Audit Management Module

Step-by-Step Tutorial

Document Version: 02.00.02 | December 2018

Contents

About Rsam Tutorials

The Rsam module step-by-step tutorials are designed to help you learn about a specific Rsam module and to gain basic familiarity with the user interface. The Rsam platform is highly configurable and is capable of handling both simple and comprehensive applications. The step-by-step tutorials and Rsam sandboxes, however, are specifically designed to quickly deliver a user experience without requiring further training. Each step-by-step tutorial walks you through common, out-of-the-box functionality within a given Rsam module, allowing you to get immediate hands-on familiarity with the module.

Rsam Sandbox Environment
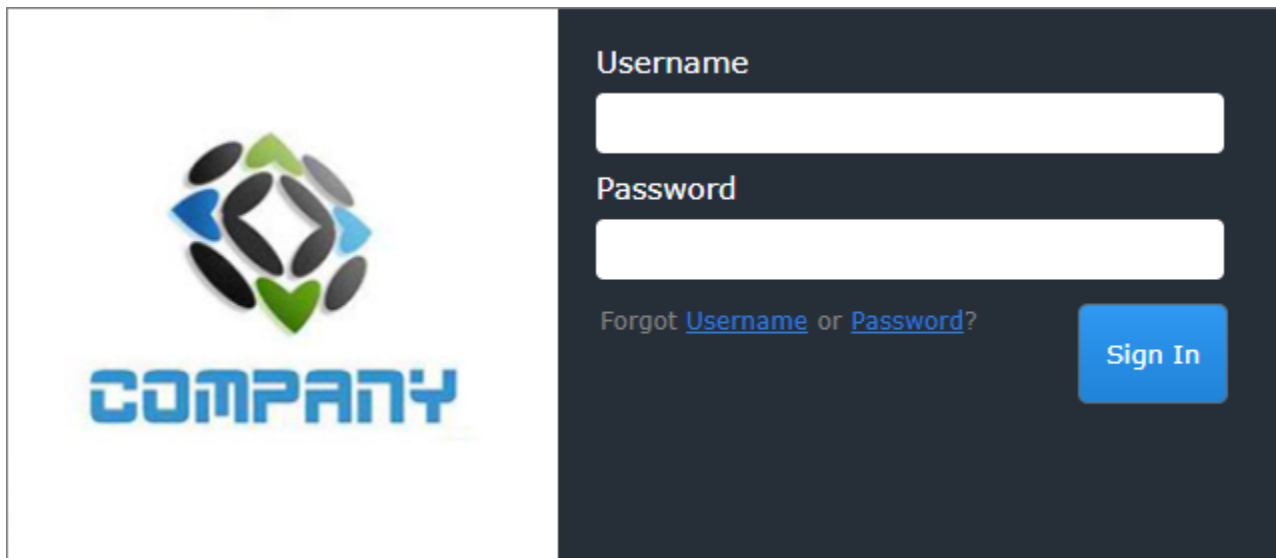
Rsam module step-by-step tutorials are designed to work with the out-of-the-box Rsam configuration. You may follow this tutorial using an Rsam Sandbox environment or using your own instance of Rsam that you already own. If you are using this tutorial with an Rsam Sandbox environment, the URL to access your Rsam sandbox is delivered through an email. Otherwise, you may contact your Rsam Administrator for the URL to access your Rsam instance.

If you are using an Rsam sandbox environment, you should have provided Rsam with your organization's internet facing IP address. To find this information, open a browser and connect to an IP discovery site such as www.whatismyip.com, or contact your organization's Network Administrator for assistance. You may also contact your Rsam Customer Representative with any questions.

Sign-In Page

Tutorials leverage pre-defined accounts that require manual authentication. While your organization may intend to use SSO authentication, Rsam sandbox environments require manual authentication through the Rsam Sign-In page so that you can easily toggle between various sample accounts used throughout the tutorial.

Like most elements in Rsam, the Sign-In page can be configured in a number of ways. Different authentication options such as user self-registration, integration with customer user directories (such as Active Directory), or integration with Single Sign-On products, such as Shibboleth, can be applied. You can also embed your own branding and logo on the Sign In page.

Internal Audit Management

Overview

The Internal Audit Management (IAM) provides a robust and comprehensive solution that covers all significant aspects of the typical audit management life cycle. The Audit Management module allows auditors to spend less time on administrative activities and focus more on assurance activities that provide real value to the business.

The Rsam Audit Management module provides the following capabilities and benefits:

- Maintain an audit universe

- Perform risk-based audit scoping

- Maintain audit and audit workpaper templates

- Manage audit findings, remediation, and supporting documents in a central location

- Automatically generate the final audit report

A Note on Sample Data

Under the object type **Audit Universe**, the following objects have been created and configured for sample data purposes:

- FY2017

- FY2018

You can create additional objects under the object type **Audit Universe** based on your IAM requirements. To create objects in Rsam, you must be assigned specific permissions. For more information about how to create objects, refer the *Rsam Administrator Help*.

Audit Management Workflow Diagrams

The following diagrams depict the out-of-the-box Rsam Audit Management workflow. There are 3 workflow diagrams which are as follows:

- [Auditable Entity Workflow](#)

- [Audit Plan Workflow](#)

- [Audit Workflow](#)

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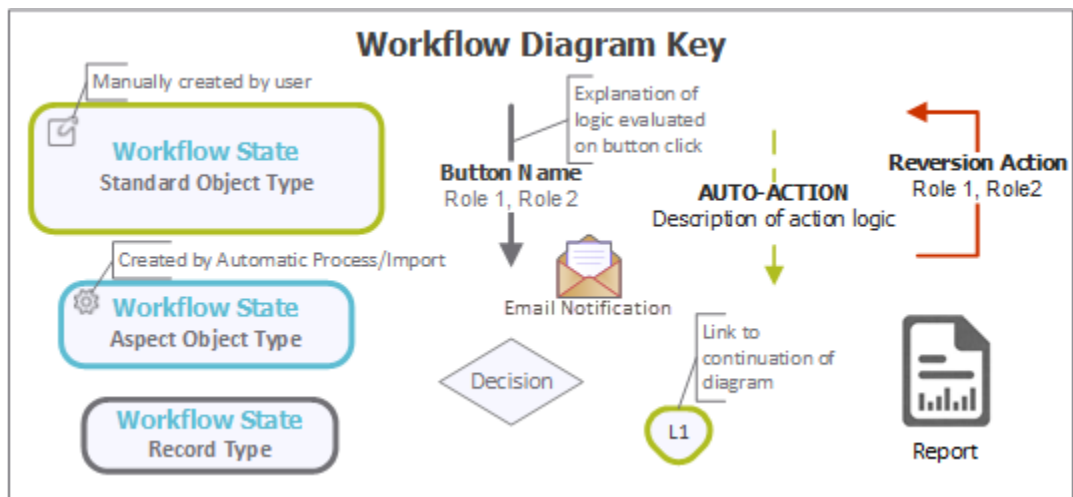
Auditable Entity Workflow

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

1. Pending Review
Auditable Entity (Root)

Start Review
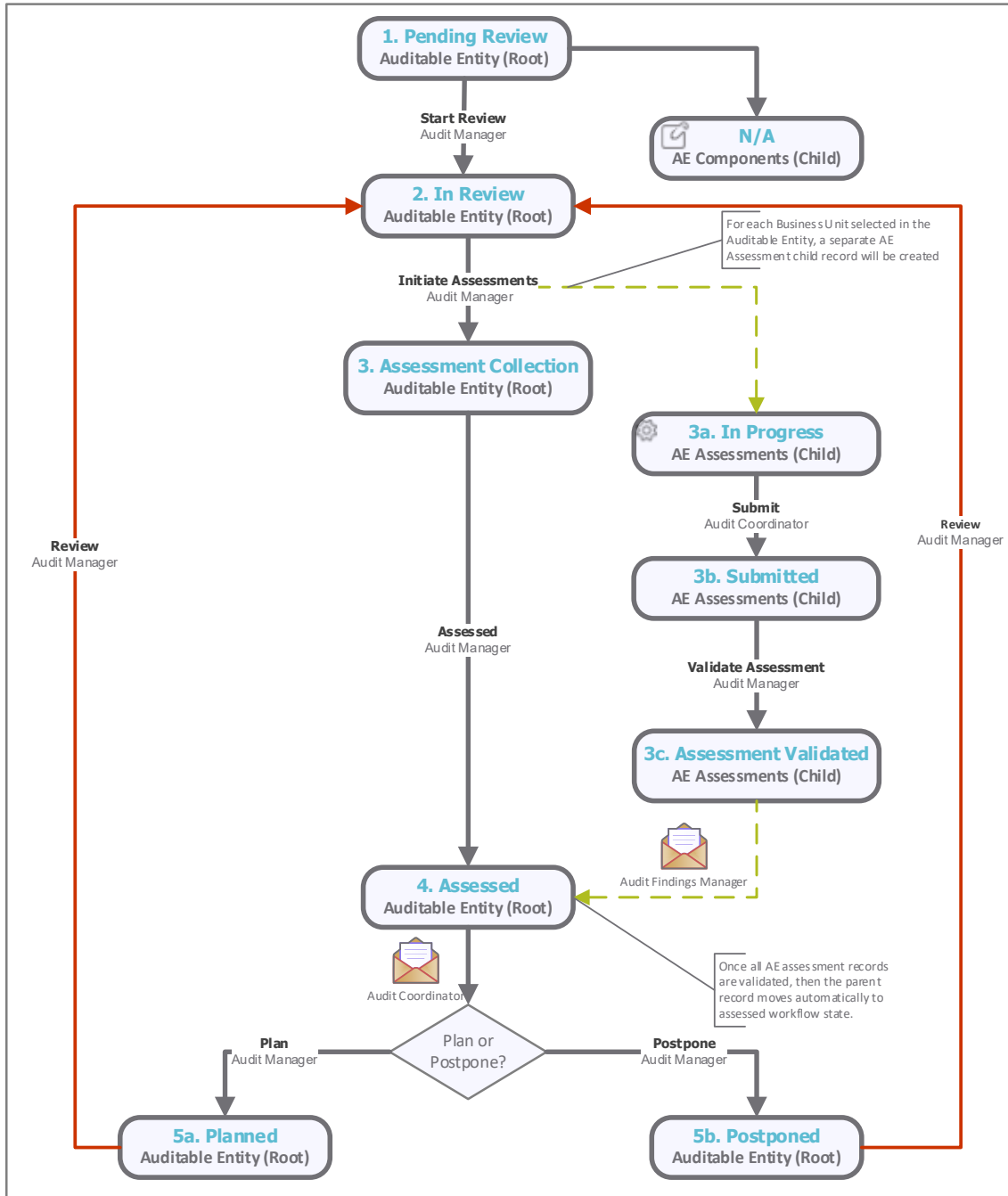Audit Manager

N/A
AE Components (Child)

2. In Review
Auditable Entity (Root)

For each Business Unit selected in the Auditable Entity, a separate AE Assessment child record will be created

Initiate Assessments
Audit Manager

3. Assessment Collection
Auditable Entity (Root)

3a. In Progress
AE Assessments (Child)

Submit
Audit Coordinator

Review
Audit Manager

3b. Submitted
AE Assessments (Child)

Review
Audit Manager

Validate Assessment
Audit Manager

Assessed
Audit Manager

3c. Assessment Validated
AE Assessments (Child)

Audit Findings Manager

4. Assessed
Auditable Entity (Root)

Audit Coordinator

Once all AE assessment records are validated, then the parent record moves automatically to assessed workflow state.

Plan or Postpone?

Plan
Audit Manager

Postpone
Audit Manager

5a. Planned
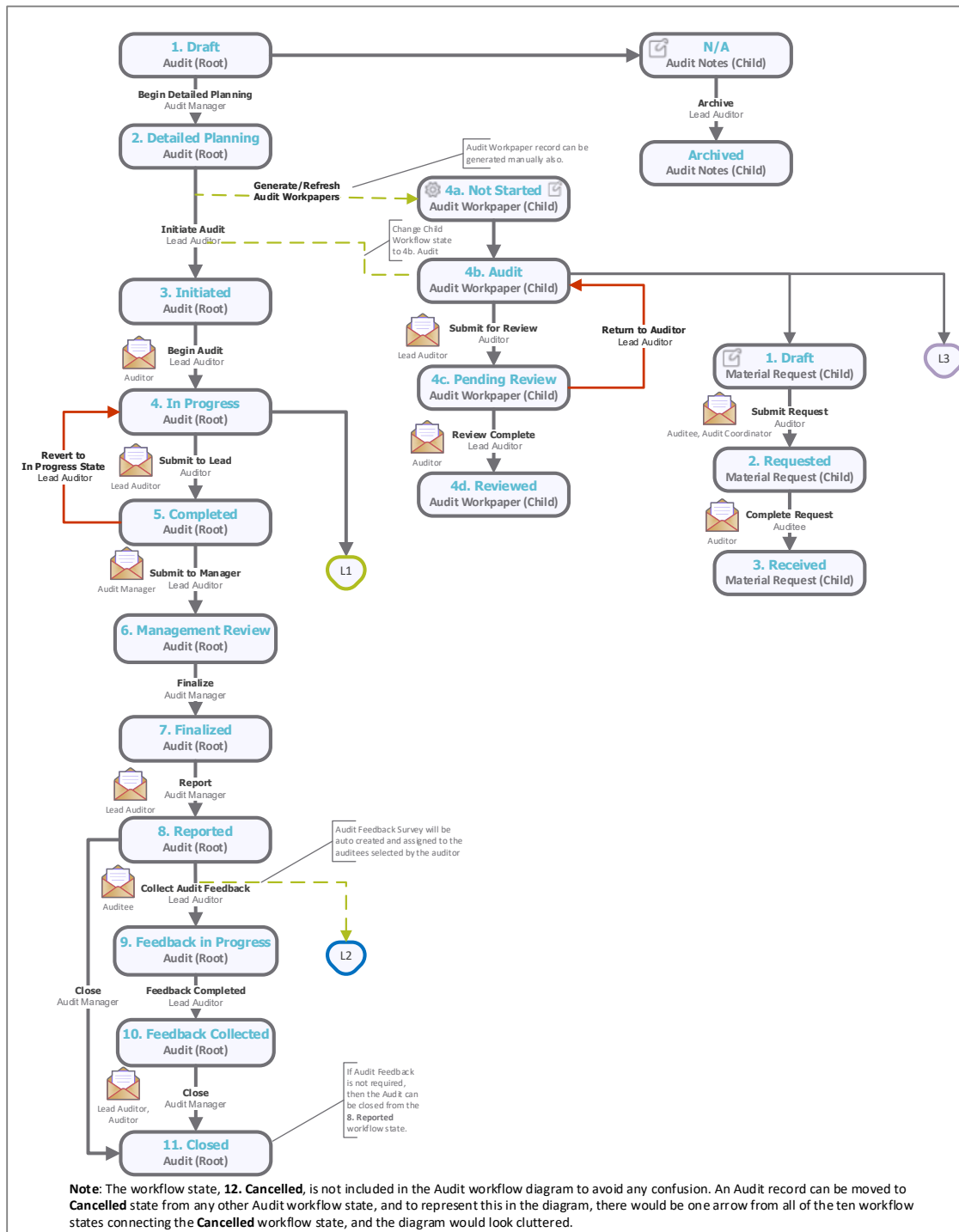Auditable Entity (Root)

5b. Postponed
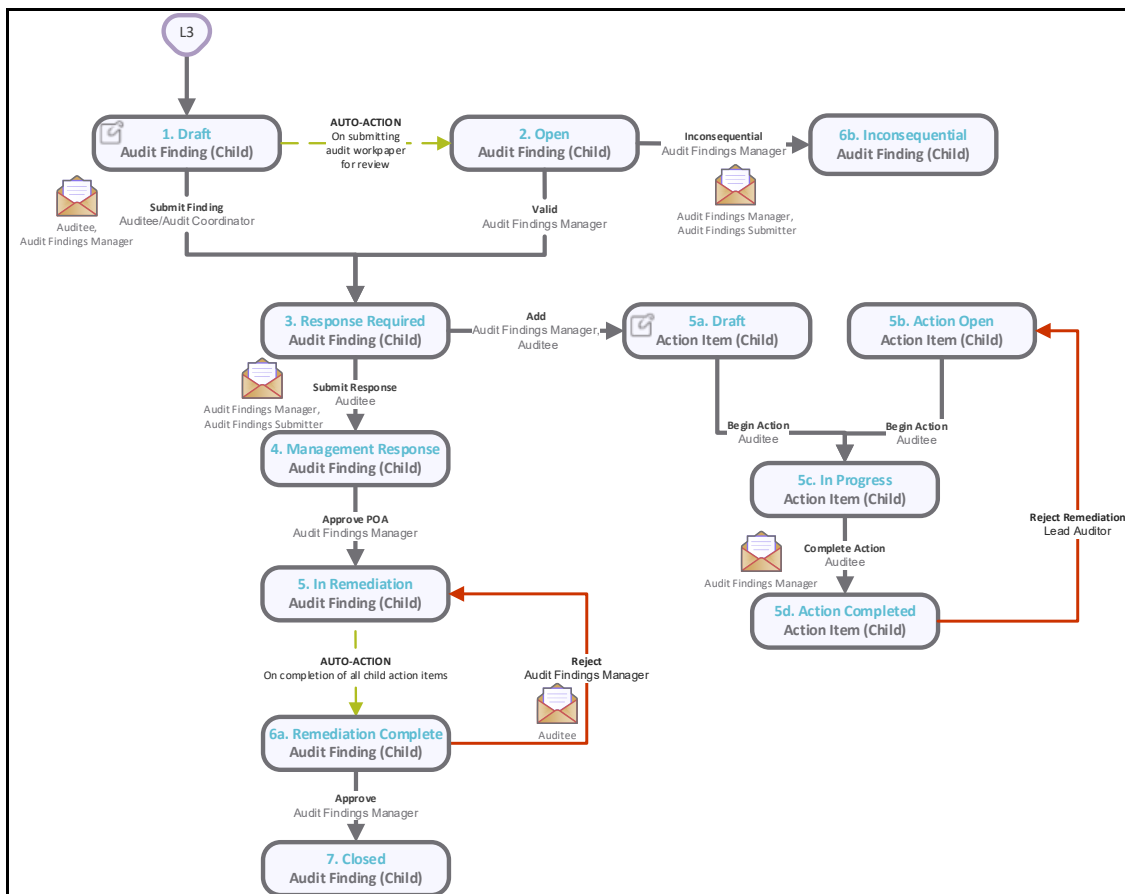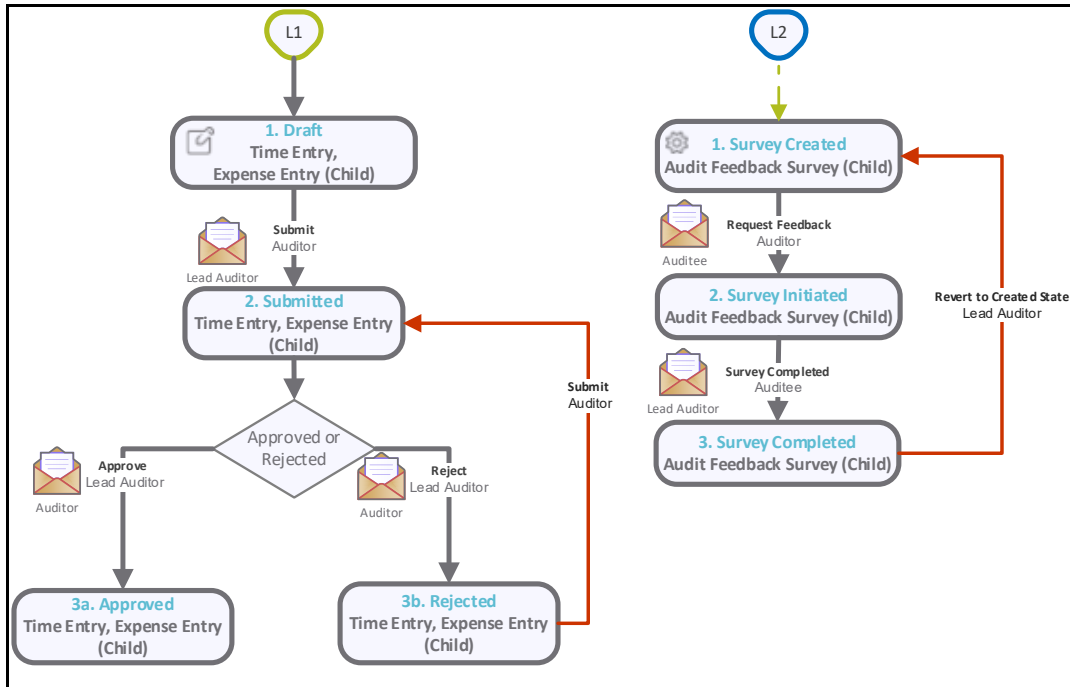Auditable Entity (Root)

Audit Plan Workflow

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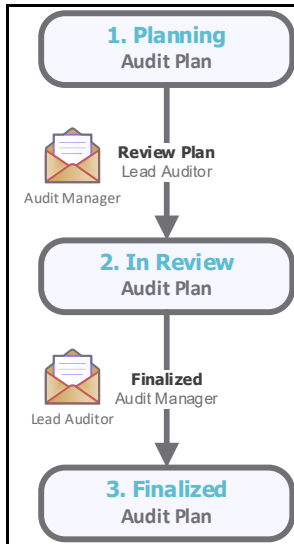
Audit Workflow

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

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.

User Accounts

User accounts are required for the individuals who are authorized to access Rsam. The Rsam sandbox for IAM comes with pre-populated sample accounts as explained in the following table.

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

Account ID	User	Business Responsibilities
r_audit_manager	Audit Manager	User responsible for creation and definition of audits.
r_audit_lead	Lead Auditor	Experienced auditor assigned to define audit scope, assignments, and perform tactical management of audit activities within a given audit.
r_audit_auditor	Auditor	Individual responsible for executing an audit, either in part or in whole.
r_audit_coordinator	Audit Coordinator	Represents the audit liaison within the business. This user is responsible for completing the risk assessment, responding to material requests, and obtaining management response to validated findings.
r_audit_fm	Audit Findings Manager	User responsible for validation of findings and review of remediation activities.
r_audit_auditee	Auditee	User responsible for a particular line of business or area being audited. This user can begin and complete an action item, submit a response on an audit finding, and complete a material request.
r_finding_submitter	Audit Findings Submitter	User responsible to create and submit findings.
r_audit_comittee_member	Audit Committee Member	User responsible to provide read only access to the users to view the auditable entities, audit plans, audit and its child records.

Note: The default password for all accounts in the Rsam BCM sandbox is *password*. Individual users may change their password after authentication. Users with administrator permissions may also reset the password of other users.

High-Level Steps

The following is a high-level list of the steps described in this tutorial. They are divided into 4 parts.

Step	User	Description
Part I: Auditable Entity	Audit Manager Audit Coordinator	In this step, the following tasks will be completed: • Auditable entities (AE) and the AE components will be created. • AE Risk Assessment will be conducted. • Auditable entities will be planned / postponed.
Part II: Audit Plan	Audit Manager	In this step, the following tasks will be completed: • An audit plan will be created. • Audit records will be generated. • An audit plan will be finalized.
Part III: Audit	Audit Manager Lead Auditor Auditor Auditee	In this step, the following tasks will be completed: • The scope of the audit will be defined. • Audit workpapers will be generated, assigned, executed. • Audit will be initiated, submitted, and finalized. • Audit report will be generated. • Audit feedback will be collected.
Part IV: Audit Findings	Audit Manager Findings Manager Audit Coordinator Auditor Auditee	In this step, the following tasks will be completed: • Audit findings will be created, submitted, reviewed, and approved. • The plan of action will be created and approved.

Part I: Auditable Entity

An auditable entity can be any item within the organization that needs to be audited. It could be a process, service, system, business unit, corporate objective, department objective, etc. This section provides a step-by-step procedure to walk you through the process of creating an auditable entity in the Rsam Audit Management module. In this section, you will learn how to define auditable entities, create AE components, and initiate risk assessments. The following tasks are completed in this section:

1. Creating an Auditable Entity

2. Creating Auditable Entity (AE) Components

3. Conducting Auditable Entity (AE) Risk Assessment

4. Planning / Postponing the Auditable Entities

Step 1: Creating an Auditable Entity

In this task, you will log in to Rsam as the *Audit Manager* to create an auditable entity.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Audit Management module.

2. Sign in as the *Audit Manager*. Enter **Username** as *r_audit_manager* and **Password** as *password*.

3. In the navigation panel on the left, click **Audit Management** > **Audit Universe Home**.
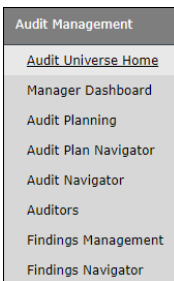
4. Under **Create New Audit Elements**, click **Create New Auditable Entity**.
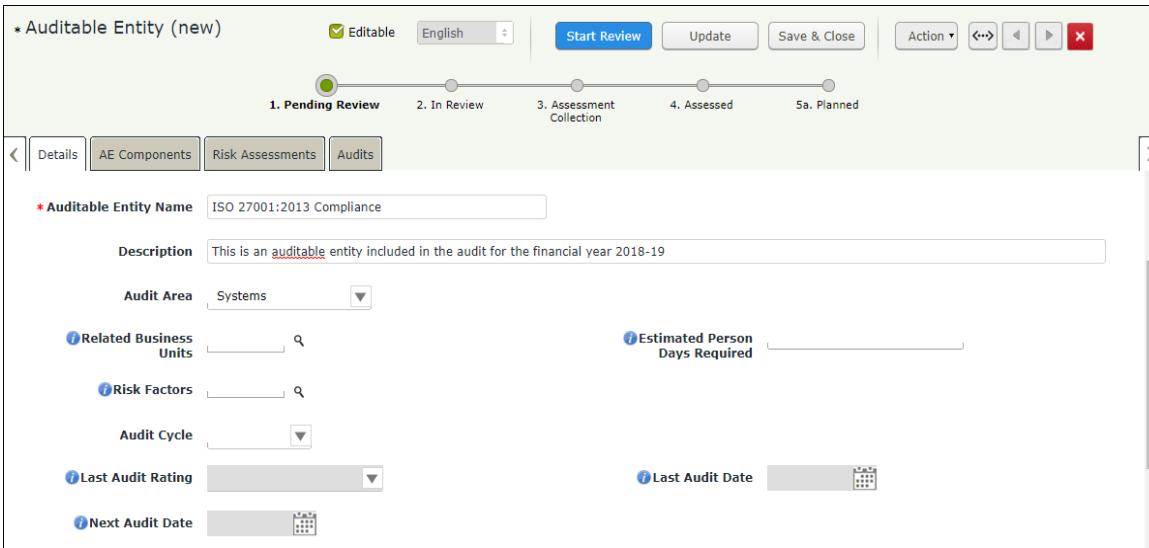
5. In **Select from the list below**, click **Select** from the row of your choice.
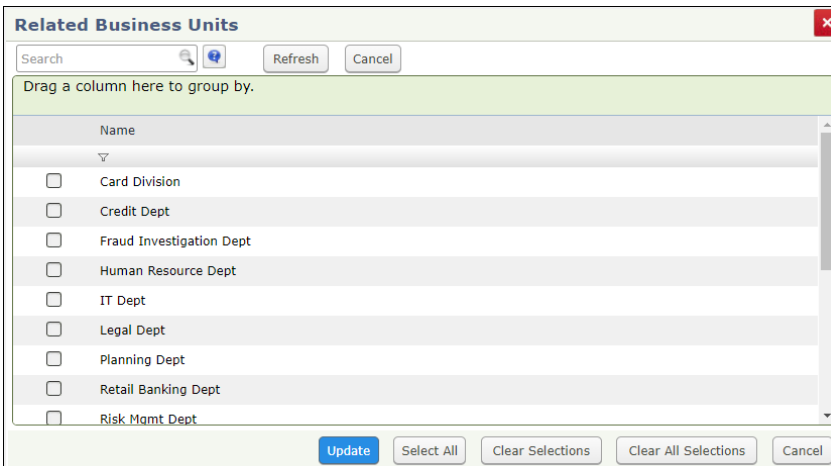
**The Auditable Entity (new) record appears with the Details tab selected.**

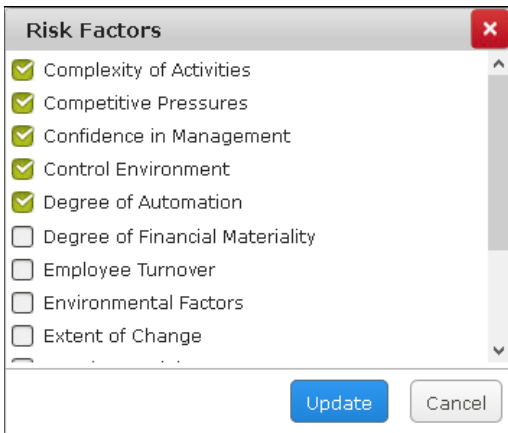6. In the **Details** tab, fill in all the auditable entity related fields.

7. Click the [🔍] icon associated with the **Related Business Units** field.
   The **Related Business Units** dialog box appears.

8. Select the check boxes for business units related to the auditable entity and click **Update**.

9. Click the 🔍 icon associated with the **Risk Factors** field.

    The **Risk Factors** dialog box appears.

10. Select the check boxes for the relevant risk factors and click **Update**.

Risk Factors	✕
☑ Complexity of Activities	
☑ Competitive Pressures	
☑ Confidence in Management	
☑ Control Environment	
☑ Degree of Automation	
☐ Degree of Financial Materiality	
☐ Employee Turnover	
☐ Environmental Factors	
☐ Extent of Change	
Update Cancel	

    The selected risk factors for the auditable entity will determine the risks present in the Risk Assessments.

11. Click **Update**.

Step 2: Creating Auditable Entity (AE) Components
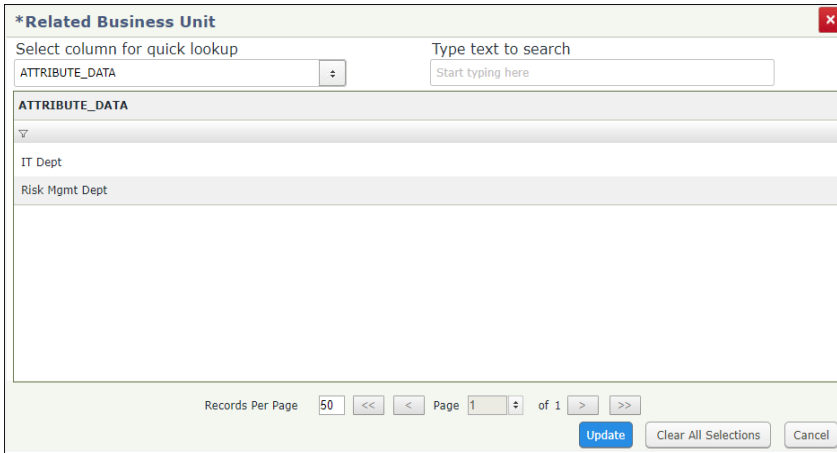
In this sub-task, you will create AE components. Log-in credentials will be of an *Audit Manager*.

Note: AE components are child records within the auditable entity. The AE components capture the information such as the business process implemented by the BU related to the auditable entity and the various risks and controls related to the business process. These process, risks, and controls are the elements, which will later become the subjects (audit workpapers) that will be audited. It is good practice to define the AE components for an auditable entity before beginning an audit, so that it helps the audit team to know what needs to be audited within the auditable entity.

1. From the **Auditable Entity (new)** record page, click **AE Components** tab.

    i.   Click **Add**.

         The **AE Components (new)** record appears.

    ii. Click the 🔍 icon associated with the **Related Business Unit** field.

         The **Related Business Unit** dialog box appears with the business units selected in Step 1: Creating an Auditable Entity.
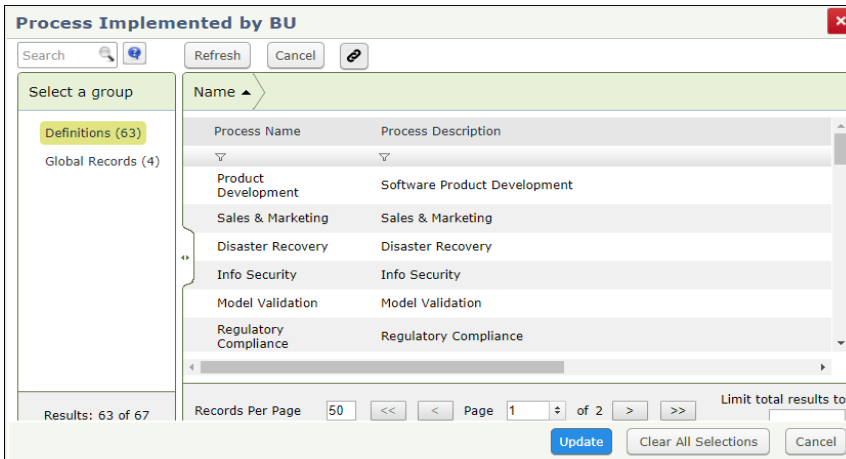
iii. Select the business unit for which the AE component details are to be populated, and click **Update**.

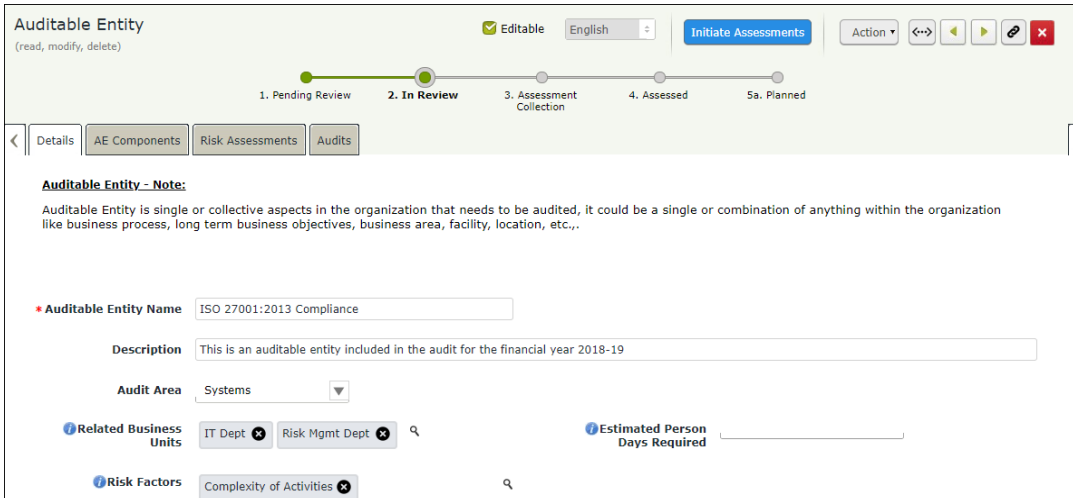Note: You can select only one option from the **Related Business Unit** dialog box.

iv. Click the 🔍 icon associated with the **Process Implemented by BU** field.

The **Process Implemented by BU** dialog box appears.

v. Select the process of your choice and click **Update**.

Note: You can select only one option from the **Process Implemented by BU** dialog box.

vi. Select the risks and controls from the **Risks related to the process** and **Select the controls related to the process** dialog boxes respectively and click **Update**.

vii. Click **Save & Close**. A new auditable component is added.

Repeat the steps (i) through (vii) to add more AE components.

2. After all the related AE components are added to the auditable entity record, click **Start Review**. This progresses the auditable entity to **2. In Review** workflow state.

3. Click **Initiate Assessments** to create risk assessment records.

The auditable entity record moves to the **3. Assessment Collection** workflow state, and for each related business unit defined, a risk assessment record is automatically created in the **3a. In Progress** workflow state.

4. Go to the **Risk Assessments** tab to verify if the risk assessment records are created.

Step 3: Conducting Auditable Entity (AE) Risk Assessment

In this task, we have described the ability to automate the collaboration between those responsible for planning and those in the business that provide supporting details that feed into the planning activities. You will log in to Rsam as the *Audit Coordinator* to initiate and complete the risk assessments defined in each respective Business Unit object, and then you will log in as the *Audit Manager* to review those assessments and adjust the calculated risk score as necessary.

The following objectives are completed in this step:

a. Completing AE Risk Assessment

b. Reviewing AE Risk Assessment

Step 3a. Completing AE Risk Assessment

1. Sign in as the *Audit Coordinator*. Enter **Username** as *r_audit_coordinator* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Coordinator Dashboard**. The Coordinator dashboard appears.

3. Under **Open Assessments**, locate the desired assessment which is in **3a. In Progress** workflow state.

4. Use one of the two following methods to open the assessment record.

   a. Double-click the assessment record.

   b. Click the icon in the assessment record row.

   The **AE assessment** record appears with the **Assessment** tab selected.

5. In the **Assessment** tab, select a value from the drop-down list box for each risk.

6. After assessing all the risks, click **Submit**.
   The auditable entity assessment moves out of the Open Assessments list and the workflow state is changed to **3b. Submitted**.

7. Repeat the same steps for other assessment records in the Open Assessments list to complete the risk assessment.
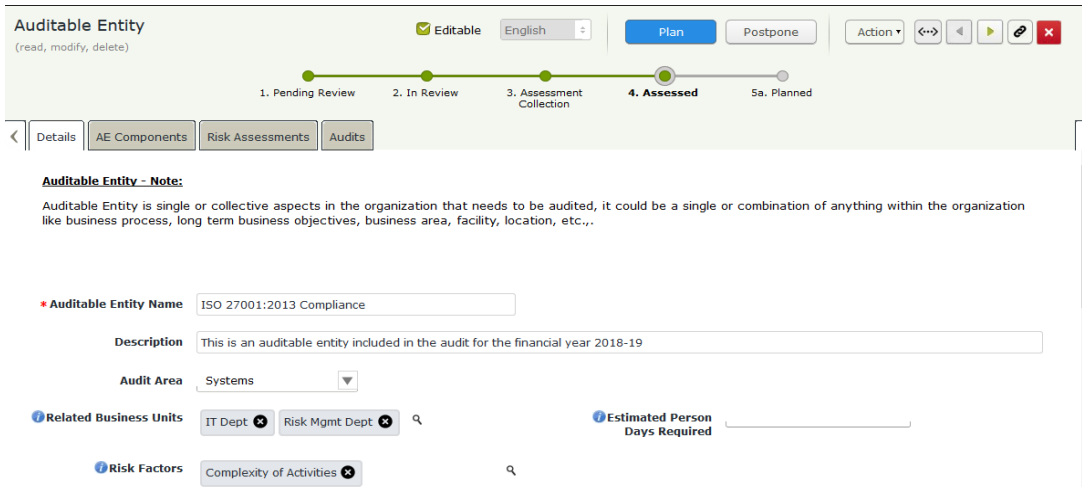
Step 3b. Reviewing AE Risk Assessment

1. Sign in as the *Audit Manager*. Enter **Username** as *r_audit_manager* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Audit Planning**.

3. Under **Record Navigators**, click **Assessments By Workflow**.

   Record Navigators

   IAM: AEs by Workflow
   IAM: Assessments by Workflow
   IAM: Audit Plans
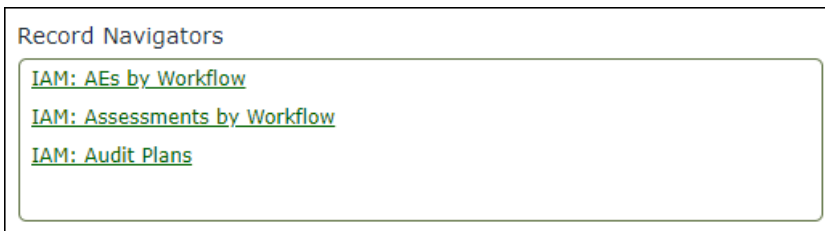
4. Select the **3b. Submitted** grouping.

   Select a group

   3a. In Progress (2)
   3b. Submitted (1)
   3c. Assessment Validated (5)
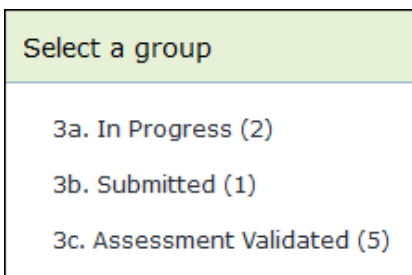
   The assessment records in the **3b. Submitted** workflow state appear.

5. Locate the assessment records that were submitted by the *Audit Coordinator*.

6. Use one of the following methods to open the assessment record:

   - Double-click the assessment record.

   - Click the [icon] icon in the assessment record row.

   The **AE Assessment** record opens with the **Assessment** tab selected.

7. Review the responses in the **Assessment** tab and the calculated risk scores in the **Scoring** tab, and if they are satisfactory, click **Validate Assessment**.

The auditable entity assessment moves to the **3c. Assessment Validated** workflow state.

> **Note:** If the **Calculated Risk Rating** is not satisfactory, then you can enter your risk rating in the **Adjusted Risk Rating** and enter the reason for adjustment in **Reason for Adjustment**.
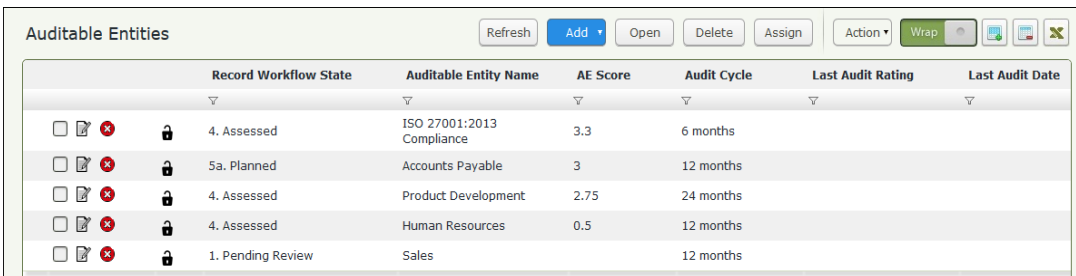
8. Repeat the same steps for other assessment records in the **3b. Submitted** workflow state.

> **Note:** When all assessments related to the auditable entity have been validated, the workflow state of the auditable entity will be updated to **4. Assessed** and an aggregated risk rating will be computed. When all auditable entities have been assessed, the *Audit Manager* can include the auditable entity in the annual plan. Conducting risk assessment step is not mandatory for including the auditable entity in the audit plan; however, conducting AE risk assessment will help the audit manager to prioritize and schedule the audit based on the auditable entity risk score.

Step 4: Planning / Postponing the Auditable Entities

In this task, you will log in to Rsam as the *Audit Manager* to plan / postpone the audits for the auditable entities that were created in Creating an Auditable Entity.

1. Sign in as the *Audit Manager*. Enter **Username** as *r_audit_manager* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Audit Universe Home**.

3. Under **Audit Elements**, click **Auditable Entities**.

4. Click **Auditable Entities**.

The Auditable Entities list appears.

5. Locate and open the Auditable Entity record in the **4. Assessed** workflow state.

The Auditable Entity record opens with the **Details** tab selected.

6. If the information is satisfactory, click **Plan** to move the auditable entity record to **Planned** workflow state. Otherwise, click **Postpone** if the auditable entity need not be considered for audit.

Part II: Audit Plan

This section provides a step-by-step procedure to walk you through the process of creating an audit plan in the Rsam Audit Management module. In this section, you will learn how to create an audit plan, generate audit records, and finalize an audit plan. The following tasks are completed in this section:

1. [Creating an Audit Plan](#)

2. [Generating Audit Records](#)

3. [Finalizing an Audit Plan](#)

Step 1: Creating an Audit Plan

In this task, you will log in as the *Audit Manager* and create an audit plan as part of the planning activity and you will leverage the computed risk rating of the assessed auditable entities to take a risk-based approach to planning. The tasks that you will perform in this section are creating an audit plan, generating audit records, and finalizing the audit plan.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Audit Management module.

2. Sign in as the *Audit Manager*. Enter **Username** as *r_audit_manager* and **Password** as *password*.

3. In the navigation panel on the left, click **Audit Management** > **Audit Universe Home**.

4. Under **Create New Audit Elements**, click **Create New Audit Plan**.

5. In **Select from the list below**, click **Select** from the row of your choice.

The **Audit Plan (new)** record appears with the **Details** tab selected.

6. In the **Details** tab, fill in all the audit plan related fields.

Step 2: Generating Audit Records

In this task, you will generate the audit records. Log in credentials will be of an *Audit Manager.*

1. In the Audit Plan page, click the **Planning** tab.

2. Click the 🔍 icon associated with the **Auditable Entity(s)** field.

The **Auditable Entity(s)** dialog box appears.

3. Select the check boxes for auditable entities to be included in the audit plan and click **Update**.
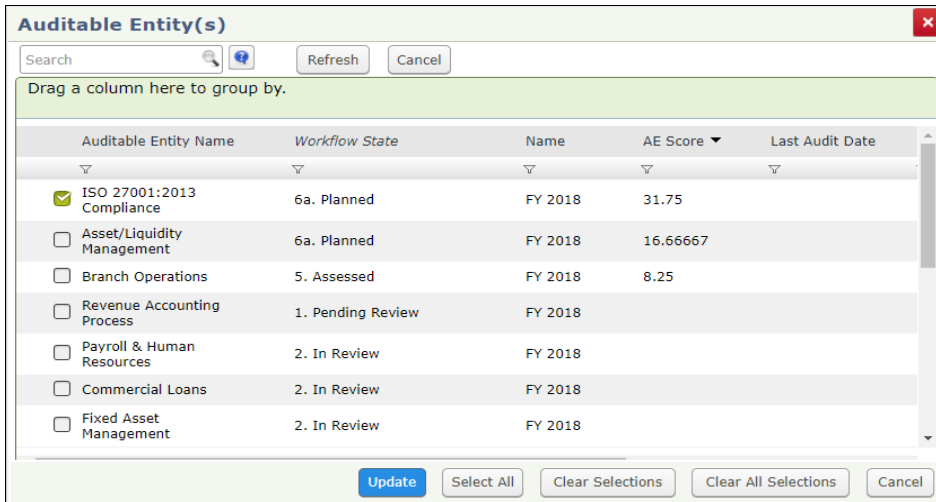
4. Click **Generate Audit Records**.

   For each business unit related to the selected auditable entity, a draft audit record is created.
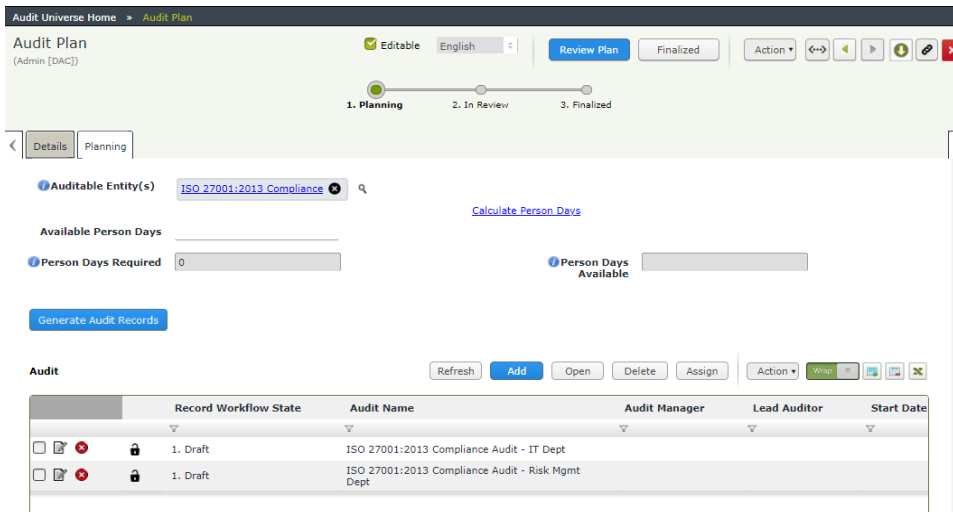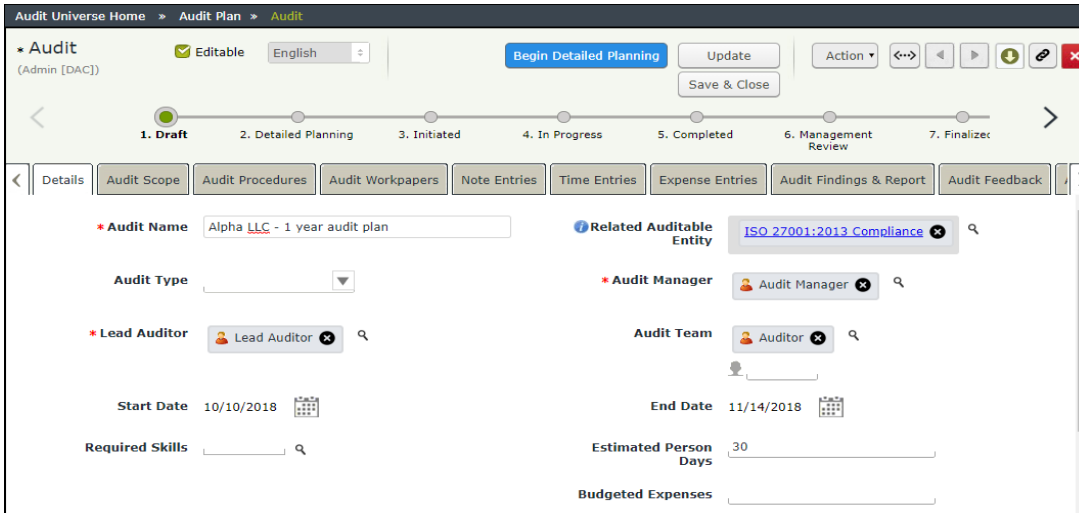
5. In the Audit Plan page, you can add or delete audit records to modify the audit plan as necessary.

   - To add a new audit record, click **Add** and fill in the audit plan related fields and click **Save and Close**.

   - To delete an audit record, select the record you want to delete and click **Delete**.

6. After finalizing the audit records to be included in the audit plan, open the audit record.
   The Audit record opens with the **Details** tab selected.

7. In the **Details** tab, fill in the following fields:

   a. Select *r_audit_manager* in the **Audit Manager** field.

   b. Select *r_audit_lead* in the **Lead Auditor** field.

   c. Select *r_audit_auditor* in the **Audit Team** field.

   d. Select the type of audit in **Audit Type**.

   > **Note:** The Rsam Internal Audit Management module has five types of audits, namely: Internal Audit, Operational Audit, Quality Audit, Supplier Audit, and Compliance Audit. Among the five types, the compliance audit works differently, where the audit subjects are defined through a compliance standard. In the remaining four types, the audit subjects are defined by the business process associated to the auditable entity and the business unit in audit scope. For the sake of remaining in alignment with the steps documented in the remainder of this tutorial, please select any audit type *except* Compliance Audit.

   e. Select or enter the start date of audit in the **Start Date** field.

   f. Select or enter the end of the audit in the **End Date** field.

   g. Enter the available days of the auditor in the **Estimated Person Days** field.

8. Click **Save & Close** and you will return to the Audit Plan page.

> **Note:** You can use **Proposed Audit Date Report** to help you in audit scheduling. From the **Audit Plan** page, click **Action** > **Generate Proposed Audit Date Report** to generate the report. This is an SSRS report which simulates the best possible start date and end date for each audit record based on the following factors: AE score of the auditable entity related to the audit, audit cycle, the lead auditor assigned, leave calendar of the lead auditor, estimated person days for the audit, and predefined supplementary days between each auditor. This will help you to either review the schedule that has been manually defined by the *Audit Manager* or suggest a suitable schedule. However, the SSRS report will make no change to the audit plan or the audit.

Step 3: Finalizing an Audit Plan

In this task, you will finalize the audit plan. Log in credentials will be of an *Audit Manager.*

1. In the Audit Plan page, in the **Planning** tab, enter the days that the auditor is available in **Available Person Days** field.

2. Click **Calculate Person Days** to calculate values for the **Person Days Required** and **Person Days Available** fields.

> **Note:** The **Person Days Required** and **Person Days Available** are calculated based on the number of days required for each audit.

3. Click **Review Plan** to review the audit plan.

4. Click **Finalized** to finalize the audit plan.
   The Audit Plans/Audits page appears with the audit plan moved to **3. Finalized** workflow state.

Part III: Audit

This section provides a step-by-step procedure to walk you through the detailed audit execution process in the Rsam Audit Management module. In the Audit Plan section, you created an audit record as part of the planning process. In this section, you will learn how to define the details of an audit, such as owner, relevant dates, the subjects that will be audited, and more.

Types of Audits

Before getting into the steps of executing an audit, it is important to understand the different types of audit. The out-of-the-box Rsam Internal Audit Management module has five types of audits, namely:

- Internal Audit
- Operational Audit
- Quality Audit
- Supplier Audit
- Compliance Audit.

Among the five types, the *Compliance Audit* works differently, where the audit subjects are defined through a compliance standard. In the remaining four types, the audit subjects are defined by the business process associated to the auditable entity and the business unit in audit scope. The Compliance Audit is selected when the audit is performed to see the scope compliance against one single compliance standard like ISO 9001, ISO 27001, PCIDSS, HIPAA, and so on. The following tasks are completed in this section:

1. Defining the Scope of an Audit

2. Generating Audit Workpapers

3. Initiating an Audit

4. Assigning Audit Workpapers to the Auditor

5. Beginning an Audit

6. Requesting and Submitting Materials for Auditing

7. Executing an Audit Workpaper

8. Updating Audit Management Details

9. Submitting an Audit for Review

10. Finalizing and Reporting on an Audit

Step 1: Defining the Scope of an Audit

In this task, you will define the scope of the audit. Log-in credentials will be of a *Lead Auditor*.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Rsam Audit Management module.

2. Sign in as the *Lead Auditor* user. Enter **Username** as *r_audit_lead* and **Password** as *password*.

3. In the navigation panel on the left, click **Audit Management** > **Lead Auditor Dashboard**.
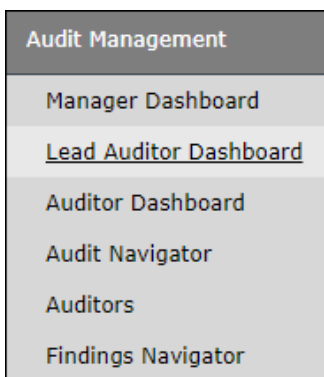
   The Lead Auditor Dashboard appears.

4. Under **My Audits**, locate the audit ready for detailed planning and review (**2. Detailed Planning** workflow state).
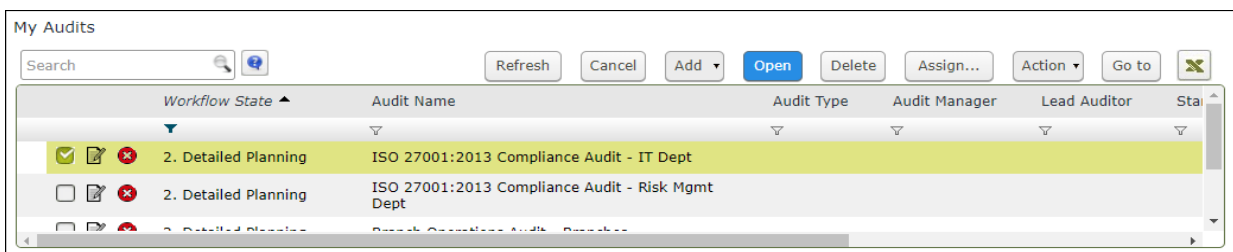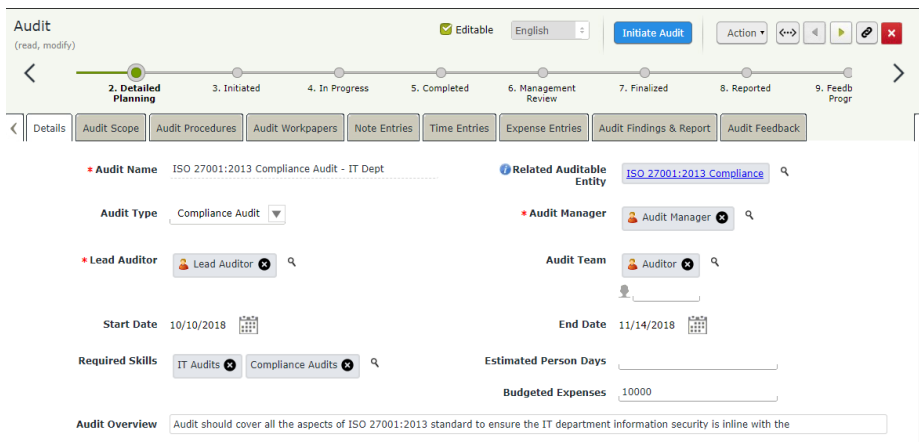
5. Use one of the following methods to open the audit:

   - Double-click the audit record.

   - Select the audit record and click **Open**.

   - Click the ⬚ icon in the audit record row.

   The Audit record opens with the **Details** tab selected.
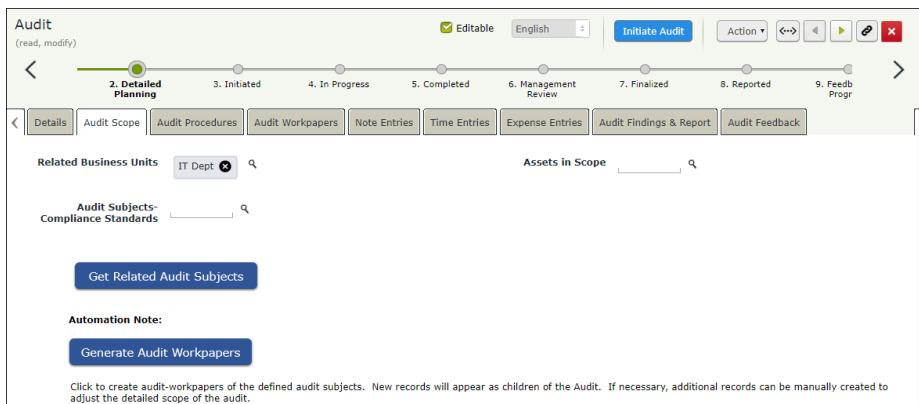
6. In the **Details** tab, fill in all the audit related fields and click **Update**.

7. Click the **Audit Scope** tab.

The **Related Business Units** field will be pre-populated if the audit was established as part of the annual planning functionality. Add more business units, processes, assets, and compliance standards if required to support the scope of the audit. Ensure that the audit definition includes all aspects currently being executed by the business unit.

The **Audit Subjects - Compliance Standards** field appears when **Compliance Audit** is selected in the **Audit Type** field in the **Details** tab of the Audit page. When a different type of audit is selected in the **Audit Type** field, then **Audit Subjects - Processes** field appears in the **Audit Scope** tab.

8. Click the [🔍] icon associated with the **Audit Subjects - Compliance Standards** to select the compliance standard.
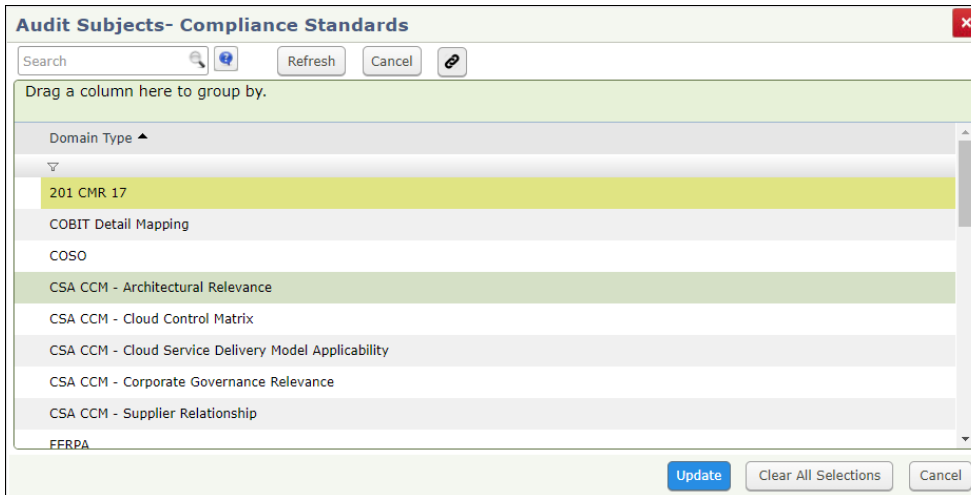
The **Audit Subjects - Compliance Standards** dialog box appears.

9. Select an option from the dialog box and click **Update**.

   The scope of the audit will be audited against the selected compliance standard.

10. Click **Get Related Audit Subjects** to get the related risks and controls. The **Get Related Audit Subjects** button is dynamic; wherein if a business unit and a specific process are defined, only the related risks and controls will be brought into scope.

   The Audit Subjects are created and they can be viewed by scrolling down the Audit page.

   Note: In a compliance audit, only the related controls will be populated with relevant controls associated to the compliance standard. *Lead Auditor* can also manually select the risks and controls to be audited.

Step 2: Generating Audit Workpapers

In this task, you will generate audit workpapers of the defined audit subjects. This must be done after getting the related audit subjects. Log-in credentials will be of a *Lead Auditor*.

1. Stay signed in as the *Lead Auditor*.

2. In the **Audit Scope** tab of the Audit page, click **Generate Audit Workpapers**.

   The audit workpapers are generated and they can be viewed in the **Audit Workpapers** tab. You can create additional workpaper records manually to adjust the detailed scope of the audit.

Step 3: Initiating an Audit

In this task, you will initiate the audit. This must be done after the audit workpapers have been generated. Log-in credentials will be of a *Lead Auditor*.

1. Stay signed in as the *Lead Auditor*.

2. In the Audit page, click **Initiate Audit** to initiate the audit.
   The Audit record moves to the **3. Initiated** workflow state.

Step 4: Assigning Audit Workpapers to the Auditor

In this task, you will assign the audit workpapers to the auditor. Log-in credentials will be of a *Lead Auditor*.

1. Stay signed in as the *Lead Auditor*.

2. In the navigation panel on the left, click **Audit Management** > **Lead Auditor Dashboard**.

3. Under **My Audits**, locate the audit in the **3. Initiated** workflow state.

4. Use one of the following methods to open the audit:

   - Double-click the audit record.

   - Select the audit record and click **Open**.

   - Click the icon in the audit record row.

   The Audit record opens with the **Details** tab selected.

5. Go to **Audit Workpapers** tab and open the audit workpaper record.
   The Audit Workpaper record opens with the **Details** tab selected

6. Select *r_audit_auditor* in the **Auditor** field.

7. Click **Save & Close**.

8. Repeat the same steps to assign all other audit workpaper records.

Step 5: Beginning an Audit

In this task, you will begin the audit. This must be done after the audit workpaper records have been assigned to the auditor. Log-in credentials will be of a *Lead Auditor*.

1. Stay signed in as the *Lead Auditor*.

2. In the navigation panel on the left, click **Audit Management** > **Lead Auditor Dashboard**.

3. Under **My Audits**, locate and open the audit in the **3. Initiated** workflow state.

4. In the Audit page, click **Begin Audit**.
   The Audit record moves to the **4. In Progress** workflow state.
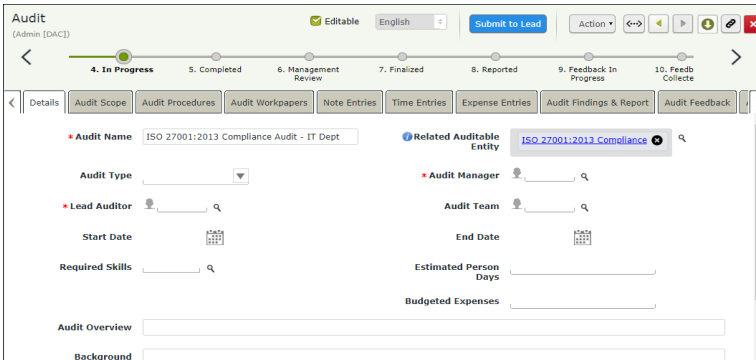
Step 6: Requesting and Submitting Materials for Auditing

In this task, you will request and submit materials for auditing. This must be done after the audit has been begun. Log-in credentials will be of an *Auditor* and *Auditee*. The Auditor will request the materials and the Auditee will submit the materials requested.

a. Requesting Materials

b. Submitting Materials

Step 6a. Requesting Materials

1. Sign in as the *Auditor*. Enter **Username** as *r_audit_auditor* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Auditor Dashboard**.

3. Under **My Audits**, open the audit record which is in the **4. In Progress** workflow state.
   The Audit record opens with the **Details** tab selected.

4. Go to the **Audit Workpapers** tab.

5. Click **Add** to add a new audit workpaper record, or open an existing audit workpaper record. The **Audit Workpaper (new)** record opens with the **Details** tab selected.

6. Go to the **Material Requests** tab and click **Add**.
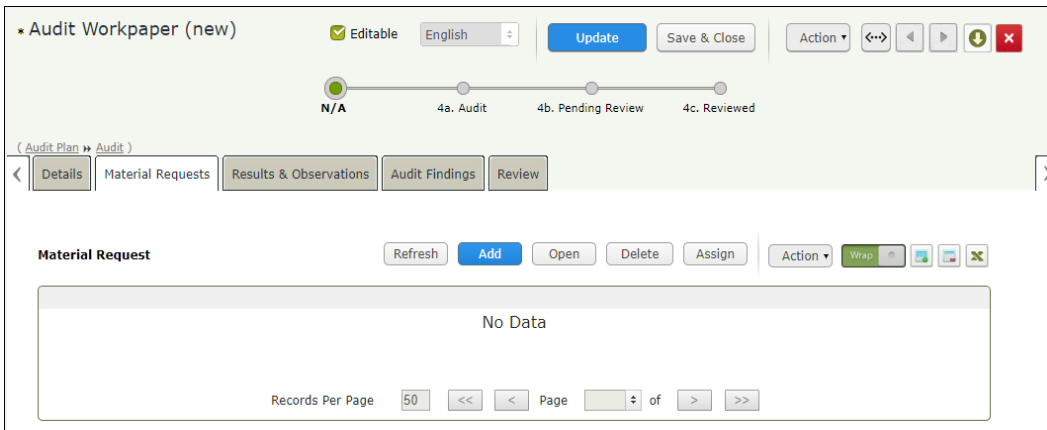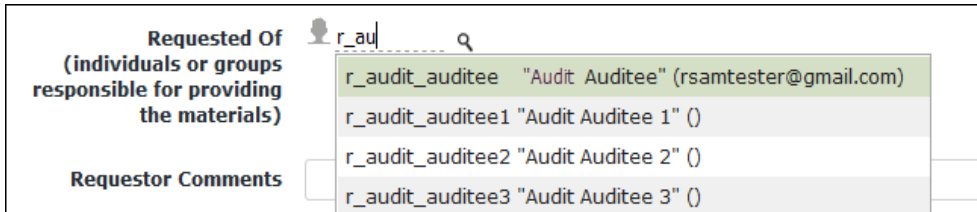
7. Fill in the following fields: **Materials Requested**, **Requested Of (individuals or groups responsible for providing the materials)**, **Due Date**, and **Requestor Comments**. The **Requested By** and **Requested On** fields are pre-filled; however, you may change those fields if required.
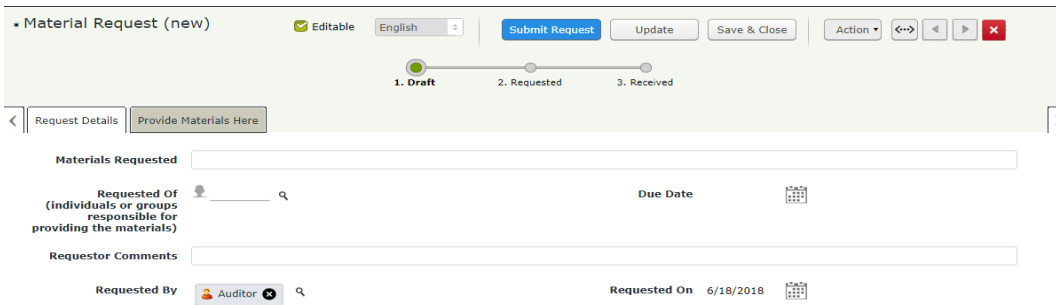
8. Set the **Requested Of** field to *r_audit_auditee* user. Use one of the following methods given below:
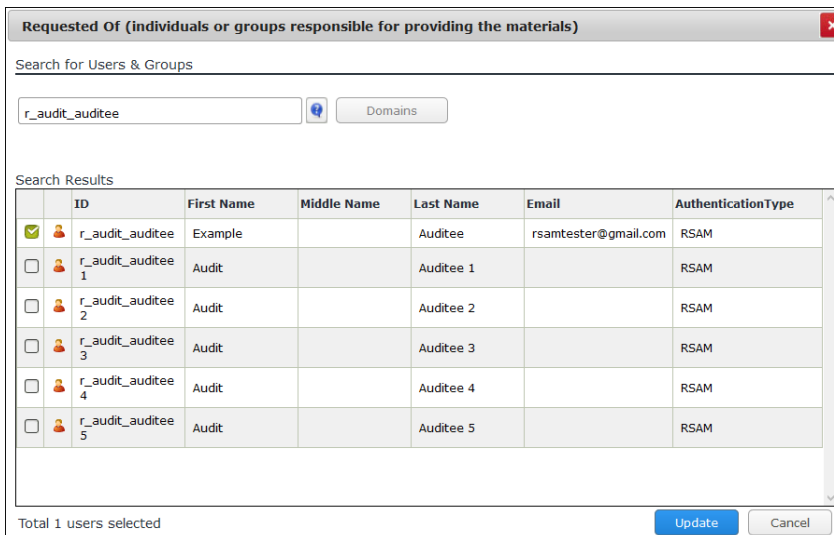
   Method I:

   a. Type *r_audit_auditee* in the **Requested Of (individuals or groups responsible for providing the material)** field. While typing, a list of users matching the string appear.

   b. Select **r_audit_auditee** from the user list.

   Method II:

   a. Click the [search icon] icon associated with the **Requested Of (individuals or groups responsible for providing the material)** field.

   b. In the dialog that appears, enter *r_audit_auditee* in the search box. The search results display the *r_audit_auditee* user.

   c. Select the check box in the *r_audit_auditee* user row and click **Update**.

   The **Requested Of (individuals or groups responsible for providing the material)** field is set to **r_audit_auditee**.
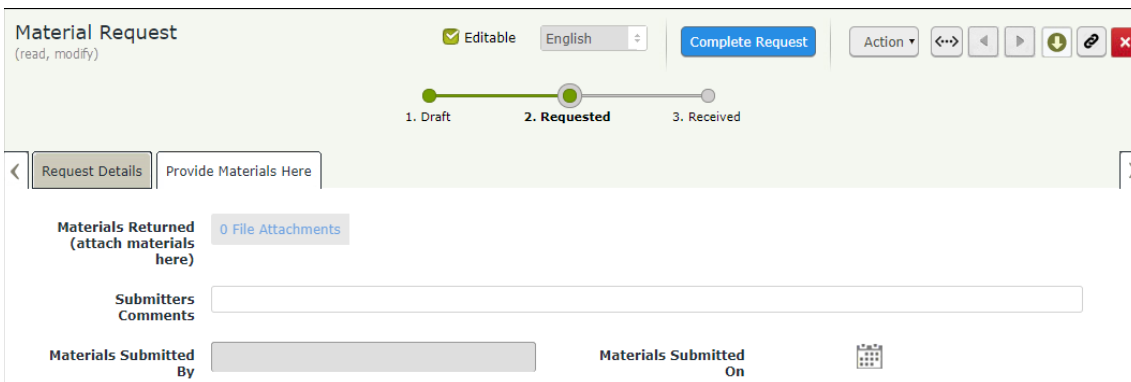
9. Click **Submit Request**.

Step 6b. Submitting Materials

1. Sign in as the *Auditee*. Enter **Username** as *r_audit_auditee* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Auditee Dashboard**.

3. Under **My Pending Material Requests**, locate and open the material request record which is in the **2. Requested** workflow state.

   The **Material Request** record opens with the **Request Details** tab selected.

4. Go to the **Provide Materials Here** tab.

5. Click the **File Attachment(s)** link associated with the **Materials Returned (attach Materials here)** field to attach supporting documents.

6. Fill in the **Submitters Comments** field.

7. Click **Complete Request**.

   The material request record moves to the **3. Received** workflow state and will no longer appear in the Material Requests search or chart.
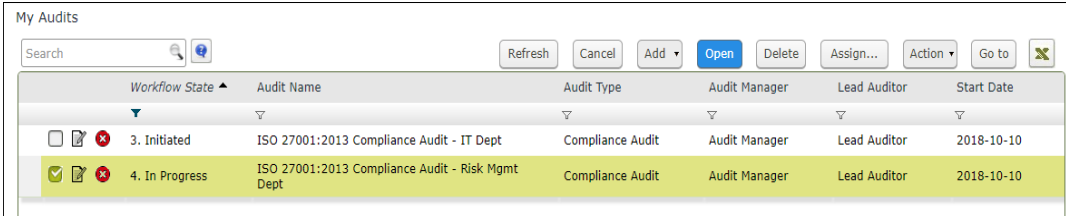
Step 7. Executing an Audit Workpaper

After the auditor completes the workpaper analysis either by requesting materials or through fieldwork, the auditor can record the observations in the workpaper and submit the workpaper for the lead auditor's review. The following objectives are completed in this step:

a. Submitting an Audit Workpaper Record

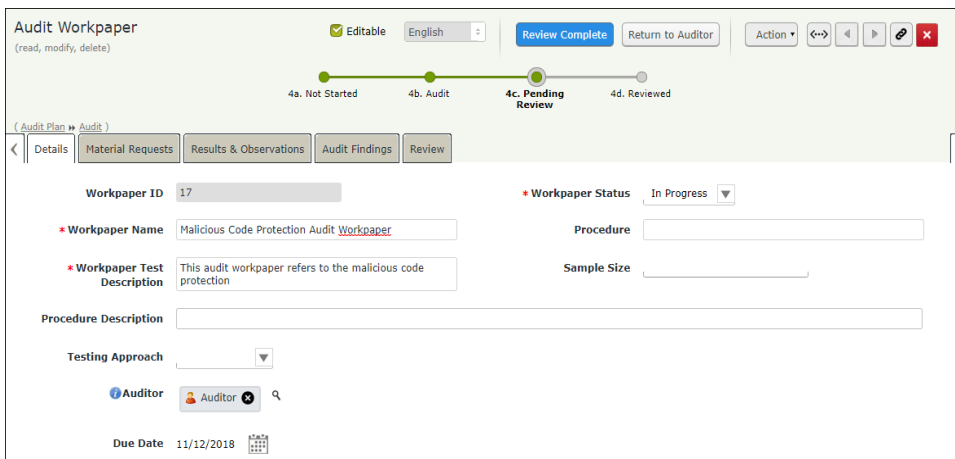b. Reviewing an Audit Workpaper Record

c. Creating Audit Findings

Step 7a. Submitting an Audit Workpaper Record

1. Sign in as the *Auditor*. Enter **Username** as *r_audit_auditor* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Auditor Dashboard**.

3. Under **My Audits**, locate the audit in **4. In Progress** workflow state.

4. Use one of the following methods to open the audit:

   - Double-click the audit record.

   - Select the audit record and click **Open**.

   - Click the icon in the audit record row.

   The Audit record opens with the **Details** tab selected.

5. Go to the **Audit Workpapers** tab.

   The Audit Workpaper records appear.

6. Open the audit workpaper record in **In Progress** workflow status.

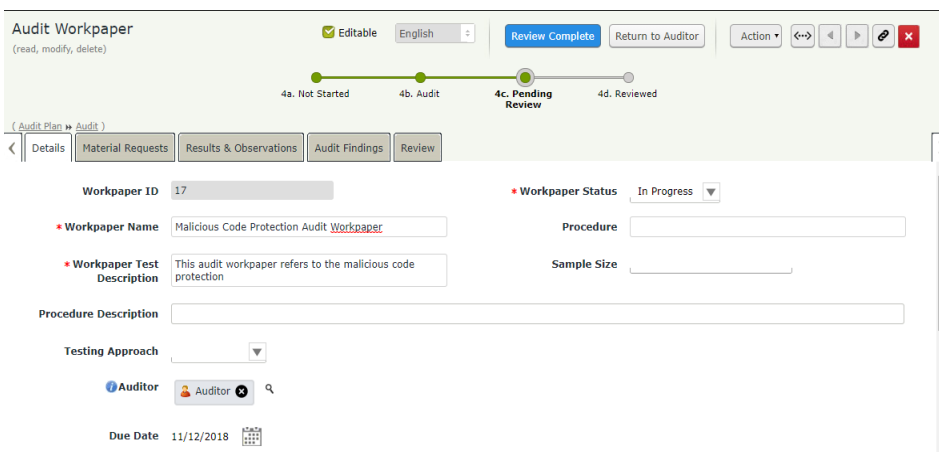The Audit Workpaper record opens with the **Details** tab selected.

7. In the **Details** tab, fill in all the workpaper related fields.

8. Go to the **Results & Observations** tab and fill in the following fields.

   - Select pass or fail in **Pass/Fail** field.

   - Select the date of completion in **Completion Date** field.

   - Select the workpaper rating in **Workpaper Rating** field.

9. Go to the **Audit Findings** tab and add audit finding records. Refer to Creating Audit Findings for information about how to add audit findings to a workpaper record.

10. Click **Submit for Review** to send the audit workpaper for review.
    The workflow state of the audit workpaper record changes to **4c. Pending Review**.

11. Repeat the same steps for the other audit workpaper records in **In Progress** workflow status.

Step 7b. Reviewing an Audit Workpaper Record

1. Sign in as the *Lead Auditor*. Enter **Username** as *r_audit_lead* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Lead Auditor Dashboard**.

3. Under **My Actions**, click **IAM: Audit Workpaper Pending Review (nav)**.

    The Audit Workpaper record list appears.

4. Open the audit workpaper record to be reviewed.

    The Audit Workpaper record opens with the **Details** tab selected.

5. Review the information in the **Details** tab and the **Results & Observations** tab, and if they are satisfactory, click **Review Complete**.

    The Audit Workpaper record moves to the **4d. Reviewed** workflow state.

6. Repeat the same steps to review other audit workpaper records.

Step 7c. Creating Audit Findings

1. Sign in as the *Auditor* user. Enter **Username** as *r_audit_auditor* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Audit Navigator**.
   The audit navigator page appears with **1. Audits by Status** selected.

3. Click **4. In Progress** in **Select a group**.

   The audit records in the **4. In Progress** workflow state appear.

4. Use one of the following methods to open the audit record:

   - Double-click the audit record

   - Select the audit record, and then click **Open**.

   - Click the icon in the audit record row.

   The Audit record opens with the **Details** tab selected.

5. Click the **Audit Workpapers** tab.

6. Locate and open the audit workpaper record in which you want to create an audit finding.

   The Audit Workpaper record opens with the **Details** tab selected.

7. Click the **Audit Findings** tab.

8. Under **Finding**, click **Add**.

   The **Finding (new)** record opens with the **Details** tab selected.

9. Fill in all the audit finding related fields, and then click **Save & Close**.

   A new finding record is created.

Step 8: Updating Audit Management Details

When the audit is in **4. In Progress** workflow state, the auditors can update the audit management details such as note entries, time entries, and expense entries and submit them for review. The lead auditor can then review and approve/archive the submitted entries. The following objectives are completed in this step:

   a. [Adding and Reviewing Note Entries](#)

   b. [Adding and Reviewing Time Entries](#)

   c. [Adding and Reviewing Expense Entries](#)

Step 8a. Adding and Reviewing Note Entries

1. Sign in as the *Auditor*. Enter **Username** as *r_audit_auditor* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Auditor Dashboard**.

3. Under **My Audits**, locate the audit in **4. In Progress** workflow state.

4. Use one of the following methods to open the audit:

    *   Double-click the audit record.

    *   Select the audit record and click **Open**.

    *   Click the icon in the audit record row.

    The Audit record opens with the **Details** tab selected.

5. Go to **Note Entries** tab.

6. Under **Audit Notes**, click **Add**.
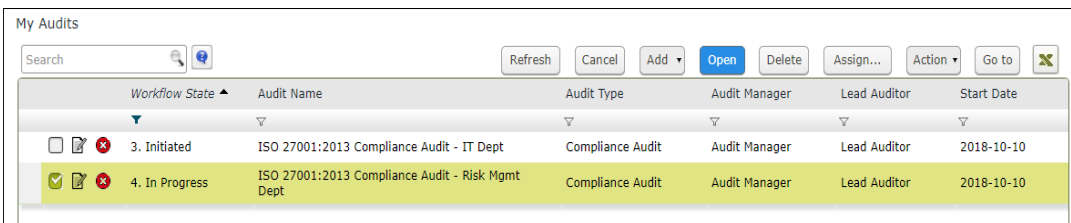
    The **Audit Notes (new)** record opens with the **Details** tab selected.
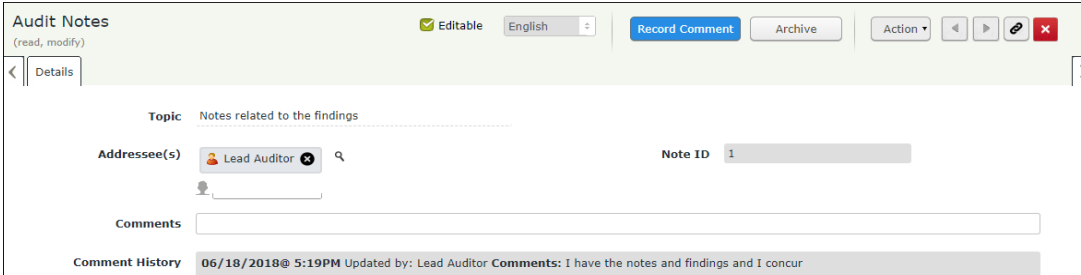
7. In the **Details** tab, fill in all the Audit Notes related fields.

8. Click **Record Comment** after entering your comments in the **Comments** field and it is recorded in the **Comment History** field.

9. Click **Save & Close**.

10. Sign in as the *Lead Auditor*. Enter **Username** as *r_audit_lead* and **Password** as *password*.

11. In the navigation panel on the left, click **Audit Management** > **Lead Auditor Dashboard**.

12. Under **My Audits**, locate the audit in **4. In Progress** workflow state.

The Audit record opens with the **Details** tab selected.

13. Go to **Note Entries** tab, and open the **Audit Notes** record.
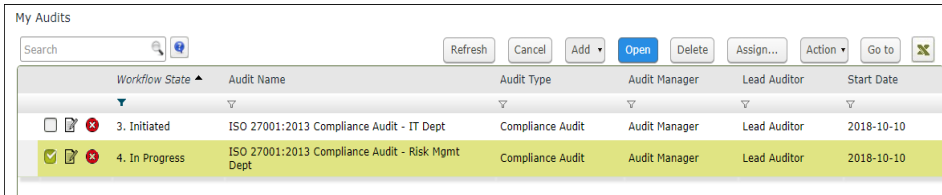
14. Enter your comments in the **Comments** field and click **Record Comment**.

15. Click **Archive** to archive the audit notes.

Step 8b. Adding and Reviewing Time Entries

1. Sign in as the *Auditor*. Enter **Username** as *r_audit_auditor* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Auditor Dashboard**.

3. Under **My Audits**, locate the audit in **4. In Progress** workflow state.
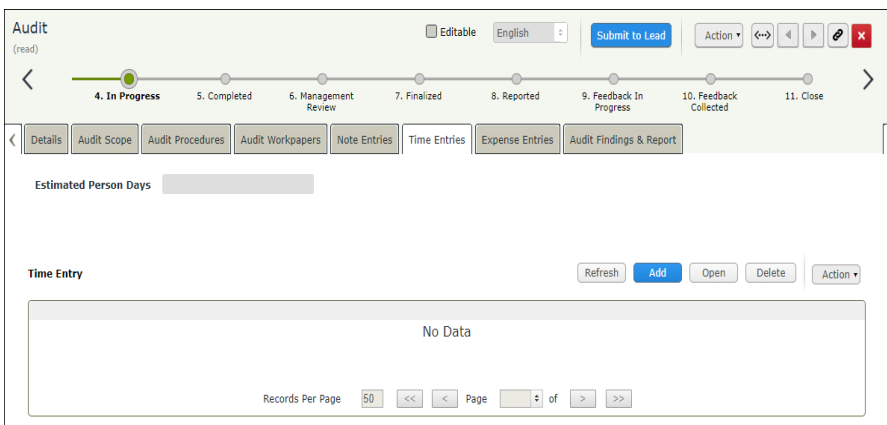

4. Use one of the following methods to open the audit:

   - Double-click the audit record.

   - Select the audit record and click **Open**.

   - Click the icon in the audit record row.

   The Audit record opens with the **Details** tab selected.

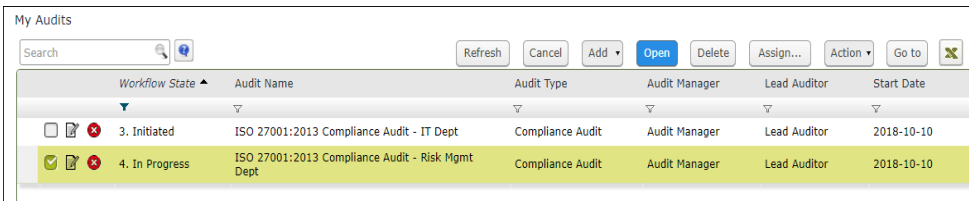5. Go to **Time Entries** tab and click **Add**.
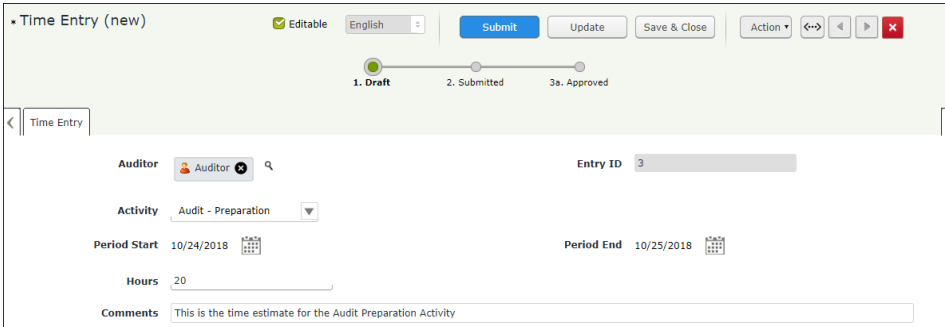
   The **Time Entry (new)** record appears.

6. Fill in all the time entry related fields and click **Update**.
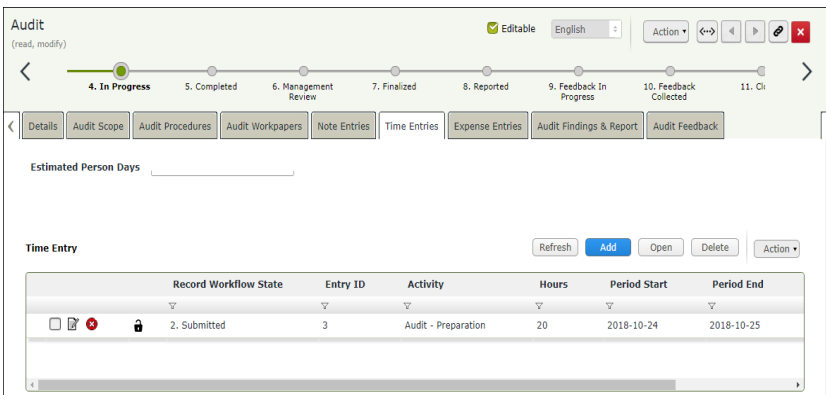

The Time Entry record is saved.

7. Click **Submit** to send the time entry record for review.

The Time Entry record is sent for review and the workflow state of the record changes to **2. Submitted**.

8. Sign in as the *Lead Auditor*. Enter **Username** as *r_audit_lead* and **Password** as *password*.

9. In the navigation panel on the left, click **Audit Management** > **Lead Auditor Dashboard**.

10. Under **My Audits**, locate the audit in **4. In Progress** workflow state.

The Audit record opens with the **Details** tab selected.

11. Go to **Time Entries** tab.

The Time Entry record list appears.

12. Enter the estimated person days in **Estimated Person Days** field and click **Update**.

13. Open the time entry record which is in **2. Submitted** workflow state.

14. Review the information in the **Time Entry** tab and if it is satisfactory, then click **Approve**.
    The workflow state of the record changes to **3a. Approved**.

15. If the information in the **Time Entry** tab is not satisfactory, then click **Reject** to send the time entry record back to the **Auditor**.
    The workflow state of the record changes to **3b. Rejected**.

Step 8c. Adding and Reviewing Expense Entries

1. Sign in as the *Auditor*. Enter **Username** as *r_audit_auditor* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Auditor Dashboard**.

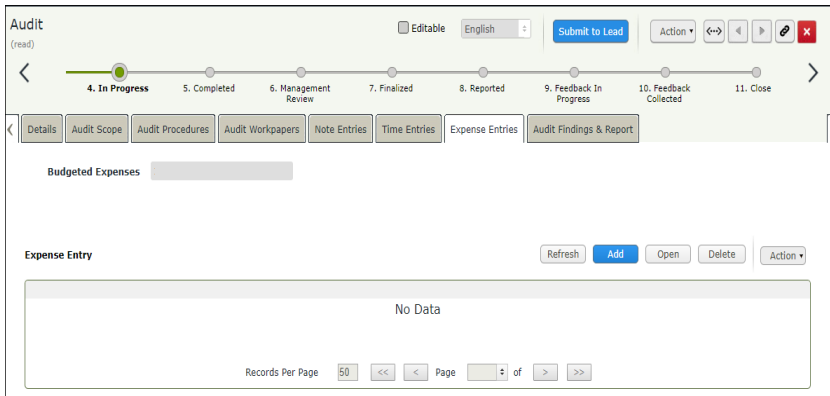3. Under **My Audits**, locate the audit in **4. In Progress** workflow state.

4. Use one of the following methods to open the audit:

   - Double-click the audit record.

   - Select the audit record and click **Open**.

   - Click the icon in the audit record row.

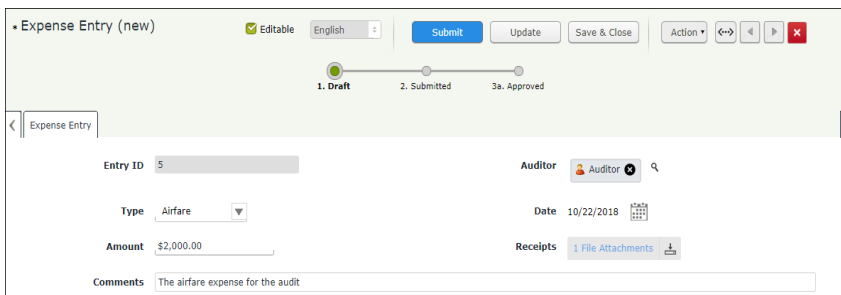   The Audit record opens with the **Details** tab selected.

5. Go to **Expense Entries** tab and click **Add**.

The **Expense Entry (new)** record appears.
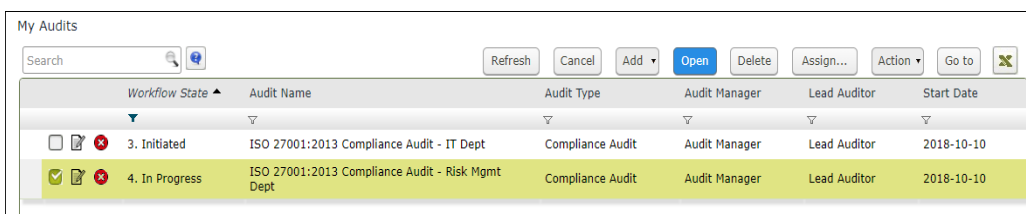
6. Fill in all the expense entry related fields and click **Update**.

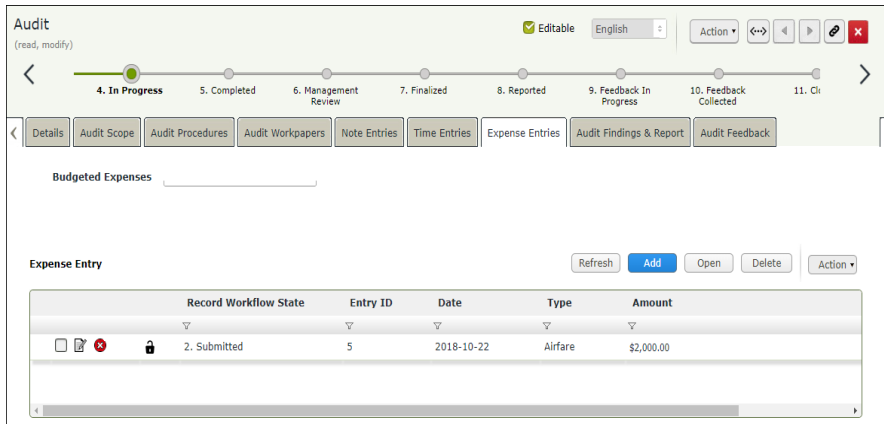

The expense entry record is saved.

7. Click **Submit** to send the expense entry record for review.

The expense entry record is sent for review and the workflow state of the record changes to **2. Submitted**.

8. Sign in as the *Lead Auditor*. Enter **Username** as *r_audit_lead* and **Password** as *password*.

9. In the navigation panel on the left, click **Audit Management** > **Lead Auditor Dashboard**.

10. Under **My Audits**, locate the audit in **4. In Progress** workflow state.

The Audit record opens with the **Details** tab selected.

11. Go to **Expense Entries** tab.

The Expense Entry record list appears.

12. Enter the budgeted expense in **Budgeted Expenses** field and click **Update**.

13. Open the expense entry record which is in **2. Submitted** workflow state.

14. Review the information in the **Expense Entry** tab and if it is satisfactory, then click **Approve**.
The workflow state of the record changes to **3a. Approved**.

15. If the information in the **Expense Entry** tab is not satisfactory, then click **Reject** to send the expense entry record back to the *Auditor*.
The workflow state of the record changes to **3b. Rejected**.

Step 9. Submitting an Audit for Review

After all the workpapers are completed and the time and expense entries have been submitted for review or approved by the **Lead Auditor**, the audit can be submitted for review. The following objectives are completed in this step:
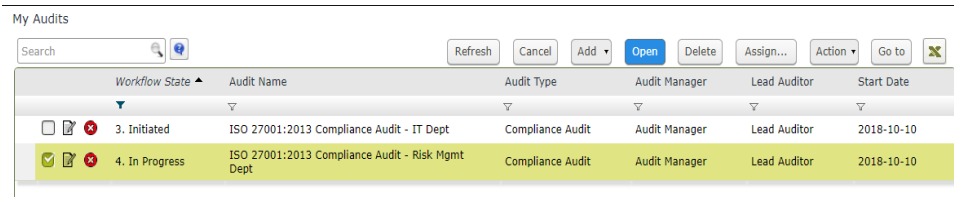
a. [Submitting an Audit for Lead Auditor's Review](#)

b. [Submitting an Audit for Audit Manager's Review](#)

Step 9a. Submitting an Audit for Lead Auditor's Review

1. Sign in as the *Auditor*. Enter **Username** as *r_audit_auditor* and **Password** as *password*.

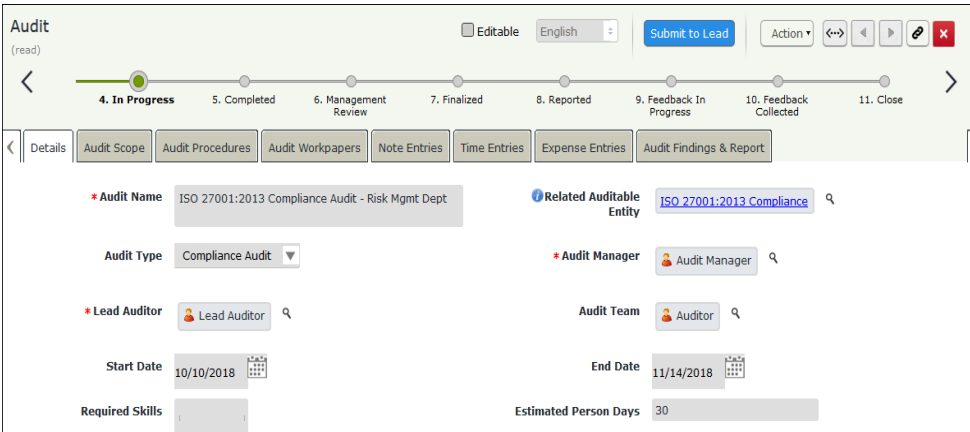2. In the navigation panel on the left, click **Audit Management** > **Auditor Dashboard**.

3. Under **My Audits**, locate the audit in **4. In Progress** workflow state.

4. Locate and open the audit record which needs to be sent for review.

The Audit record opens with the **Details** tab selected.

5. Ensure the audit workpaper is completed and the time and expense entries are approved.

6. Click **Submit to Lead** to send the audit record to the *Lead Auditor* for review.

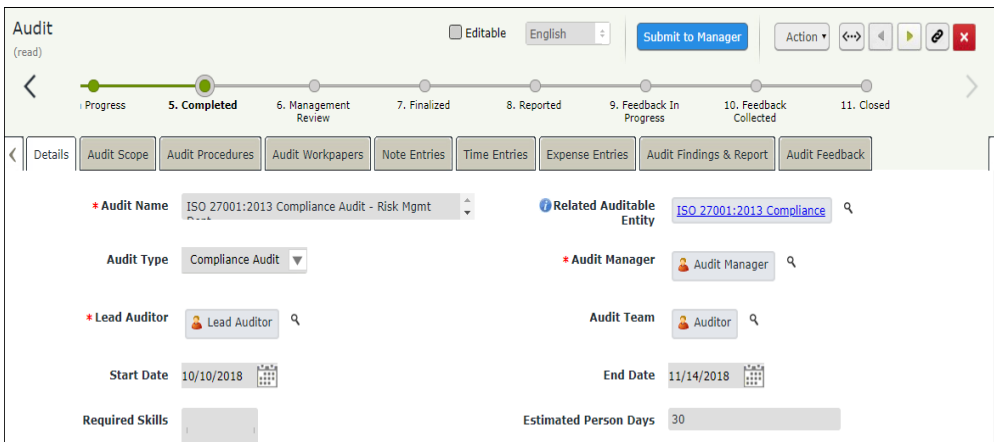The Audit record moves to the **5. Completed** workflow state and will no longer appear under **My Audits**.

Note: The audit workpaper must be completed, and the time and expense entries must also be approved before submitting the audit for *Audit Manager's* review.

Step 9b. Submitting an audit for Audit Manager's Review

1. Sign in as the *Lead Auditor*. Enter **Username** as *r_audit_lead* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Audit Navigator**.

3. Click **5. Completed** in **Select a group**.
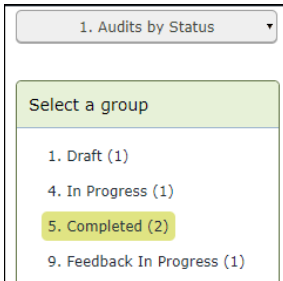
4. Locate and open the audit record which has to be sent for review.

The Audit record opens with the **Details** tab selected.

5. Click **Submit to Manager** to send the audit record to the *Lead Auditor* for review.
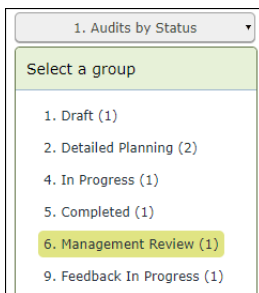   The Audit record moves to the **6. Management Review** workflow state.

Step 10. Finalizing and Reporting on an Audit

After the audit record is sent for the *Audit Manager's* review, the *Audit Manager* reviews the details of the audit record, and if they are satisfactory, the *Audit Manager* finalizes and reports the audit record. The following objectives are completed in this step:

a. Finalizing the Audit

b. Reporting on the Audit

c. Generating an Audit Report

Step 10a. Finalizing the Audit

1. Sign in as the *Audit Manager*. Enter **Username** as *r_audit_manager* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Audit Navigator**.

3. Click **6. Management Review** in **Select a group**.

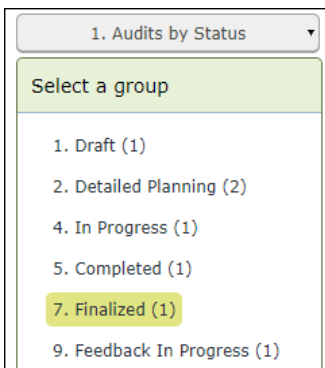4. Locate and open the audit record which has to be finalized.
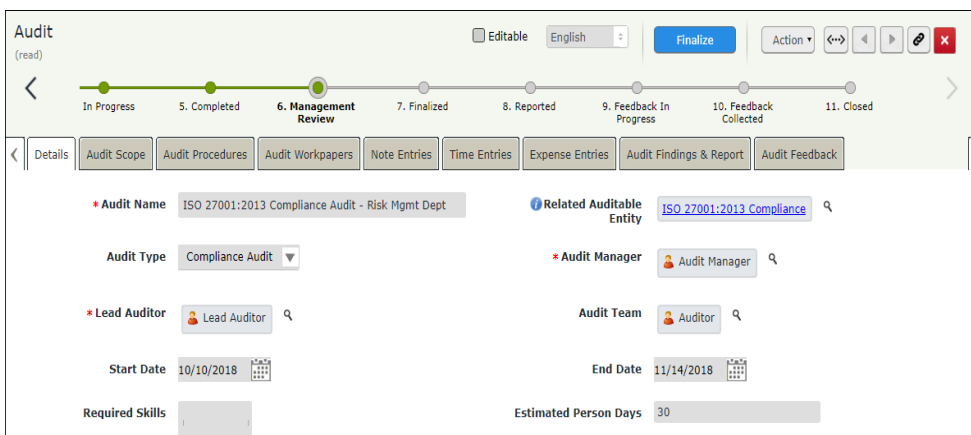
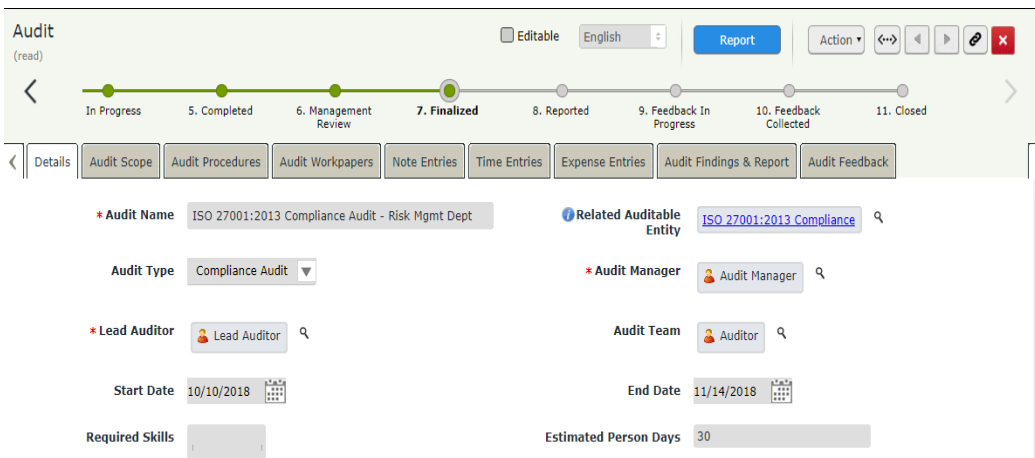The Audit record opens with the **Details** tab selected.

5. Review the information in all the tabs, and if it is satisfactory, click **Finalize**.

The Audit record moves to the **7. Finalized** workflow state.

Step 10b. Reporting on the Audit

1. Sign in as the *Audit Manager*. Enter **Username** as *r_audit_manager* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Audit Navigator**.

3. Click **7. Finalized** in **Select a group**.

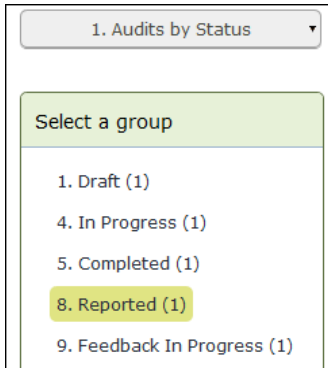4. Locate and open the audit record which has to be reported.

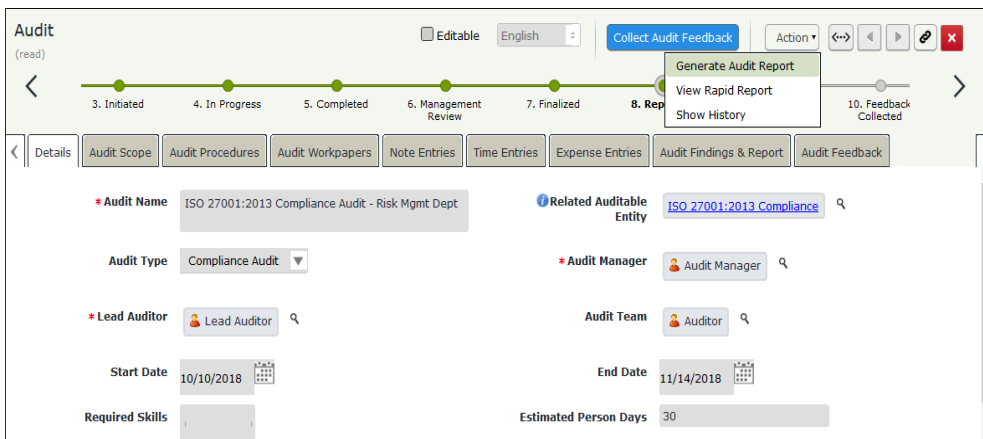The Audit record opens with the **Details** tab selected.

5. Review the information in all the tabs, and if it is satisfactory, click **Report**.

The Audit record moves to the **8. Reported** workflow state.

Step 10c. Generating an Audit Report

1. Sign in as the *Audit Manager*. Enter **Username** as *r_audit_manager* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Audit Navigator**.

3. Click **8. Reported** in **Select a group**.

4. Locate and open the audit record in which the audit report needs to be generated.

   The Audit record opens with the **Details** tab selected.

5. Click **Action** > **Generate Audit Report**.

   The audit report is generated.

Step 11. Collecting Audit Feedback

When the audit record is in the **Reported** workflow state, the audit feedback process can be completed. The following objectives are completed in this step:

a. Initiating the Audit Feedback Process

b. Responding to the Audit Feedback Survey

c. Completing the Audit Feedback Process

Step 11a. Initiating the Audit Feedback Process

1. Sign in as the *Lead Auditor*. Enter **Username** as *r_audit_lead* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Audit Navigator**.

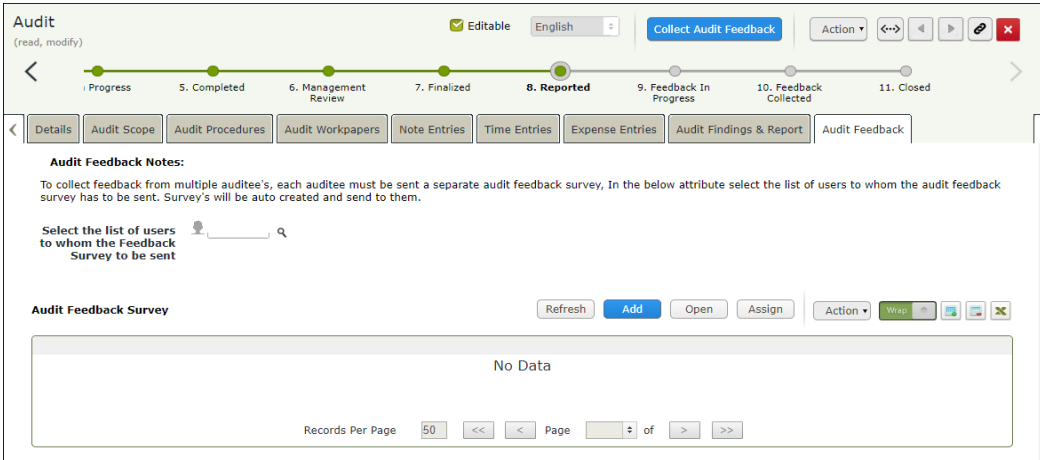3. Click **8. Reported** in **Select a group**.
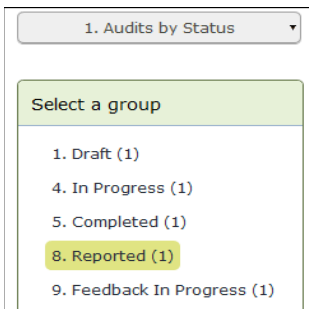
4. Locate and open the audit record in which the audit feedback process needs to be initiated.
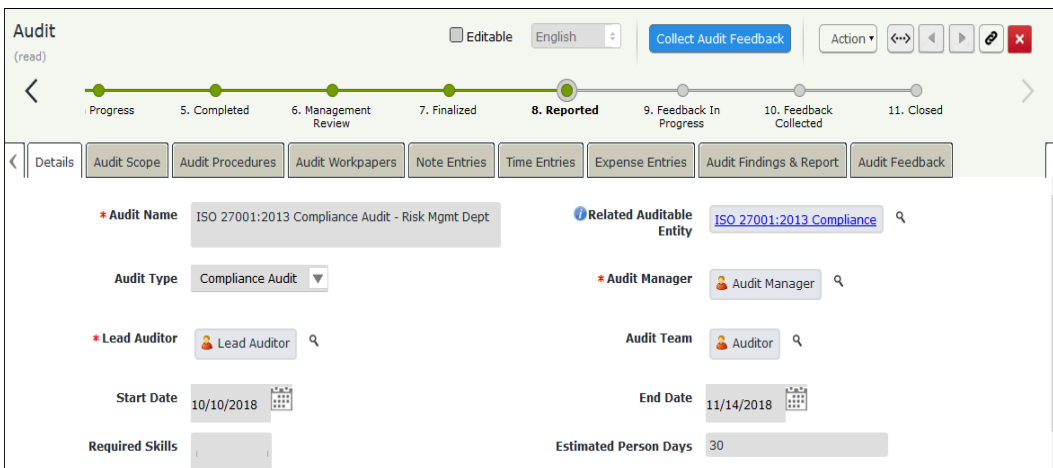
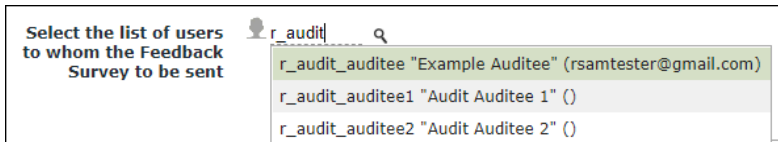The Audit record opens with the **Details** tab selected.

5. Go to the **Audit Feedback** tab.

6. Set the **Select the list of users to whom the Feedback Survey to be sent** field to *r_audit_auditee* user. Use one of the following methods given below:

   **Method I**:

   a. Type *r_audit_auditee* in the **Select the list of users to whom the Feedback Survey to be sent** field. While typing, a list of users matching the string appear.

   b. Select **r_audit_auditee** from the user list.

Method II:

a. Click the [🔍] icon associated with the **Select the list of users to whom the Feedback Survey to be sent** field.

b. In the dialog box that appears, enter *r_audit_auditee* in the search box. The search results display the *r_audit_auditee* user.

c. Select the check box in the *r_audit_auditee* user row and click **Update**.
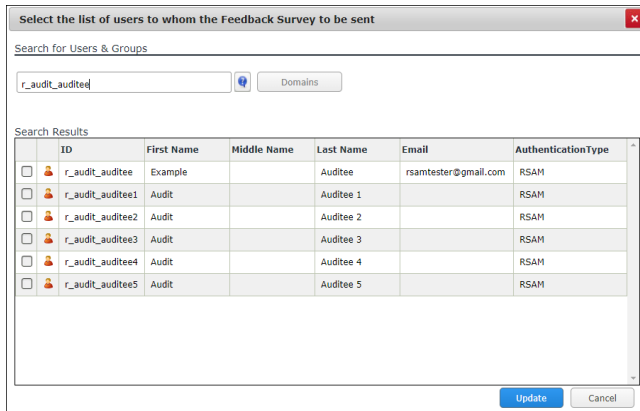
The **Select the list of users to whom the Feedback Survey to be sent** field is set to *r_audit_auditee*.

7. Click **Collect Audit Feedback**.

The Audit record moves to the **9. Feedback in Progress** workflow state.
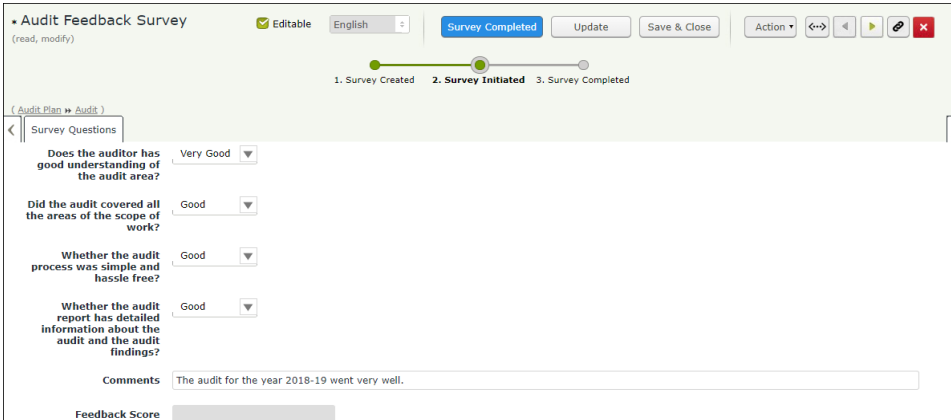
Step 11b. Responding to the Audit Feedback Survey

1. Sign in as the *Auditee*. Enter **Username** as *r_audit_auditee* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Auditee Dashboard**.

3. Under **My Audit Feedback Surveys**, locate and open the survey record to be completed.

The Audit Feedback Survey record opens with the Survey Questions.

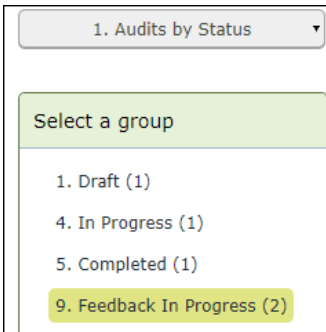4. Fill in all the audit feedback related fields and click **Survey Completed**.

The audit feedback survey record moves out of the **My Audit Feedback Surveys** list.

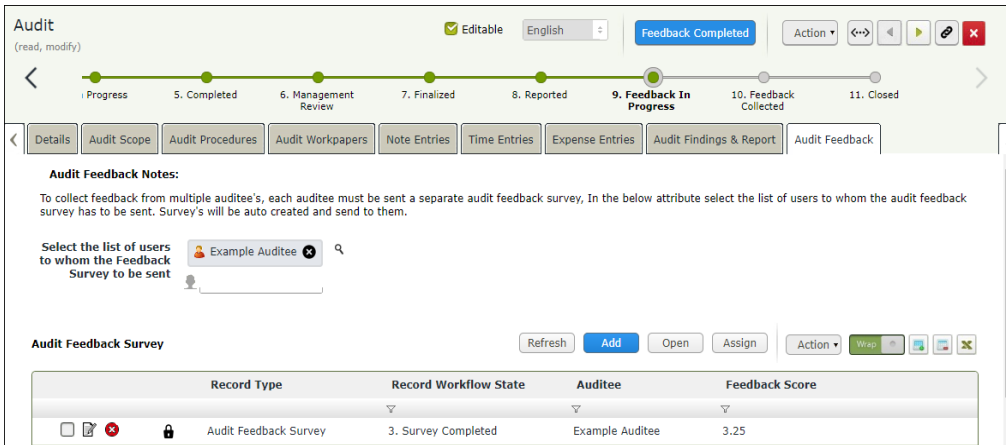5. Repeat the same steps to complete other audit feedback survey records.

Step 11c. Completing the Audit Feedback Process

1. Sign in as the *Lead Auditor*. Enter **Username** as *r_audit_lead* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Audit Navigator**.

3. Click **9. Feedback in Progress** in **Select a group**.

4. Locate and open the audit record in which the audit feedback process needs to be completed. The Audit record opens with the **Details** tab selected.
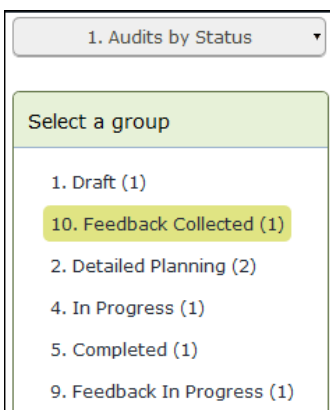
5. Go to the **Audit Feedback** tab.

6. Review the audit feedback survey records, and if they are satisfactory, click **Feedback Completed**.

   The Audit record moves to the **10. Feedback Collected** workflow state.

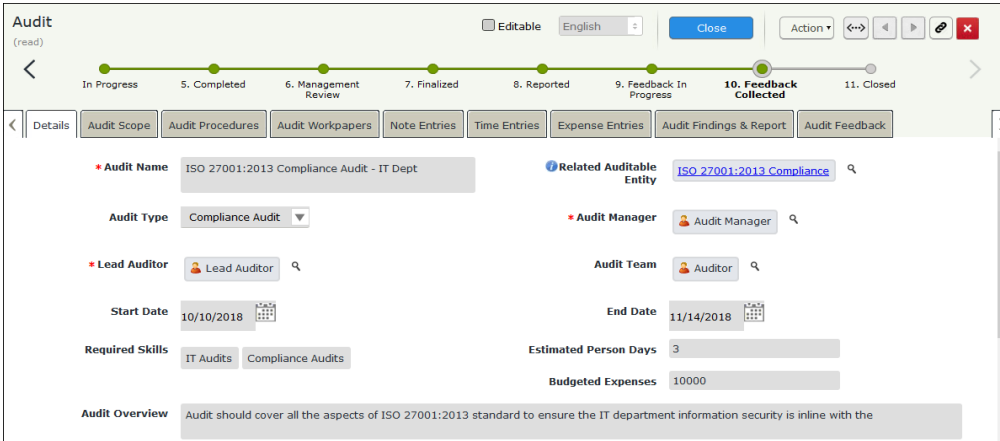7. Repeat the same steps for other audit records to complete the audit feedback process.

Step 12. Closing an Audit

After all the processes under the audit are completed, the audit manager can close the audit. The audit record will be in **10. Feedback Collected** workflow state.

1. Sign in as the *Audit Manager*. Enter **Username** as *r_audit_manager* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Audit Navigator**.

3. Click **10. Feedback Collected** in **Select a group**.

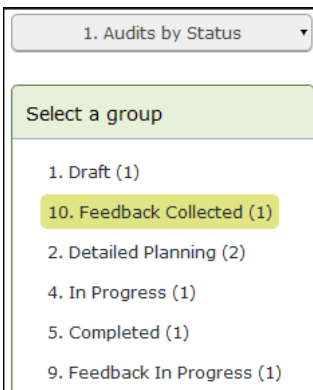4. Locate and open the audit record in which the audit needs to be closed.

The Audit record opens with the **Details** tab selected.

5. Review the information in all the tabs, and if satisfactory, click **Close**.

The Audit record moves to the **11. Closed** workflow state.

6. Repeat the same steps for other audit records to close the audit.

Step 13. Canceling an Audit

At any stage of an ongoing audit, the audit manager can cancel the audit. To cancel an audit, perform the following steps:
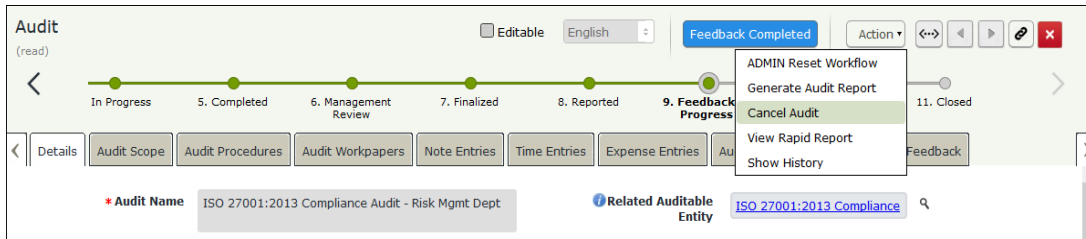
1. Sign in as the *Audit Manager*. Enter **Username** as *r_audit_manager* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Audit Navigator**.

3. Click any option in **Select a group** other than **11. Closed**.

4. Locate and open the audit record in which the audit needs to be canceled.

The Audit record opens with the **Details** tab selected.

5. Click **Action** > **Cancel Audit**.
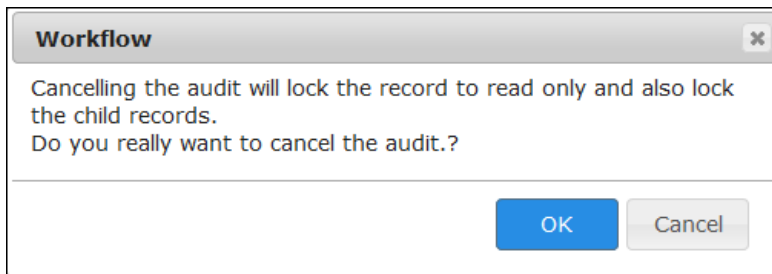
The **Workflow** confirmation dialog box appears.

6. Click **OK**.

7. Enter the justification for canceling the audit and click **OK**.

The Audit record moves to the **12. Cancelled** workflow state.

Part IV: Audit Findings

This section provides a step-by-step procedure to walk you through the findings management process of the Rsam Audit Management module. In the Audit section, you defined the audit details and executed the audit. In this section, you will create a finding and define the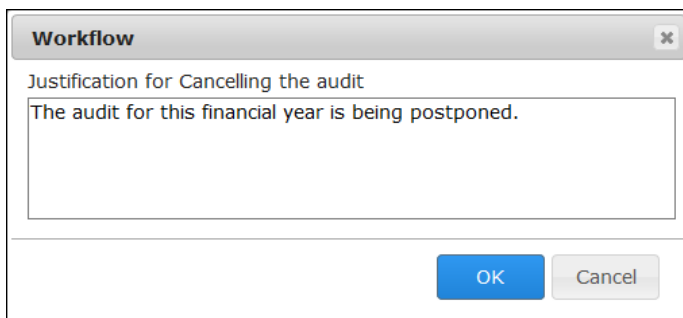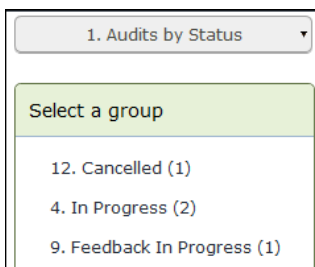 applicability of the finding to the business, review and approve the validity of the finding, and obtain response from the management including the ability to define action items. The following tasks are completed in this section:

1. Creating and Submitting Audit Findings

2. Reviewing Audit Findings

3. Management Response and Creating Action Items

4. Reviewing the Response and Approving the Plan of Action

5. Completing Action Items

6. Audit Finding Approval

Step 1. Creating and Submitting Audit Findings

The steps to create an audit finding have been covered in Step 7c. Creating Audit Findings of the Audit section. In this task, you will log in to Rsam as the *Auditor* to create findings independent of the audit execution and submit those findings to the management.

1. Sign in as the *Auditor*. Enter **Username** as *r_audit_auditor* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Audit Navigator**.

   The audit navigator page appears with **1. Audits by Status** selected.

3. Click **4. In Progress** in **Select a group**.

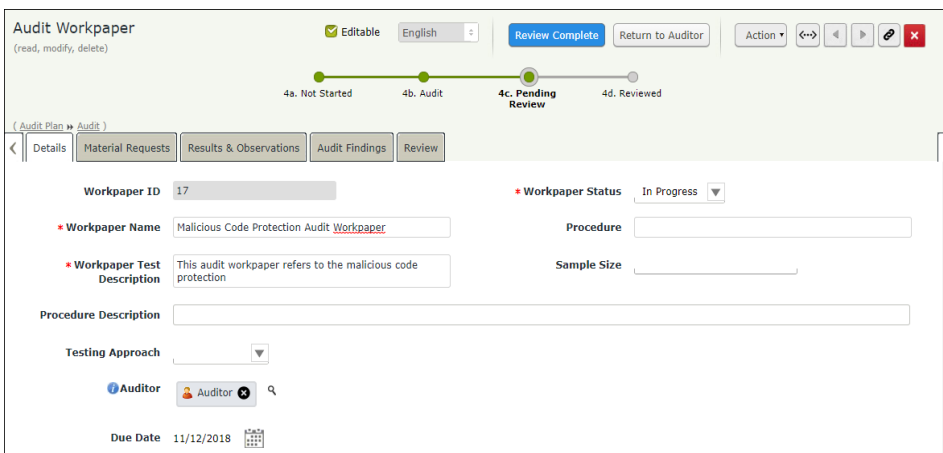   The audit records in the **4. In Progress** workflow state appear.

4. Use one of the following methods to open the audit record:

   - Double-click the audit record

   - Select the audit record, and then click **Open**.

   - Click the [icon] icon in the audit record row.

   The Audit record opens with the **Details** tab selected.

5. Click the **Audit Workpapers** tab.

6. Locate and open the audit workpaper record in which you want to create an audit finding.

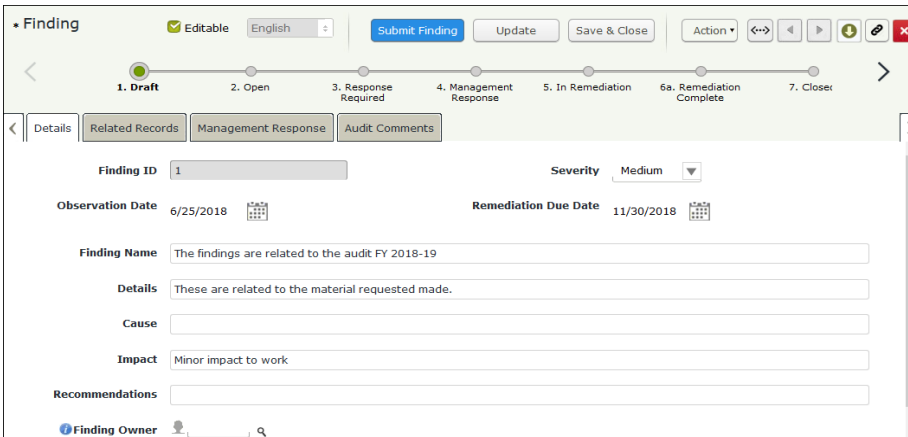   The Audit Workpaper record opens with the **Details** tab selected.
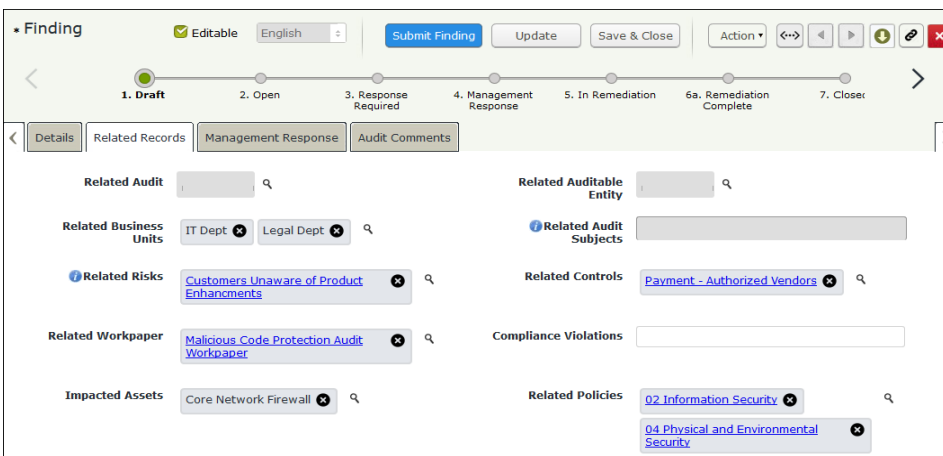
7. Go to the **Audit Findings** tab.

8. Under **Finding**, click **Add**.

   The **Finding (new)** record opens with the **Details** tab selected.

9. In the **Details** tab, fill in all the audit finding related fields.

10. Go to the **Related Records** tab, and fill in all the required fields.

11. Click **Save & Close**.

A new Finding record is created.

Note: The Finding record in the **1. Draft** workflow state will move automatically to **2. Open** workflow state when the audit workpaper is submitted for review.

12. If you want to directly submit the findings to the management, open the Finding record and click **Submit Findings**.

The Finding record moves to **3. Response Required** workflow state.

Step 2: Reviewing Audit Findings

This task describes the review and validation procedure of identified findings. The out-of-box Findings Management workflow allows the *Findings Manager* to review and validate the findings. Valid findings are submitted to management for obtaining a response and plan of action. Findings that are considered to be Inconsequential do not require a response from management.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Audit Management module.

2. Sign in as the *Findings Manager*. Enter **Username** as *r_audit_fm* and **Password** as *password*.

3. In the navigation panel on the left, click **Audit Management**> **Findings Management**.

4. Click the findings chart.
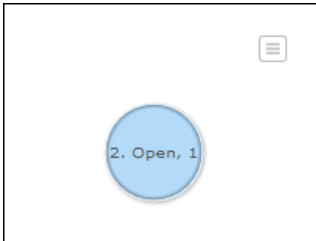
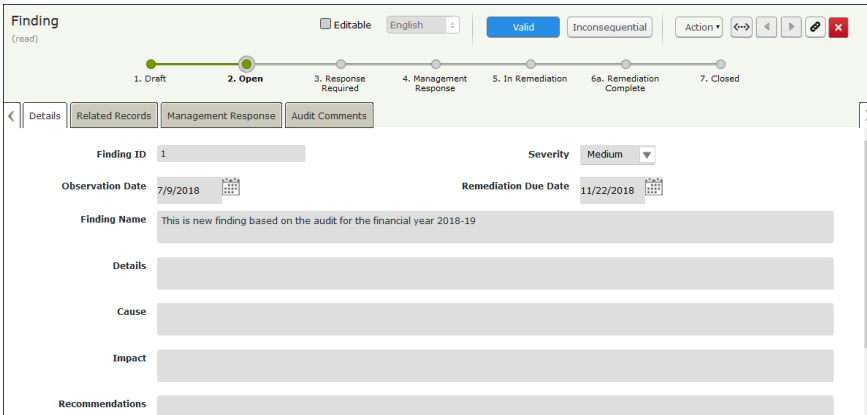   The Finding records appear grouped by the workflow state.

5. Click **2. Open** in **Select a group**

6. Locate and open the finding record you want to review.
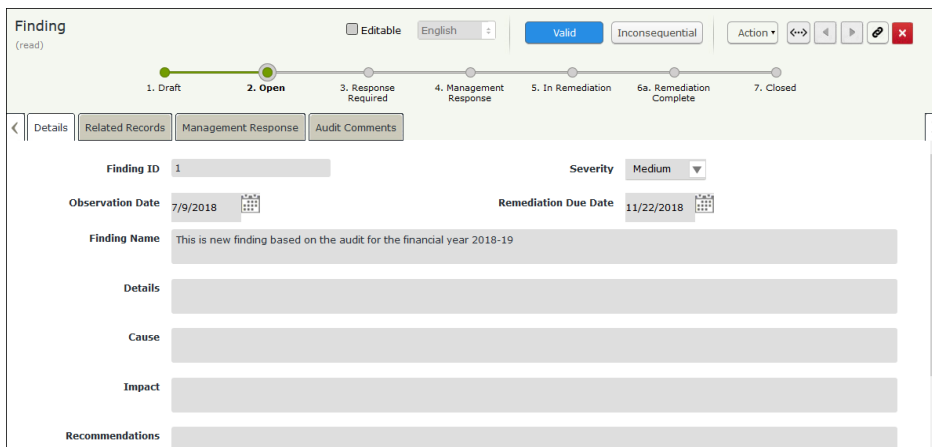
   The Finding record opens with the **Details** tab selected.

7. Navigate to each tab and review the information, and if the information is satisfactory, click **Valid**.


The Finding record moves to the **3. Response Required** workflow state.

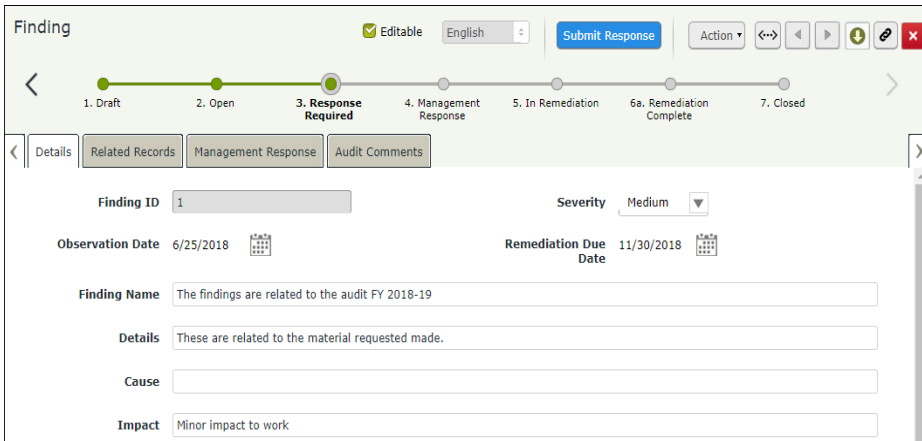# Step 3. Management Response and Creating Action Items

This task highlights the ability to automate the collaboration between those responsible for creating the findings and those in the business that provide the management response. You will log in either as *Auditee* or *Audit Coordinator* to respond to the findings and create action items. The credentials of an *Auditee* have been used in the following task.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Audit Management module.

2. Sign in as the *Auditee*. Enter **Username** as *r_audit_auditee* and **Password** as *password*.

3. In navigation panel on the left, click **Audit Management** > **Auditee Dashboard**.

4. Under **Open Findings**, click the chart which is in the **3. Response Required** workflow state.
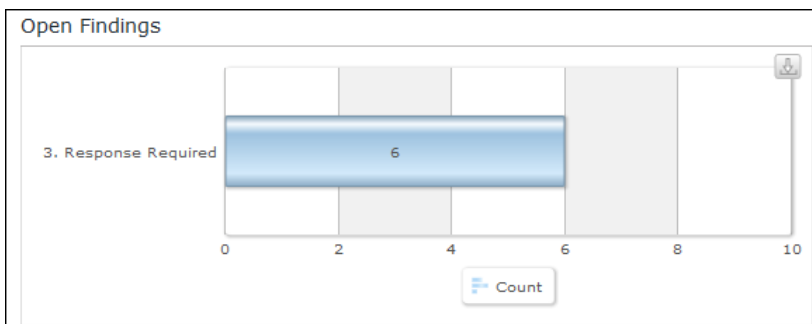
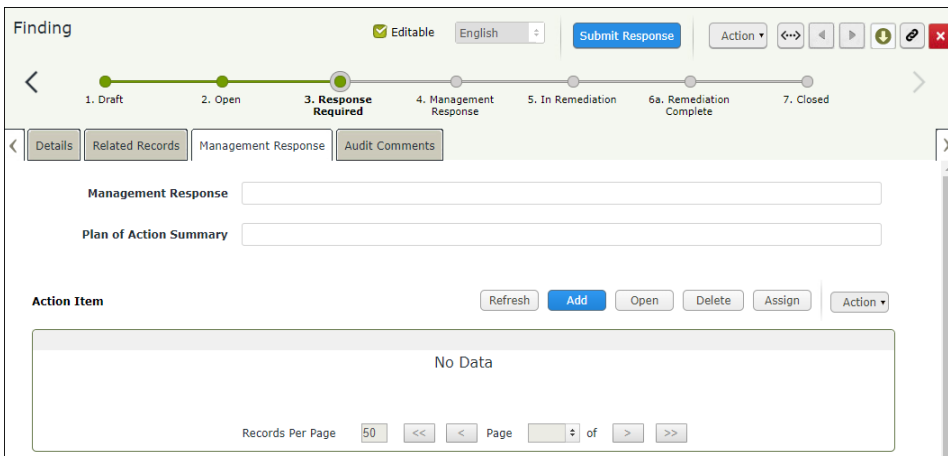The finding record list appears grouped by the workflow states.

5. Locate and open the finding record in which you want send the management response.
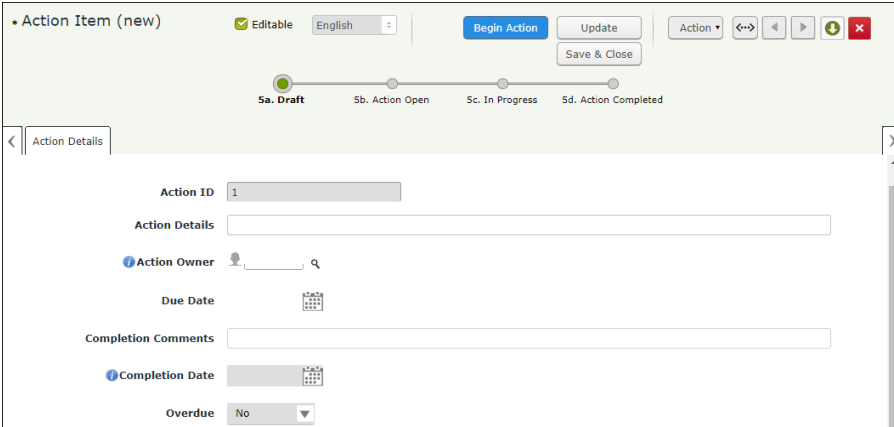

The Finding record opens with the **Details** tab selected.

6. Go to the **Management Response** tab and fill in the **Management Response** and **Plan of Action Summary** fields.

7. Under **Action Item**, click **Add**.

8. In the **Action Details** tab, fill in all the action item related fields.


> **Note**: Completing the **Action Owner** attribute is optional. If you assign an owner, Rsam will send an email to the owner notifying that an action item has been assigned.

9. Click **Begin Action**.

   The action item record moves to the **5c. In Progress** workflow state

10. Click **Submit Response**.

    The finding record moves to the **4. Management Response** workflow state.
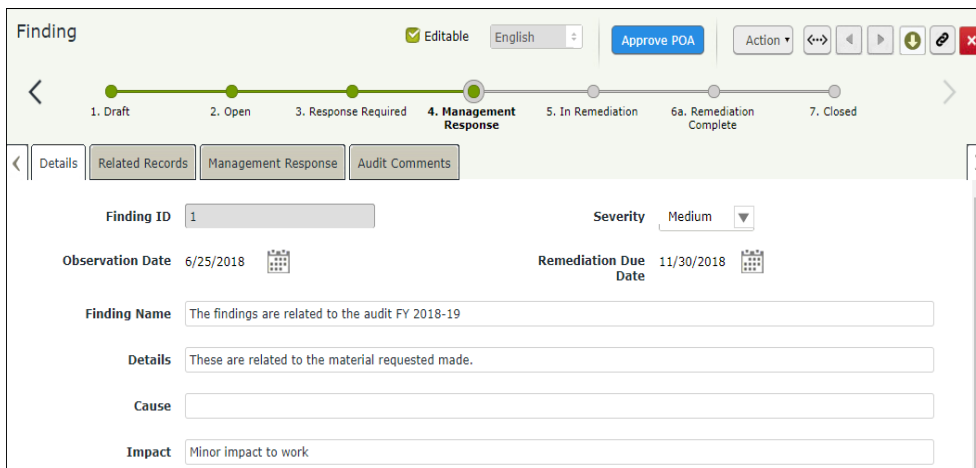
Step 4. Reviewing the Response and Approving the Plan of Action

Following the submission of response from the management to the finding, the *Findings Manager* (or alternatively the *Audit Manager*) will review and approve the response and the defined plan of action.

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Audit Management module.

2. Sign in as the *Findings Manager* user. Enter **Username** as *r_audit_fm* and **Password** as *password*.

3. In the navigation panel on the left, click **Audit Management** > **Findings Management**.
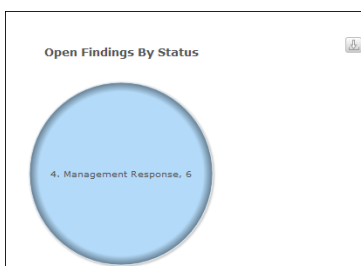
4. Click anywhere on the **Open Findings By Status** chart.

5. Locate and open the finding record that you want to review.
   The Finding record opens with the **Details** tab selected.

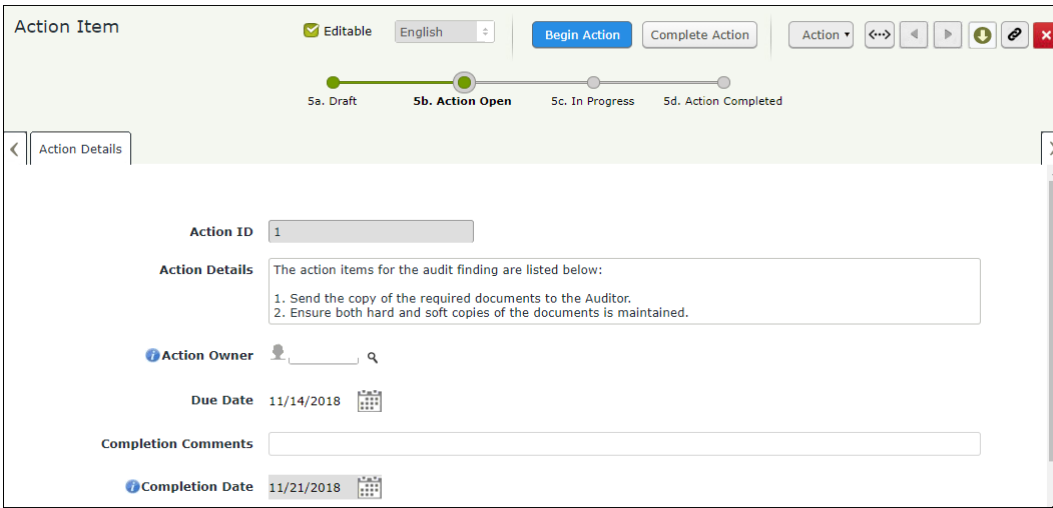6. Review the information in all the tabs, and if it is satisfactory, click **Approve POA**.

The finding record moves to the **5. In Remediation** workflow state, and the action item record moves to the **5b. Action Open** workflow state.

Step 5. Completing Action Items

In this task, you will log in as the *Auditee* and move the action item records to **5d. Action Completed** workflow state.

1. Sign in as the *Auditee*. Enter **Username** as *r_audit_auditee* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit Management** > **Findings Management**.

3. Locate and open the finding record which is in **5. In Remediation** workflow state.
   The finding record opens with the **Details** tab selected.

4. Go to the **Management Response** tab and open the Action Item record to be completed.
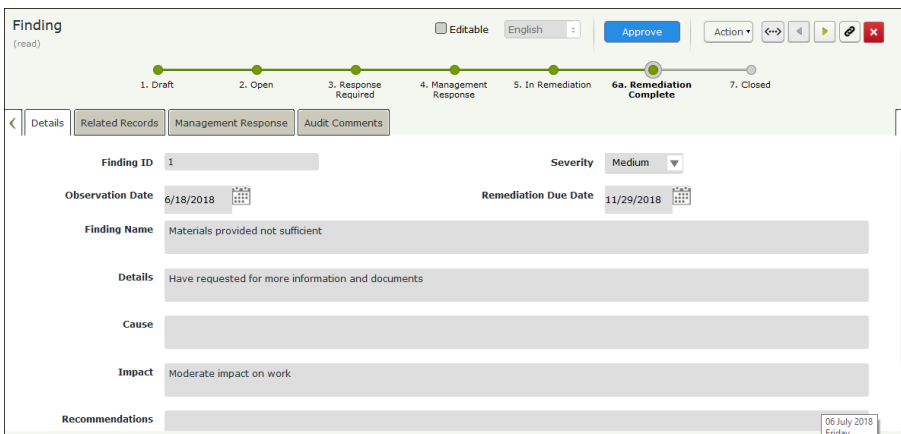

The Action Item record opens with the **Action Details** tab.

5. Click **Begin Action**.

   The Action Item record moves to the **5c. In Progress** workflow state.

6. Repeat the same steps to move other action item records to **5c. In Progress** workflow state.

7. Locate and open the action item record which is in the **5c. In Progress** workflow state.

8. Fill in the **Completion Comments** field.

9. Click **Complete Action**.

   The Action Item record moves to the **5d. Action Completed** workflow state.

10. Repeat the same steps to move other action item records to **5d. Action Completed** workflow state.

    After all the action item records are moved to the **5d. Action Completed** workflow state, the finding record will move automatically to the **6a. Remediation Complete** workflow state.

Step 6. Audit Finding Approval

In this task, you will log in as the *Findings Manager* and review and approve the findings.

1. Sign in as the *Findings Manager*. Enter **Username** as *r_audit_fm* and **Password** as *password*.

2. In the navigation panel on the left, click **Audit** > **Findings Management**.

3. Locate and open the finding record which is in **6a. Remediation Complete** workflow state. The Finding record opens with the **Details** tab selected.

4. Review the information in all the tabs, and if it is satisfactory, click **Approve**.

The Finding record moves to the **7. Closed** workflow state, and will no longer appear in the Finding chart or list.

Appendix 1: Email Notifications and Offline Decision Making

Setting up Email Addresses

This module is configured to send automated email notifications at specific points in the workflow. In a production system, email addresses are usually gathered automatically using an LDAP server or a directory service. However, the email addresses in your Rsam instance can be manually provided for testing purposes.

To manually provide the email addresses, perform the following steps:

1. Open an Rsam supported browser and enter the URL of your Rsam instance containing the Audit Management module.

2. Sign in as *r_admin* user. Enter **Username** as *r_admin* and **Password** as *password*.

3. Navigate to **Manage** > **Users/Groups**.

4. Double-click a user row to open the details.

5. Provide an email address in the **eMail ID** attribute.
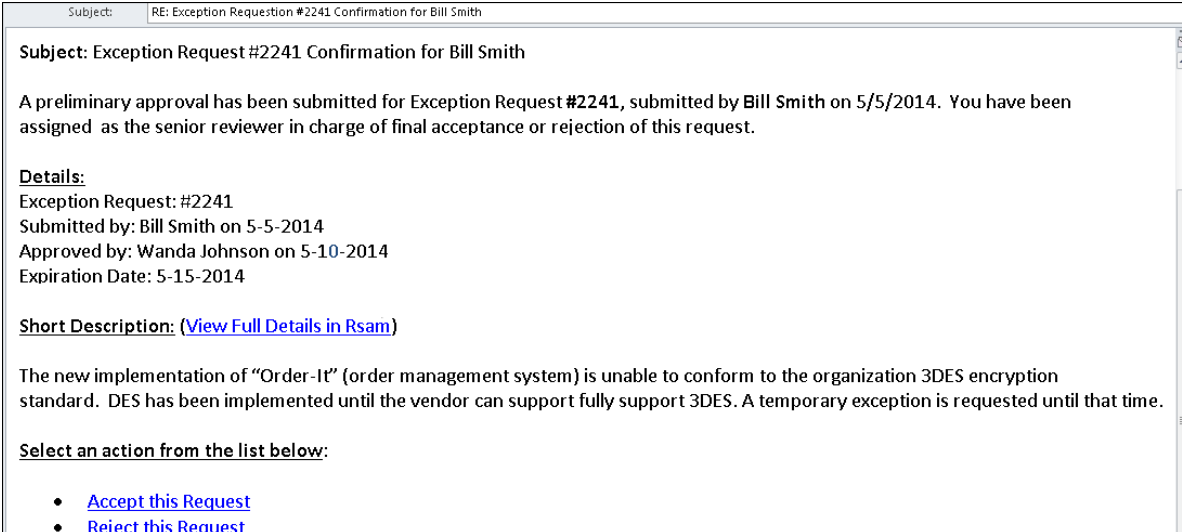
6. Click **OK**.

   The email address of the user account is saved.

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: Rsam Documentation

Audit Management Baseline Configuration Guide

To learn more about the pre-configurations in the Audit Management, refer the *Audit Management Baseline Configuration Guide*. You should have received the *Audit Management Baseline Configuration Guide* along with the Audit Management sandbox. If not, please contact your Rsam Customer Representative to obtain an electronic copy of the *Audit Management Baseline Configuration Guide*.

Online Help

This tutorial provides the step-by-step instructions for the Rsam Audit Management module. 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.