper record workflow to the Reviewed state. If all the workpaper records are set to the Reviewed state, then the Subject record workflow will be set to the Reviewed state.
IAM: WP - Return to Auditor	IAM: Audit Manager IAM: Lead Auditor	No	Available in the Audit state. Clicking this button moves the Workpaper record workflow to the Audit state and then the Subject record workflow is moved to the In Progress state.

Material Request Workflow

This section covers the following concepts of the baseline Material Request workflow in the Internal Audit Management module:

- Workflow Diagram
- Workflow States
- Workflow Buttons

Workflow Diagram

Please refer to the baseline Audit workflow diagram to view the baseline [Material Request](#) workflow.

Workflow States

The following table lists the states associated with the baseline Material Request workflow.

Workflow State	Description
IAM: MR - 1. Draft	The initial state of a material request record.
IAM: MR - 2. Requested	A material request record enters this state from the Draft state when an <i>Auditor</i> requests a material request.
IAM: MR - 3. Received	A material request record enters this state from the Requested state when an <i>Auditor</i> completes a request.

Workflow Buttons

The following table lists the buttons available in the various states of the baseline Material Request workflow.

Button	Available to	Notification	Description
IAM: MR - Submit Request	IAM: Audit Manager IAM: Lead Auditor IAM: Auditor	Yes	Available in the Draft state. Clicking this button moves the workflow to the Requested state.
IAM: MR - Complete Request	IAM: Audit Coordinator IAM: Auditee	Yes	Available in the Requested state. Clicking this button moves the workflow to the Received state.

Audit Finding Workflow

This section covers the following concepts of the baseline Audit Finding workflow in the Internal Audit Management module:

- Workflow Diagram
- Workflow States
- Workflow Buttons

Workflow Diagram

Please refer to the baseline Audit workflow diagram to view the baseline [Audit Finding](#) workflow.

Workflow States

The following table lists the states associated with the baseline Audit Finding workflow in the Internal Audit Management module.

Workflow State	Description
IAM: AF - 1. Draft	The initial state of an audit finding when it is created manually.
IAM: AF - 2. Open	An audit finding enters this state from the Audit state when an <i>Auditor</i> of the Workpaper workflow submits a workpaper for review or when an <i>Auditor</i> workflow submits an audit, in the In Progress state, to a <i>Lead Auditor</i> .

Workflow State	Description
IAM: AF - 3. Response Required	An audit finding enters this state when an <i>Audit Findings Submitter</i> submits an audit finding to seek a response.
IAM: AF - 4. Management Response	An audit finding enters this state from the Response Required state when an <i>Auditee</i> provides a response.
IAM: AF - 5. In Remediation	An audit finding enters this state from the Management Response state when an <i>Audit Findings Manager</i> approves a response.
IAM: AF - 6a. Remediation Complete	An audit finding enters this state from the In Progress state when an <i>Auditee</i> of the Action Item flags an action item as complete.
IAM: AF - 6b. Inconsequential	An audit finding enters this state from the Open state when an <i>Audit Findings Manager</i> flags an audit finding as inconsequential.
IAM: AF - 7. Closed	An audit finding enters this state from the Remediation Complete state when an <i>Audit Findings Manager</i> approves an audit finding.

Workflow Buttons

The following table lists the buttons available in the various states of the baseline Audit Finding workflow.

Button	Available to	Notification	Description
IAM: AF - Submit Finding	Audit Findings Submitter	Yes	Available in the Draft state. Clicking this button moves the workflow to the Response Required state. This workflow button is specifically in support of Sandbox evaluators that only want to evaluate Audit Findings management component of the Audit Management solution.
IAM: AF - Valid	IAM: Audit Manager IAM: Lead Auditor	No	Available in the Open state. Clicking this button moves the workflow to the Response Required state.

Button	Available to	Notification	Description
IAM: AF - Inconsequential	IAM: Audit Manager IAM: Lead Auditor IAM: Audit Findings Manager	Yes	Available in the Open state. Clicking this button moves the workflow to the Inconsequential state.
IAM: AF - Submit Response	IAM: Audit Coordinator IAM: Auditee	Yes	Available in the Response Required state. Clicking this button moves the workflow to the Management Response state.
IAM: AF - Approve POA	IAM: Audit Manager IAM: Lead Auditor IAM: Audit Findings Manager	No	Available in the Management Response state. Clicking this button moves the workflow to the In Remediation state and then sets the Child Action Items workflow to the Action Open state.
IAM: AF - Approve	IAM: Audit Manager IAM: Lead Auditor IAM: Audit Findings Manager	No	Available in the Remediation Complete state. Clicking this button moves the workflow to the Closed state.
IAM: AF - Reject	IAM: Audit Manager IAM: Lead Auditor IAM: Audit Findings Manager	Yes	Clicking this button moves the workflow to the In Remediation state.

Action Item Workflow

This section covers the following concepts of the baseline Auditable Entity workflow in the Internal Audit Management module:

- Workflow Diagram
- Workflow States
- Workflow Buttons

Workflow Diagram

Please refer to the baseline Audit workflow diagram to view the baseline [Action Item](#) workflow.

Workflow States

The following table lists the states associated with the baseline Action Item workflow in the Internal Audit Management module.

Workflow State	Description
IAM: AI - 5a. Draft	The initial state of an action item when it is created manually.
IAM: AI - 5b. Action Open	An action item enters this state from the Management Response state when an <i>Audit Findings Manager</i> of the Audit Finding approves a response.
IAM: AI - 5c. In progress	An action item enters this state from either the Draft state or the Action Open state when an <i>Auditee</i> begins an action.
IAM: AI - 5d. Action Completed	An action item enters this state from the In Progress state when an <i>Auditee</i> completes a required action.

Workflow Buttons

The following table lists the buttons available in the various states of the baseline Action Item workflow.

Button	Available to	Notification	Description
IAM: AI - Begin Action	IAM: Audit Coordinator IAM: Auditee	No	Available in the Draft and the Action Open states. Clicking this button moves the workflow the In Progress state.

Button	Available to	Notification	Description
IAM: AI - Complete Action	IAM: Audit Coordinator IAM: Auditee	Yes	Available in the Action Open and In Progress states. Clicking this button moves the workflow to the Action Completed state and then sets the Completion Date attribute. In addition, it moves the parent Audit Findings record workflow to the Remediation Complete state.
IAM: AI - Reject Remediation	IAM: Audit Manager IAM: Lead Auditor	No	Available in the Action Completed state. Clicking this button moves the Action Item workflow to the Action Open state and then sets the parent Audit Finding workflow to the In Remediation state.

Time Entry and Expense Entry Workflow

This section covers the following concepts of the baseline Time Entry and Expense Entry workflow in the Internal Audit Management module:

- Workflow Diagram
- Workflow States
- Workflow Buttons

Workflow Diagram

Please refer to the baseline Audit workflow diagram to view the baseline [Time Entry and Expense Entry](#) workflow.

Workflow States

The following table lists the states associated with the baseline Time Entry and Expense Entry workflow.

Workflow State	Description
IAM: T&E - 1. Draft	The initial state of a time entry and expense entry records.
IAM: T&E - 2. Submitted	A record enters this state from the Draft state or the Rejected state when an <i>Auditor</i> submits a time or expense entry record.
IAM: T&E - 3a. Approved	A record enters this state from the Submitted state enters this state when a <i>Lead Auditor</i> approves a time or expense entry record.
IAM: T&E - 3b. Rejected	A record enters this state from the Submitted state when a <i>Lead Auditor</i> rejects a time or expense entry record.

Workflow Buttons

The following table lists buttons available in the various states of the baseline Time Entry and Expense Entry workflow.

Button	Available to	Notification	Description
IAM: T&E - Submit	IAM: Audit Manager IAM: Lead Auditor IAM: Auditor	Yes	Available in the Draft and the Rejected states. Clicking this button moves the workflow to the Submitted state.
IAM: T&E - Approve	IAM: Audit Manager IAM: Lead Auditor	Yes	Available in the Submitted state. Clicking this button moves the workflow to the Approved state.
IAM: T&E - Reject	IAM: Audit Manager IAM: Lead Auditor	Yes	Available in the Submitted state. Clicking this button moves the workflow to the Rejected state.

Audit Feedback Survey Workflow

This section covers the following concepts of the baseline Audit Feedback Survey workflow in the Internal Audit Management module:

- Workflow Diagram
- Workflow States
- Workflow Buttons

Workflow Diagram

Please refer to the baseline Audit workflow diagram to view the baseline [Audit Feedback Survey](#) workflow.

Workflow States

The following table lists the states associated with the baseline Audit Feedback Survey workflow.

Workflow State	Description
IAM: AFS - 1. Survey Created	This is the initial workflow state for Audit feedback Survey record.
IAM: AFS - 2. Survey Initiated	The record will be in Survey Initiated workflow state until the auditee answers the feedback survey and clicks Survey Completed button.
IAM: AFS - 3. Survey Completed	After completion of the survey, the record will be moved to the Survey Completed state and the record is locked and read only.

Workflow Buttons

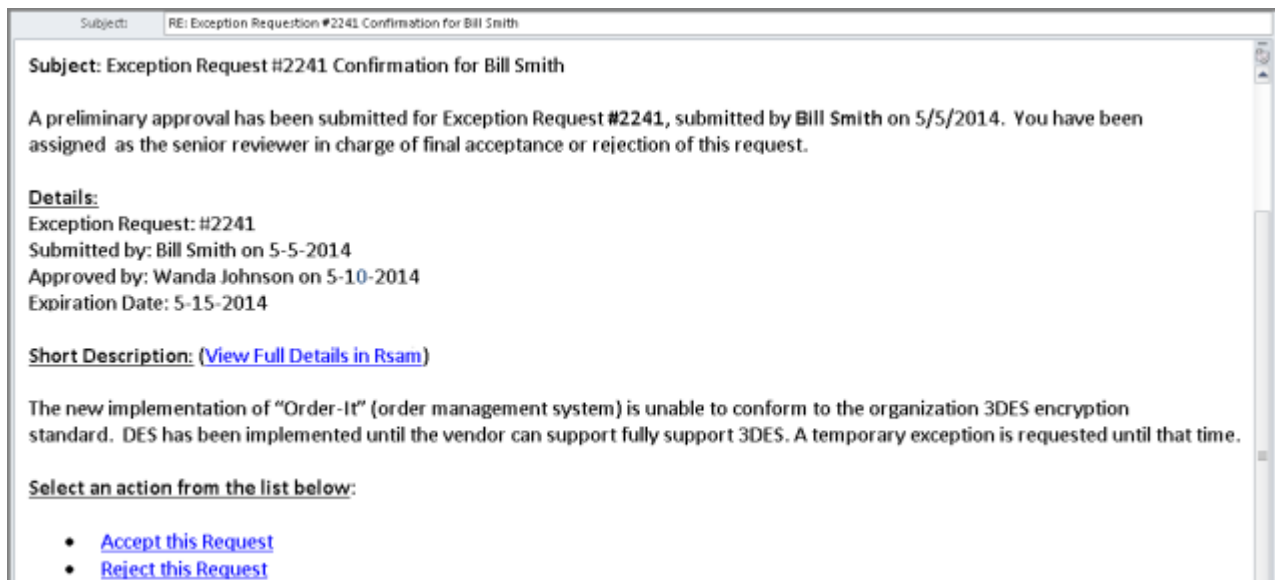
The following table lists the buttons available in the various states of the baseline Audit Feedback Survey workflow.

Button	Available to	Notification	Description
IAM: AFS - Request Feedback	IAM: Audit Manager IAM: Lead Auditor IAM: Auditor	Yes	Sends a notification to the <i>Auditee</i> that a new Audit Feedback Survey record has been created and assigned; and moves the Audit Feedback Survey record to the Survey Initiated state.
IAM: AFS - Survey Completed	IAM: Audit Manager IAM: Lead Auditor IAM: Auditee	Yes	Calculates the Audit Feedback score based on the responses given by the <i>Auditee</i> and moves the record to Survey Completed workflow state. Notification is sent to the <i>Lead Auditor</i> after completion of the survey.
IAM: AFS - Revert to Created State	IAM: Audit Manager IAM: Lead Auditor	No	Resets the workflow state back to Survey Created .

Appendix 1: Offline Decision Making

Rsam email notifications are configurable including what notification should be sent, what users or roles will receive the notifications, and the content in the notifications.

Offline Decision Making is a powerful and popular feature of Rsam. It provides the Rsam platform directly to the users to perform workflow actions without connecting to the Rsam module. The following image illustrates an example notification template that has custom text, data from the record, embedded links to the application, and Offline Decision Making actions.

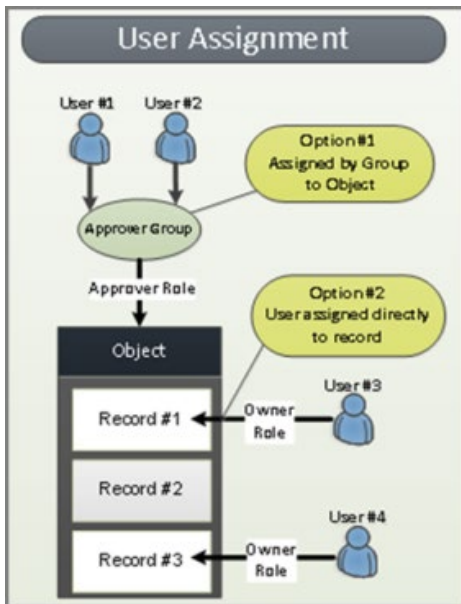


Appendix 2: User Assignment Options

Rsam allows organizations to customize configurations and workflows to their specific business practices. There are many methods by which users can be assigned roles (such as, who is responsible for reviewing and approving exceptions). The following are the most common assignment methods:

- Individual users are assigned to a group. The group is then assigned to the object under which the records are saved. When assigned to the object, the group is also given a specific role. This accomplishes the following:
 - All users in that group inherit the role assigned to the group in the context of the object and all the records under that object.
 - All users in that group have the functionality allocated to that role in the context of the object and all of the records under that object.
- Individual users are assigned a specific role directly in a record. This provides the same result as above – granting the user the functionality with the allocated role. However, it is only in the context of that specific record. No other permissions are granted to the parent object or any other record under that object.

The method for implementing the assignment can also be customizable. The assignment can be manually made through an attribute, assigned when the records are created or imported, or automatically made at different points in the workflow.



Appendix 3: Rsam Documentation

Audit Management Module Tutorial

For a detailed walk-through of the Audit Management Module user experience, refer the *Audit Management Module Step-by-Step Tutorial*. You should have received the *Audit Management Module Step-by-Step Tutorial* along with the Audit Management Module instance. If not, contact your Rsam Customer Representative to obtain an electronic copy of the *Audit Management Module Step-by-Step Tutorial*.

Online Help

This document provides an overview of the Audit Management Module configuration. To get familiar with the specific Rsam features used in this configuration, refer the *Rsam End-User Help*, *Rsam Administrator Help*, or both. The Online help you can access depends on your user permissions.

To access the Online Help, perform the following steps:

1. Sign in to your Rsam instance. For example, sign in as *Example Administrator* user. Provide the **Username** as *r_admin* and **Password** as *password*.
2. Hover the cursor over **Help** and select an Online help from the menu that appears. Depending on your user permissions, you will be able to access the Rsam End-User Help, Rsam Administrator Help, Step-by-Step Tutorials, or all.

The following image shows the *Rsam Administrator Help*, opened from the *Example Administrator* user account.

