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Audit Services

TeamCentral

Contact User Manual

Audit Services

11/2/2012

This user manual is intended to assist TeamCentral Contacts navigate the system when there are pending issues. Please Contact Audit Services with questions or suggestions to improve this document.

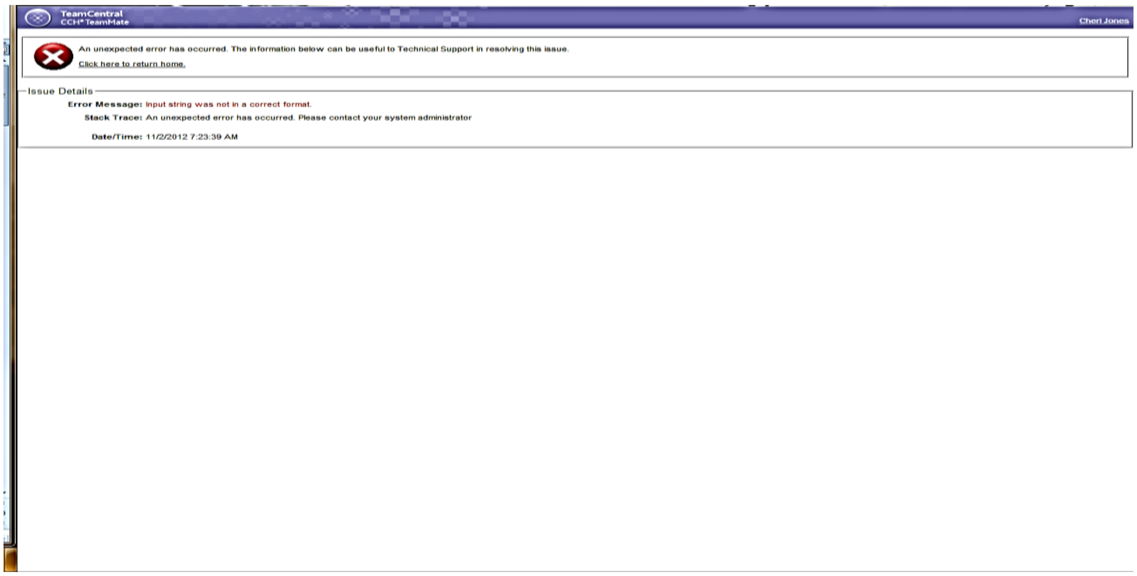
TeamCentral User Manual

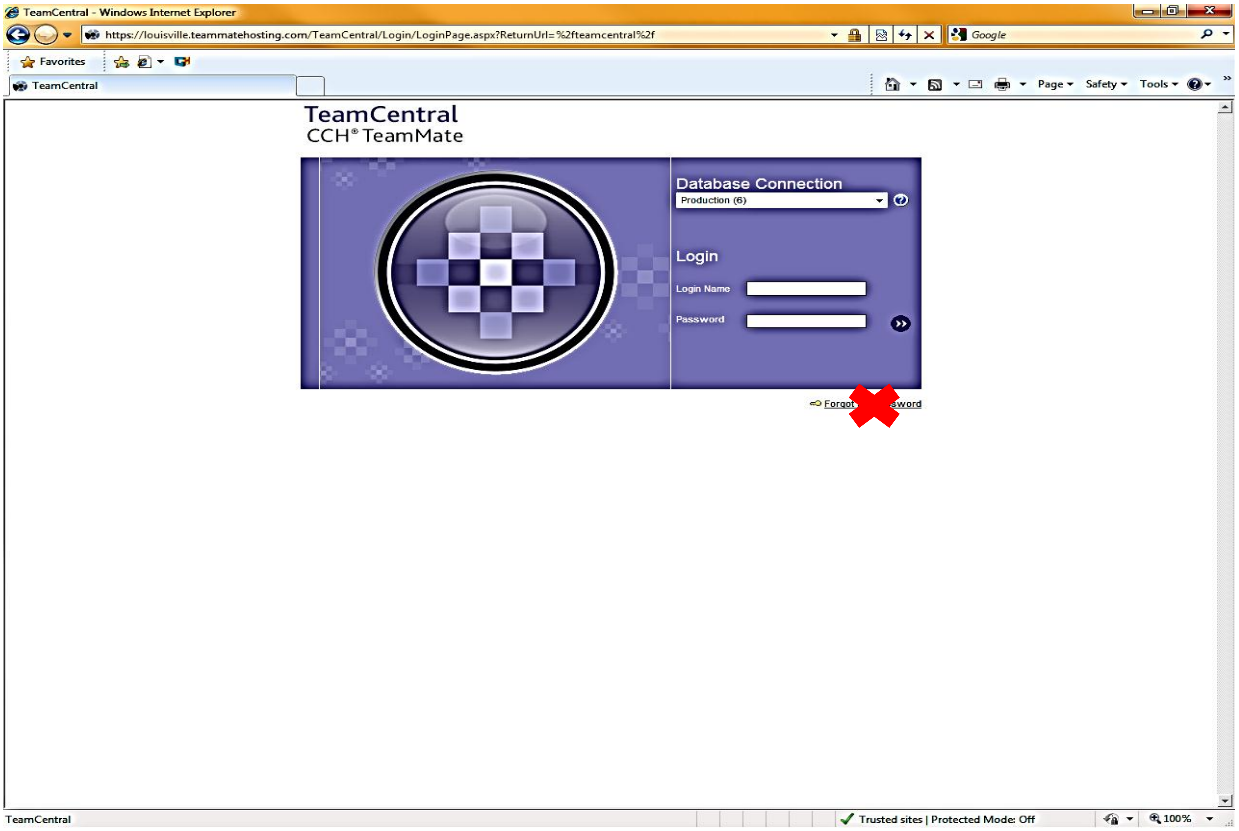
Logging Onto TeamCentral

Using Microsoft IE, navigate to https://louisville.teammatehosting.com/teamcentral

<u>WARNING</u>: **<u>At the current time TeamCentral can only be accessed with Microsoft IE</u>**.

If you are unable to sign in or if you get the following error message when you try to open an issue, please check your browser and make sure you are not using Apple Safari, Opera, Dolphin (iPad or iPhone), Google Chrome, or Mozilla Firefox.



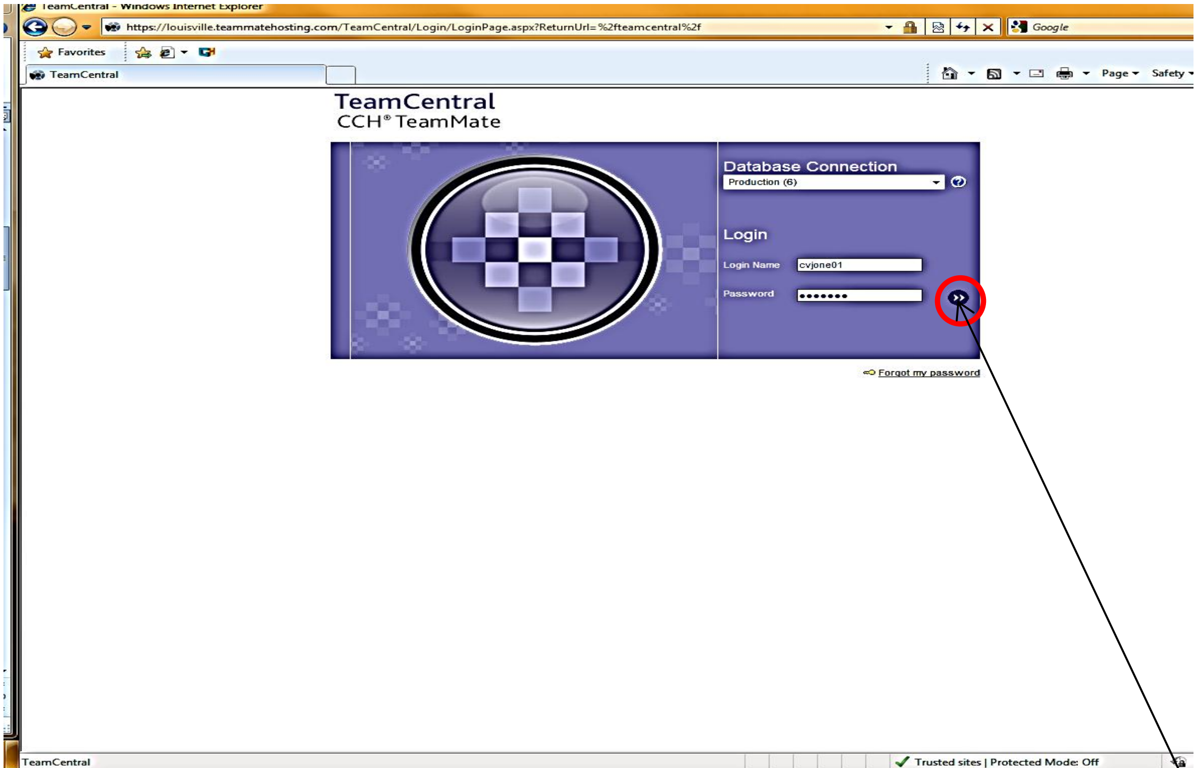


You will receive a login name and temporary password by email when you are given access to the database. You should be prompted to change your password the first time you sign in.

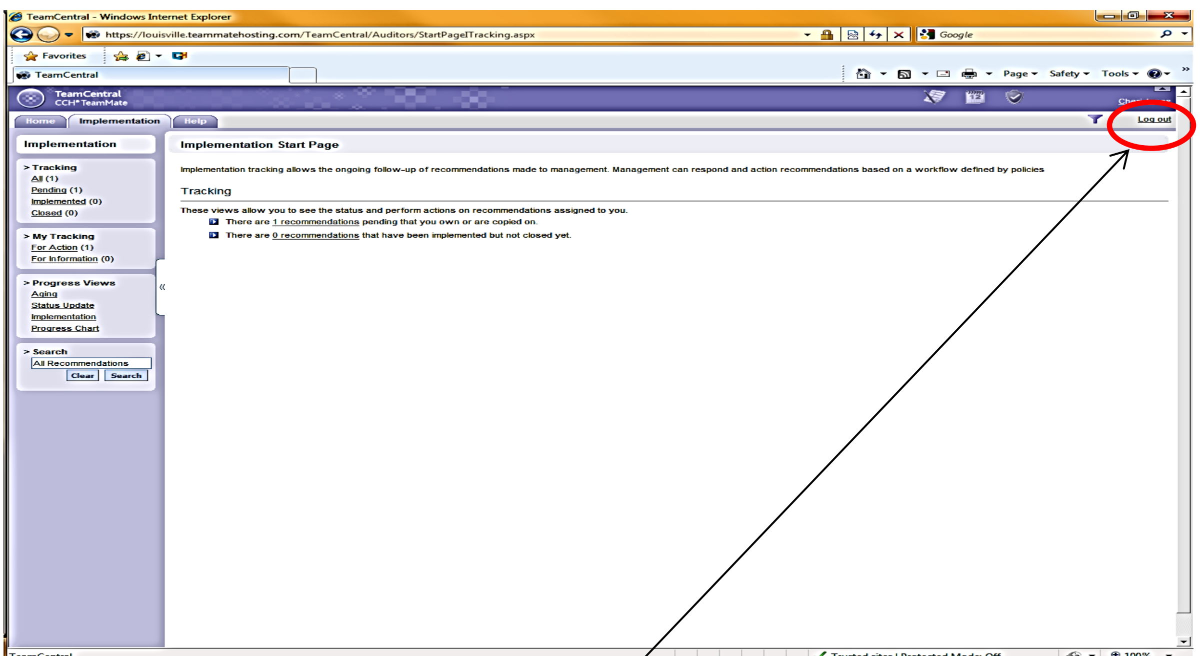
If you forget your password, please contact Audit Services and your password will be reset. DO NOT USE THE "Forgot my password" option on this screen.

Once you have successfully logged in you can change your password at any time. At this time the passwords are NOT synchronized with your UofL ULink Password.

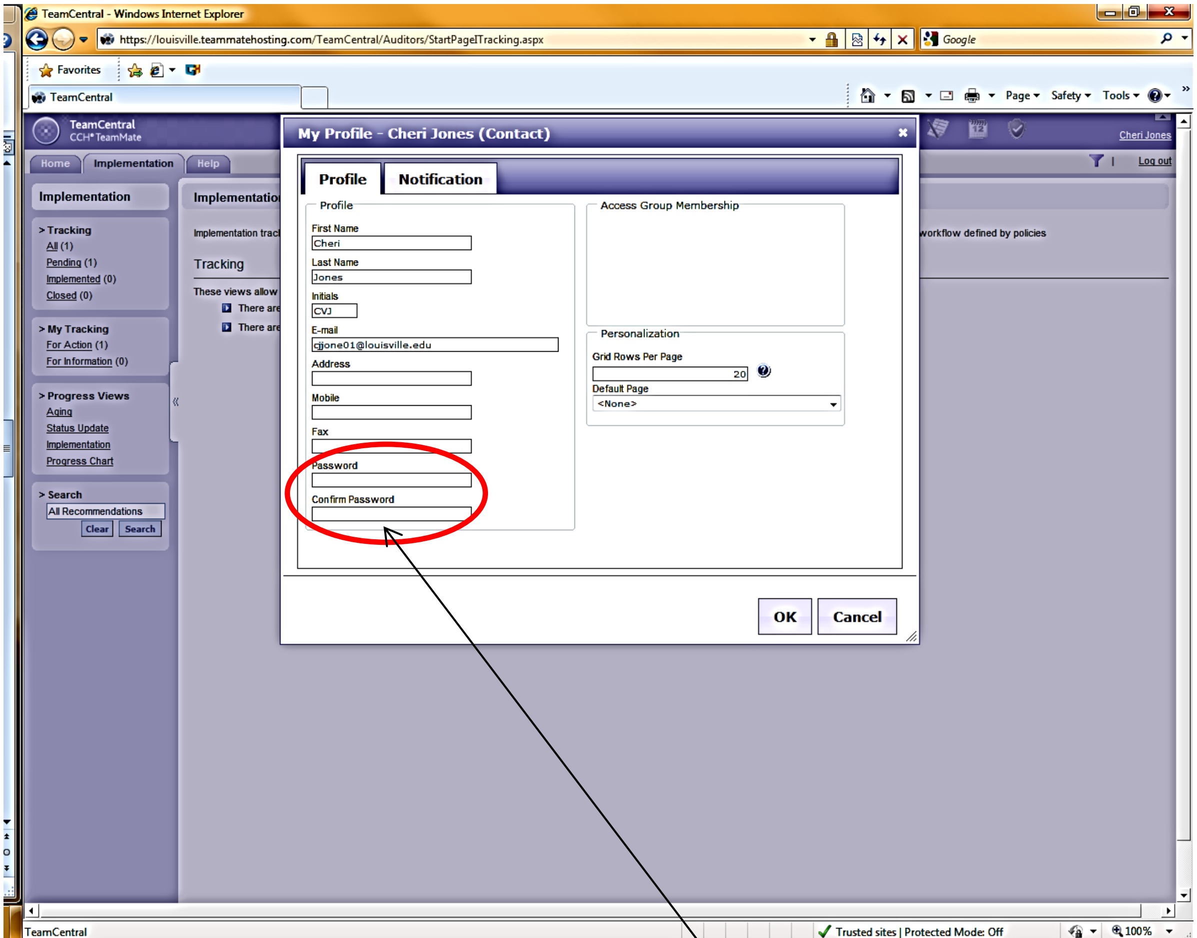
To change your password:



Enter your login name and password. Either hit your enter key or click the double arrow icon.



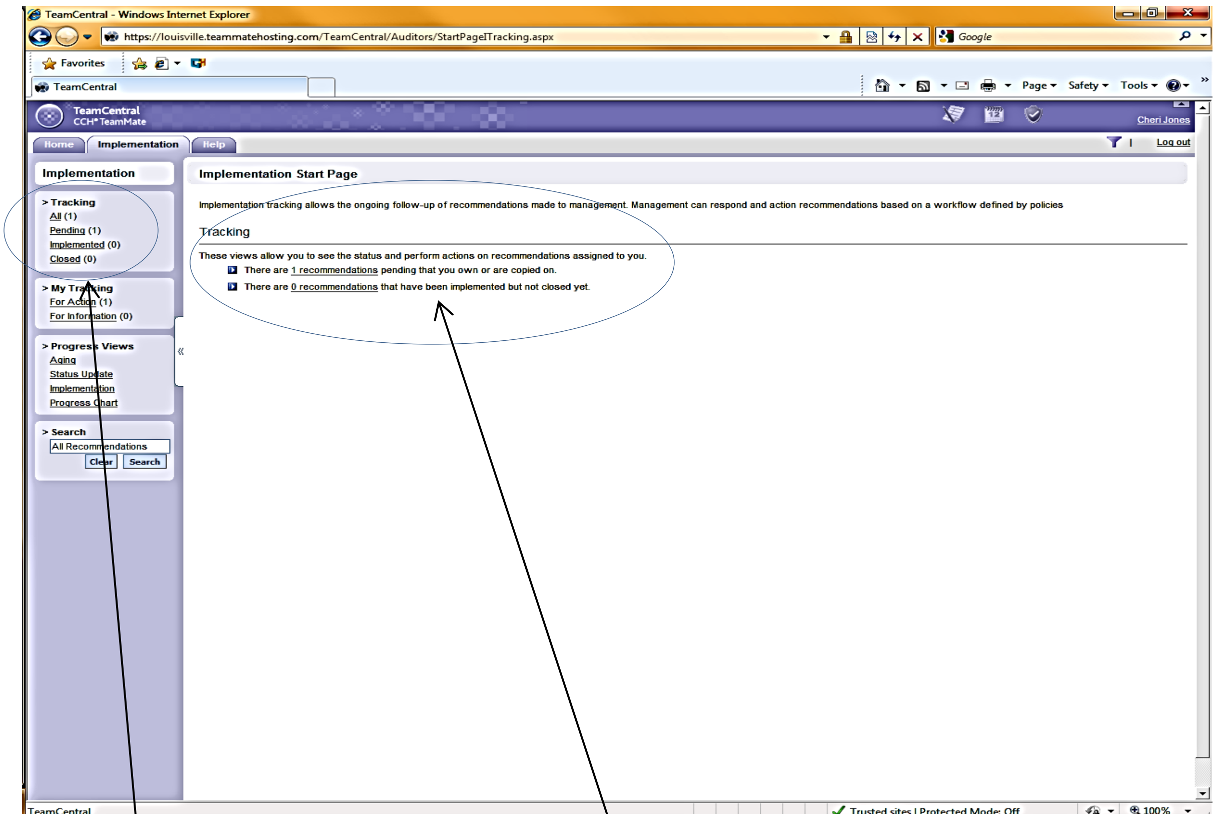
Click on your name in the upper right corner



This brings up your profile which allows you to manage your information, including the email address that you would like notifications to be sent to, your name, any telephone numbers and addresses you would like in the database, and your passwords. Click OK to save.

Status or Implementation Updates

Approximately 7 days before an issue's target implementation or revised implementation date, you will receive an email asking you to update the issue in TeamCentral. To update the issue, sign onto TeamCentral as described above.



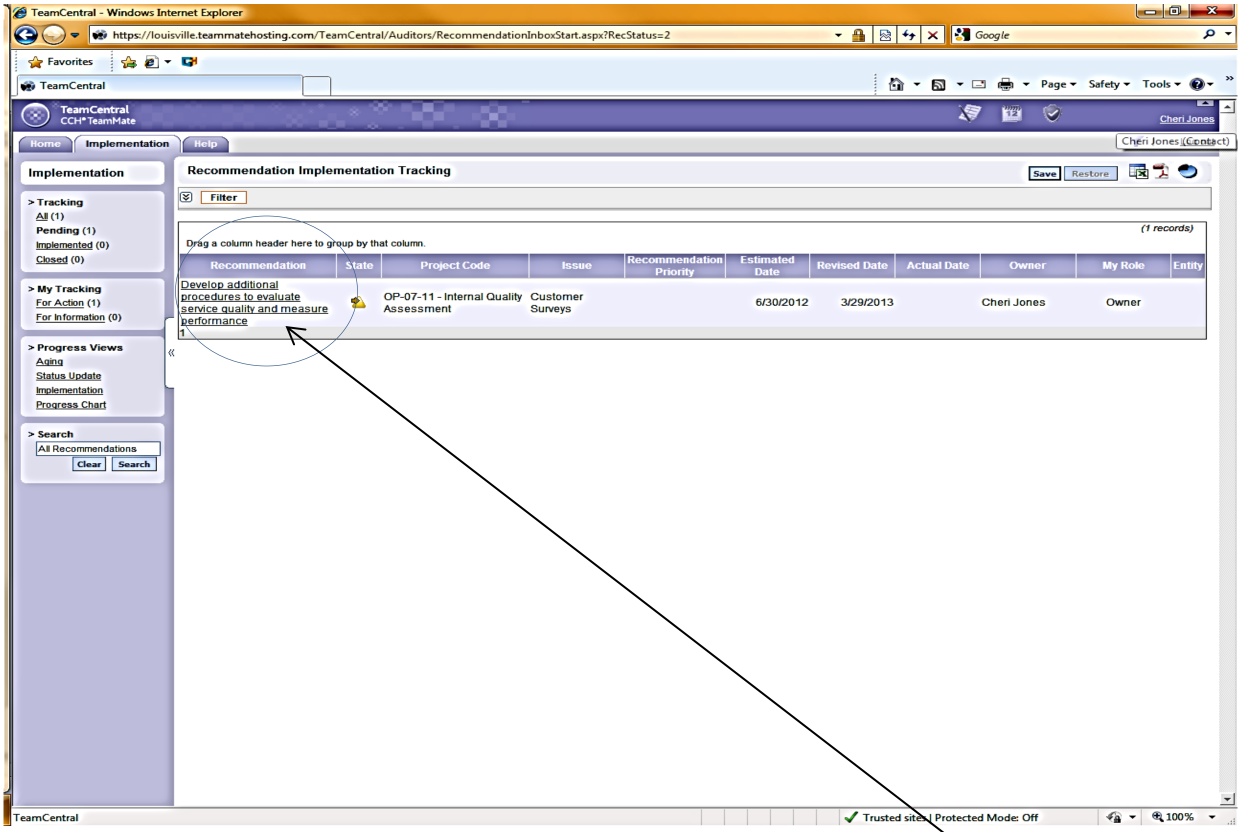
The email will include a link to the specific issue that is due. Or you can log onto TeamCentral and navigate to the issue through this screen. The navigation options are:

On the left navigation pane:

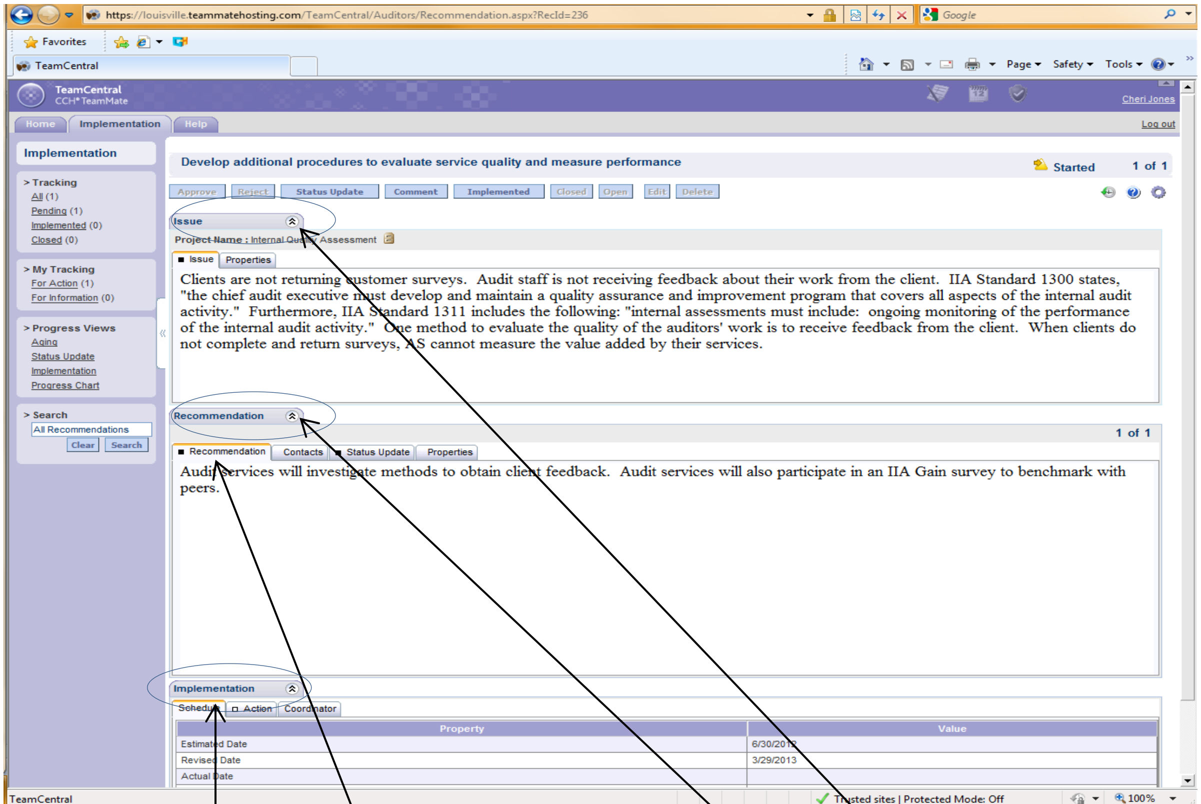
>Tracking:
All – All issues regardless of status for which you have been granted access
Pending – Issues that are open
Implemented – Issues that have been reported as implemented. These issues are waiting approval by the Final Approver, if designated, and Audit Services
Closed – These issues have been closed by Audit Services and no further action is needed. They are retained for historical purposes.

You can also get to your issue from the center of the screen

Click on the pending option:



Find the issue that requires updating and double click on the recommendation.



The issue and action plan (called recommendation here) as they appeared in the issued audit report will appear.

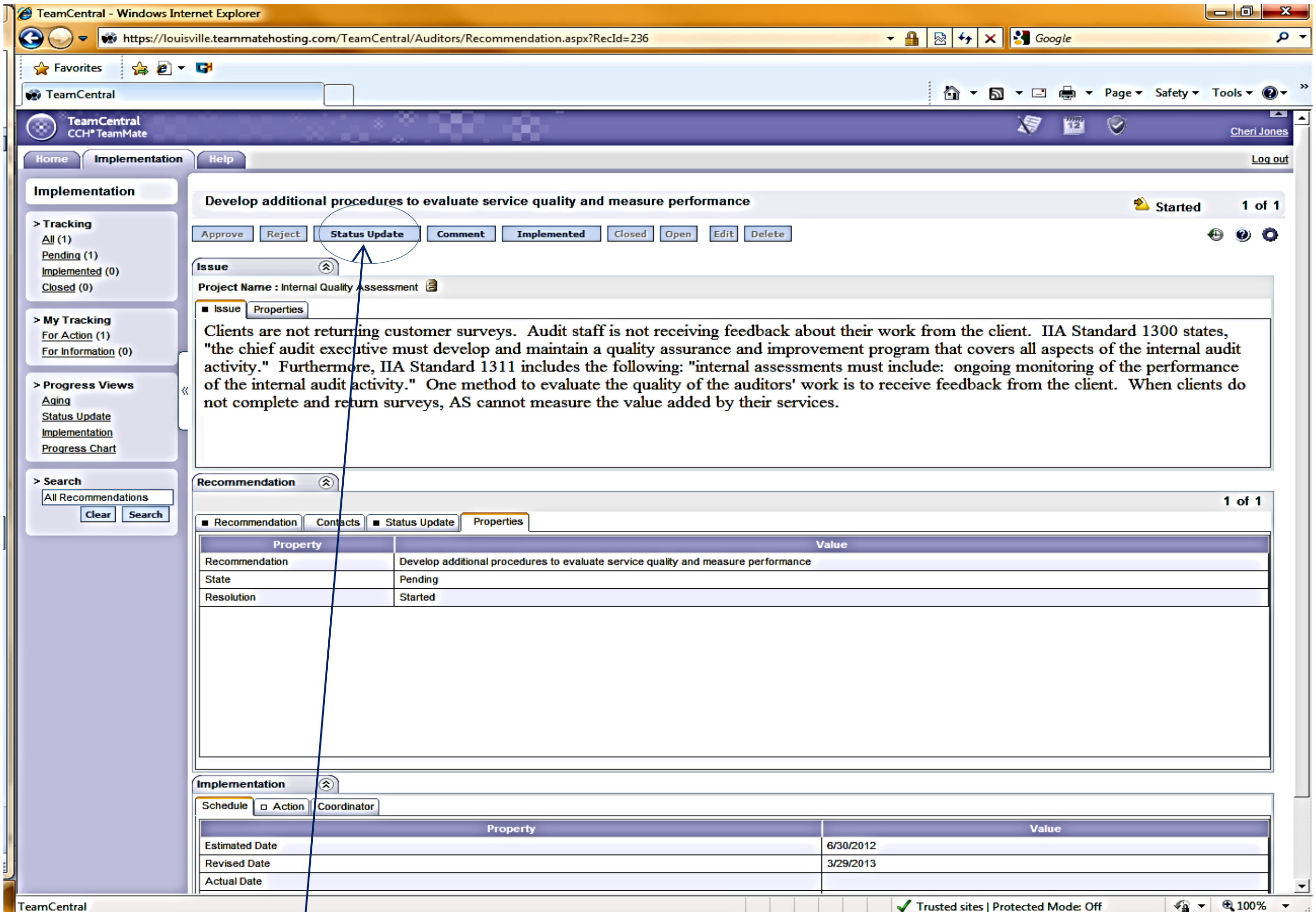
Issue: This is the issue as it appeared in the report. If you cannot see the issue, click on the double arrow and it will appear.

Recommendation: The action plan and the most recently submitted updates. If you cannot see the recommendation section, first make sure the double arrows point upward as they are here, then click on the recommendation tab.

The recommendation section has 4 tabs:
Recommendation – the action plan as it appeared in the report.
Contacts – Department management who have access to this issue and the roles assigned.
Status Update – The last status update comments submitted
Properties – The action plan name, status, and resolution state. Newer issues will also have the issue priority listed here.

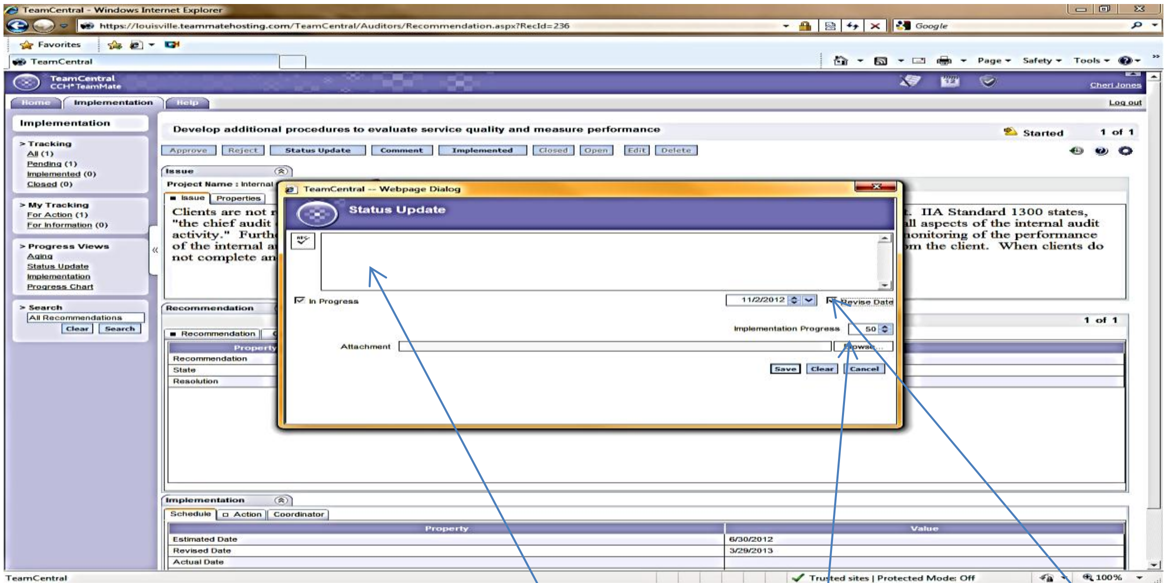
Implementation:
Schedule – The original target implementation date (called the Estimated Date), the current revised implementation date (if applicable), and the actual date action plan was implemented. The other tabs are not used at UofL.
Action – The comment entered when the action plan was reported as implemented.
Coordinator – Tab is not used.

Submit a Status Update



If the Target Implementation Date has been reached, but the action plan has not been implemented:

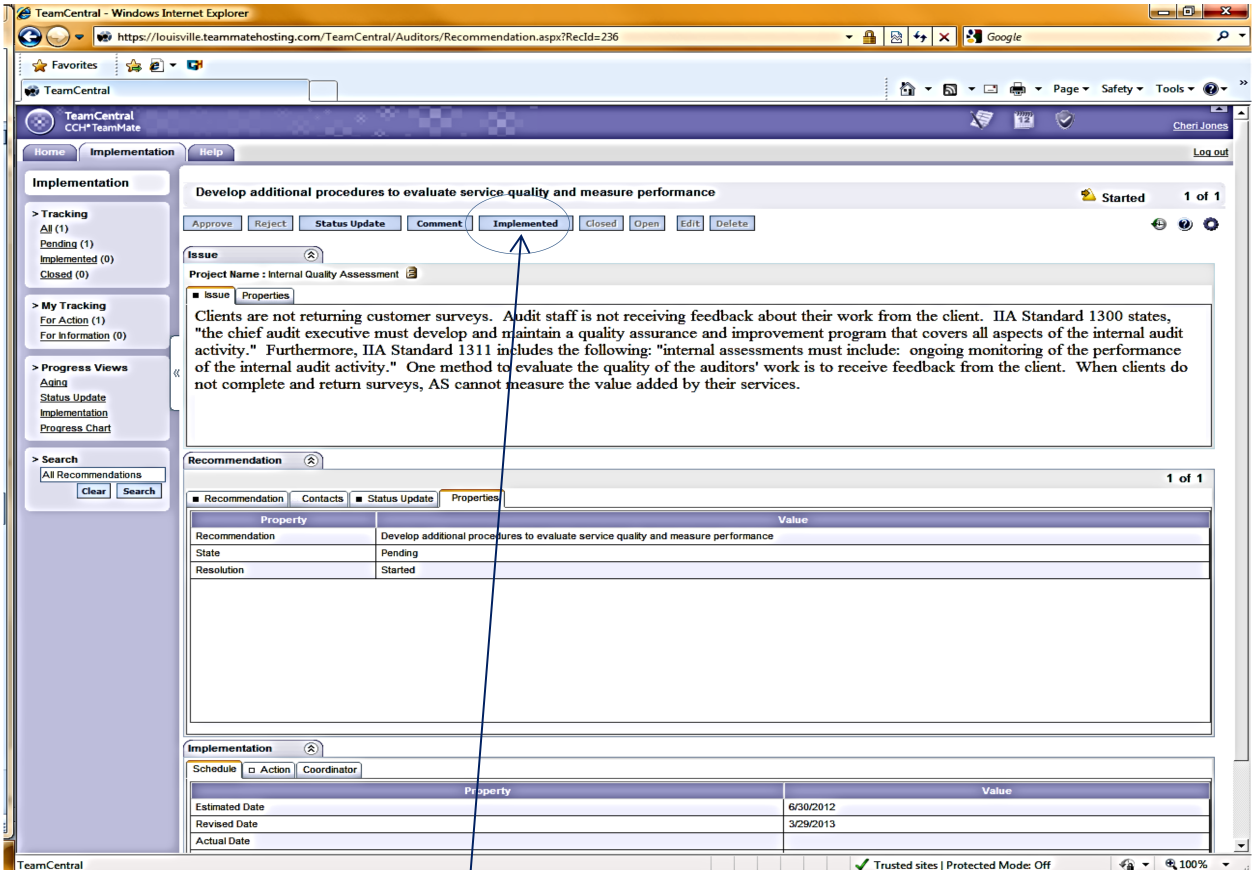
Click on Status Update



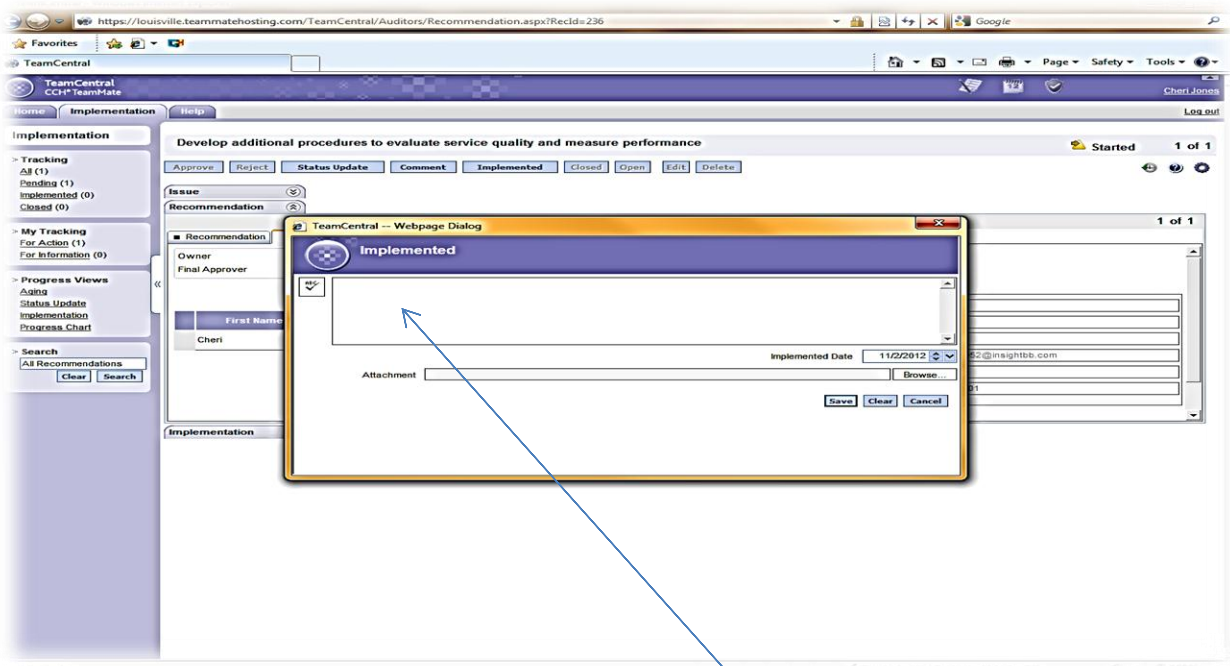
Type the update in the Webpage Dialog box. Make sure to check the Revise Date box, and use the drop down calendar feature to enter a new target implementation date. You can enter an estimate for the implementation progress if you like (it is not required). If you what to attach a document (draft policy, contract, etc.), click the Browse button and navigate to the document and click open. This will attach it to the database. Click SAVE.

NOTE: IF YOU NEED TO EDIT YOUR UPDATE, YOU MUST DO SO BEFORE YOU CLICK SAVE. AFTER YOU CLICK SAVE, YOU MUST RE-ENTER ALL INFORMATION.

Implementing the Action Plan



Click on the implementation button. A web dialog box will appear.



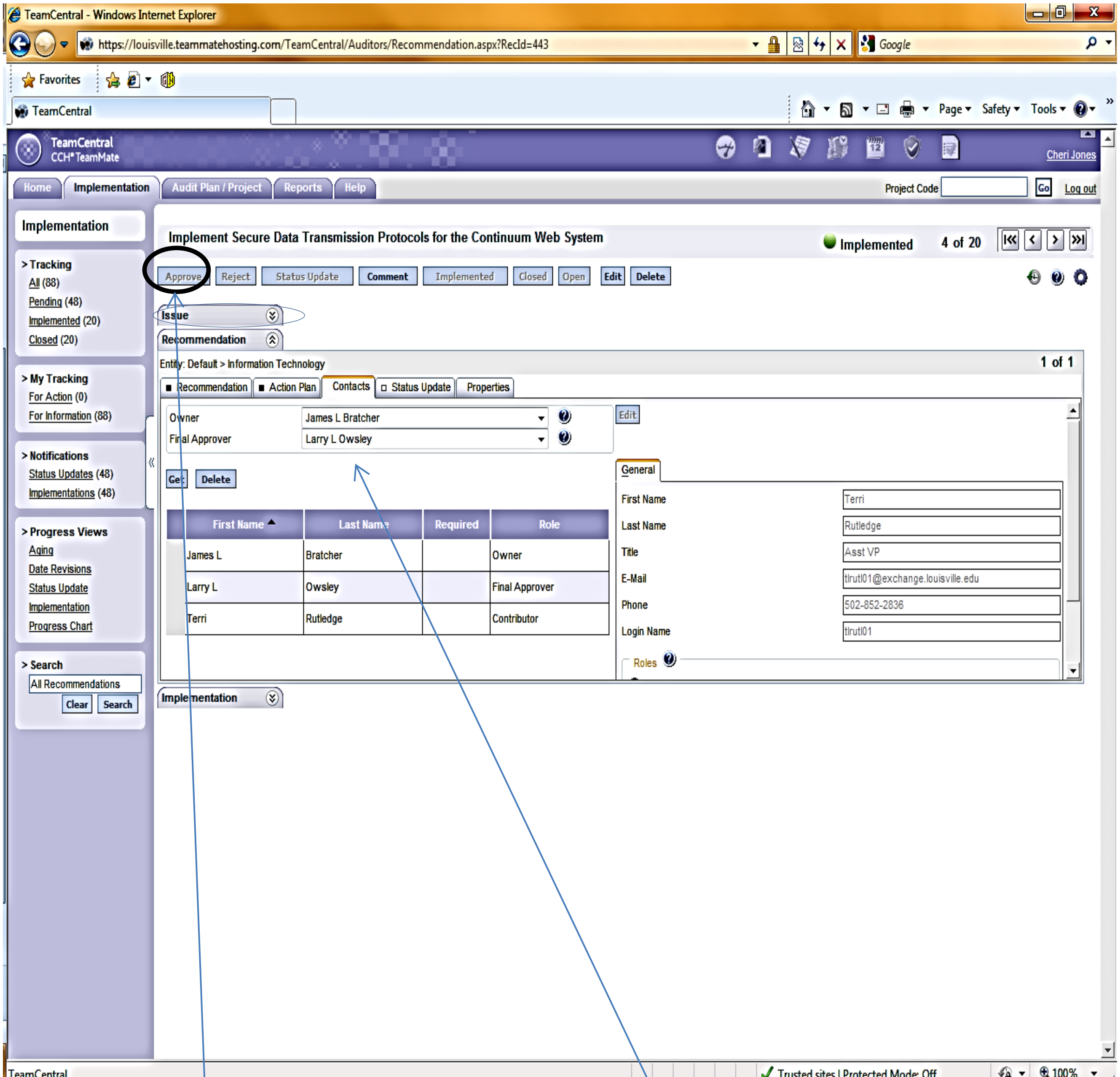
Enter a brief description of the action taken in the dialog box. Change the implementation date if appropriate. Attach any supporting documentation such as finalized adopted policies, reconciliations, or any documentation that supports closure of the issue. Do this by clicking Browse button; navigate to the document and click open. Once you are satisfied with the information in the dialog box, click save.

Clicking save will generate an email to Audit Services and to the Final Approver, if any. The email notifies all parties that the issue is ready to be closed or if it was a high priority issue, Audit verification can be performed.

NOTE: Audit issues should not be reported implemented if there is still action pending. If you report an action plan as implemented prematurely, notify Audit Services and the issue will be reset (that is the implementation report rejected). If a final approver has been designated, work with that person to reject the submitted implementation. This will reset the status to Pending.

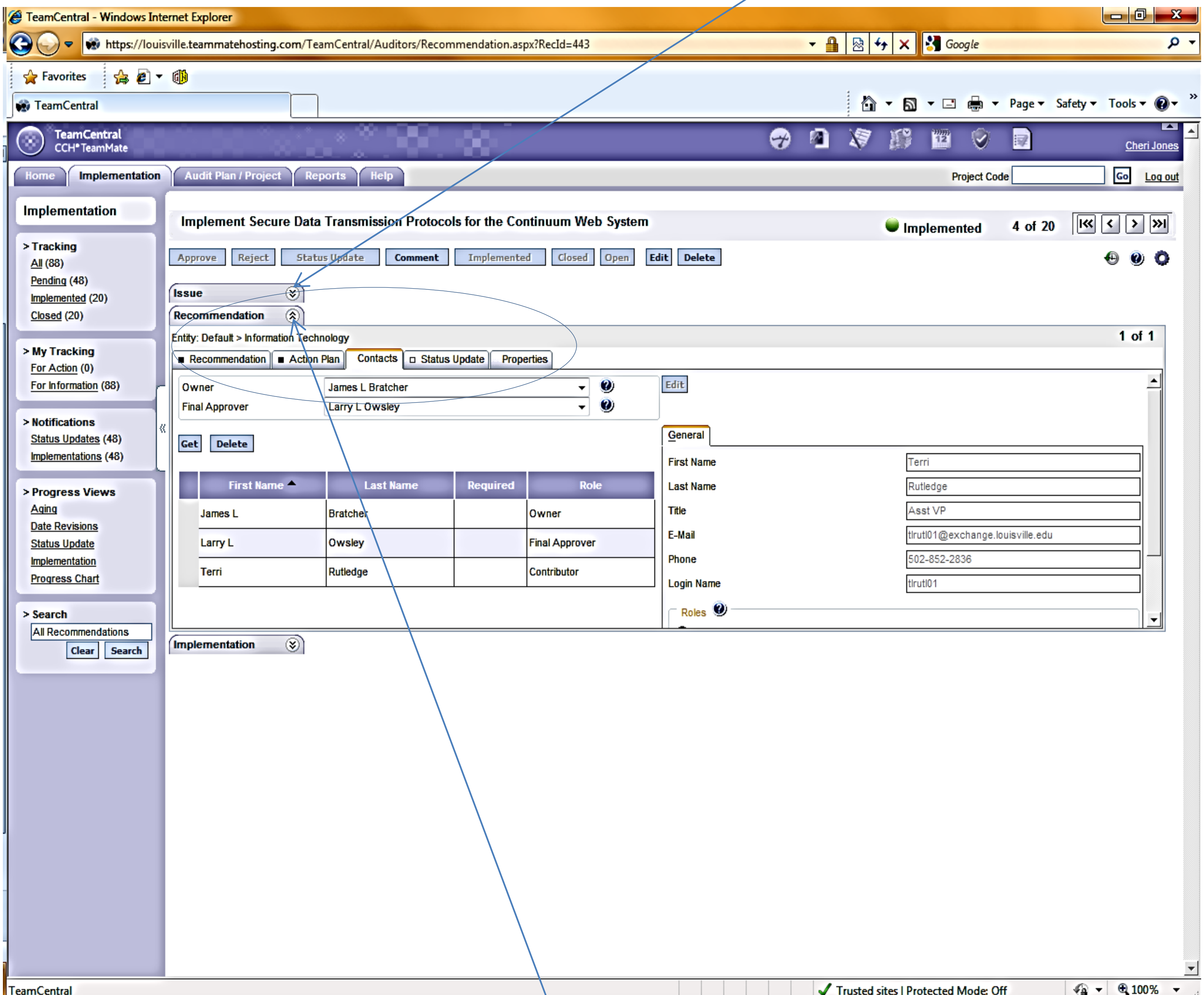
Approving an Issue Implementation in TeamCentral

All audit issues owned by departments in the divisions of the Vice President for Finance, Vice President for Business Affairs, and Executive Vice President for Research and Innovation require approvals. This document illustrates the steps that must be taken before issues in these areas can be closed by Audit Services. Issues will remain on the issue pending reports until the required approvals are recorded in TeamCentral.

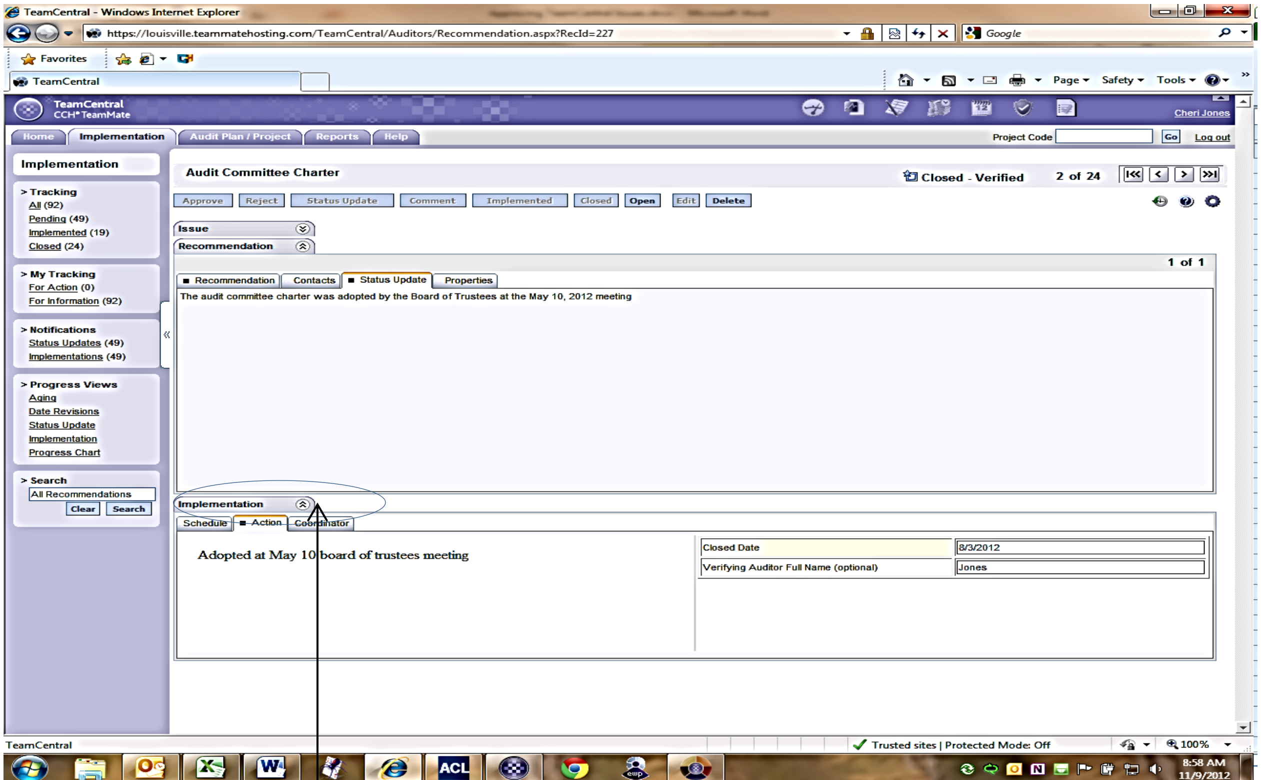


This is a screen print of one issue. It has been implemented by the issue owner (James Bratcher in this case). It requires approval by Larry Owsley as shown here. To approve the issue, click on the approve button. (It is grayed out in this screen print because only Mr. Owsley has the ability to approve the implementation. If it is greyed out when the final approver signs in using his or her password, please contact Audit Services.

To review the original issue, click the arrows next to the Issue Tab.

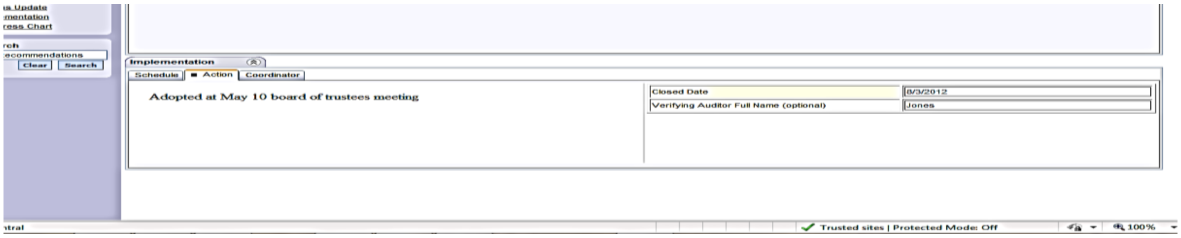


To review the original recommendation, action plans, and any status updates, make sure arrows next to the recommendation tab are pointed up. Click on the Recommendation, Action Plan, Status Update tabs to see the original recommendation and action plan, and the most recent status update if applicable. If there is data in any section, the square shape on the tab will be filled in. In this example, there is no status update.

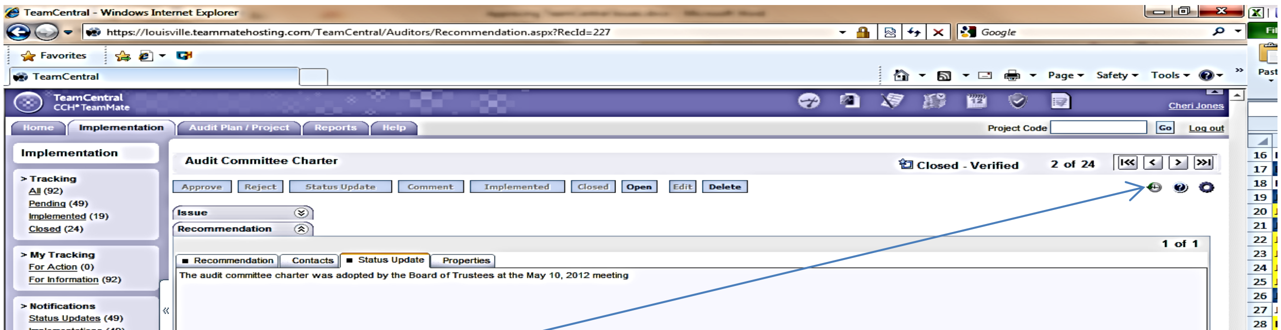


The Implementation Tab has information on the implementation of the action plan. If you cannot see any information, make sure the double arrow is point up.

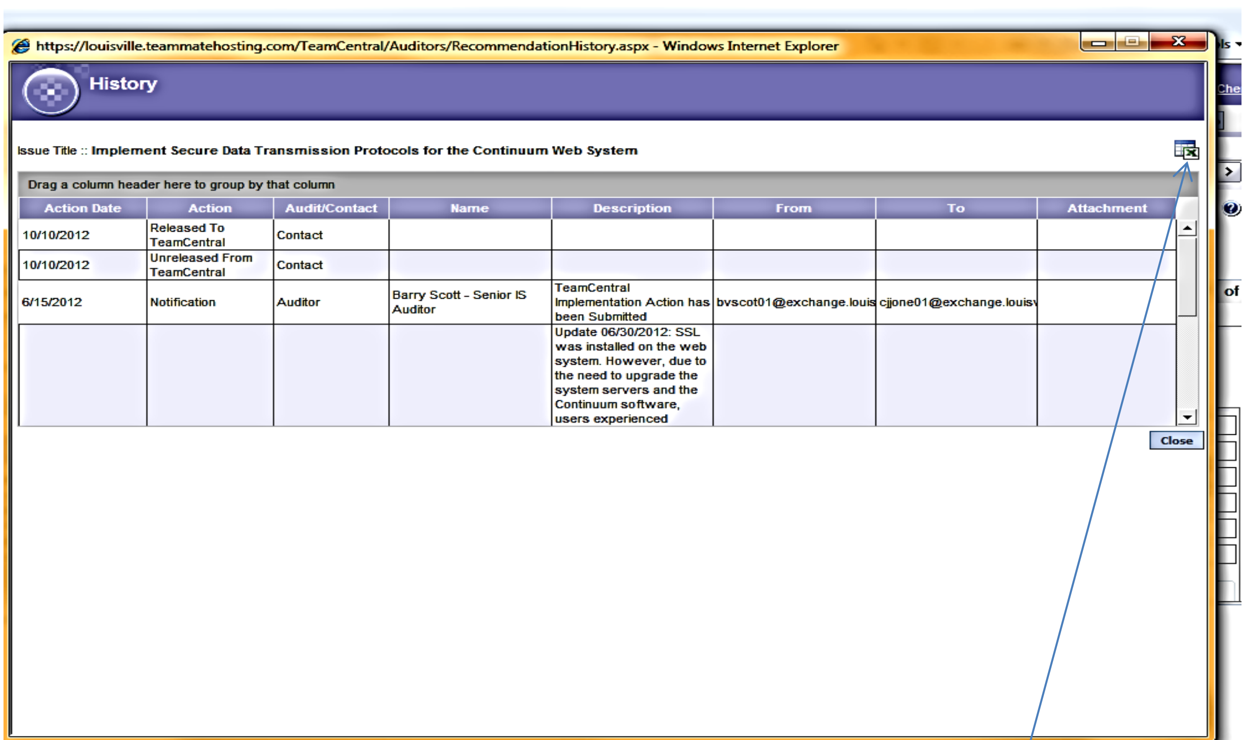
The schedule tab will show you the dates associated with the action plan.



The action tab will display the comments entered when the action implementation was reported.

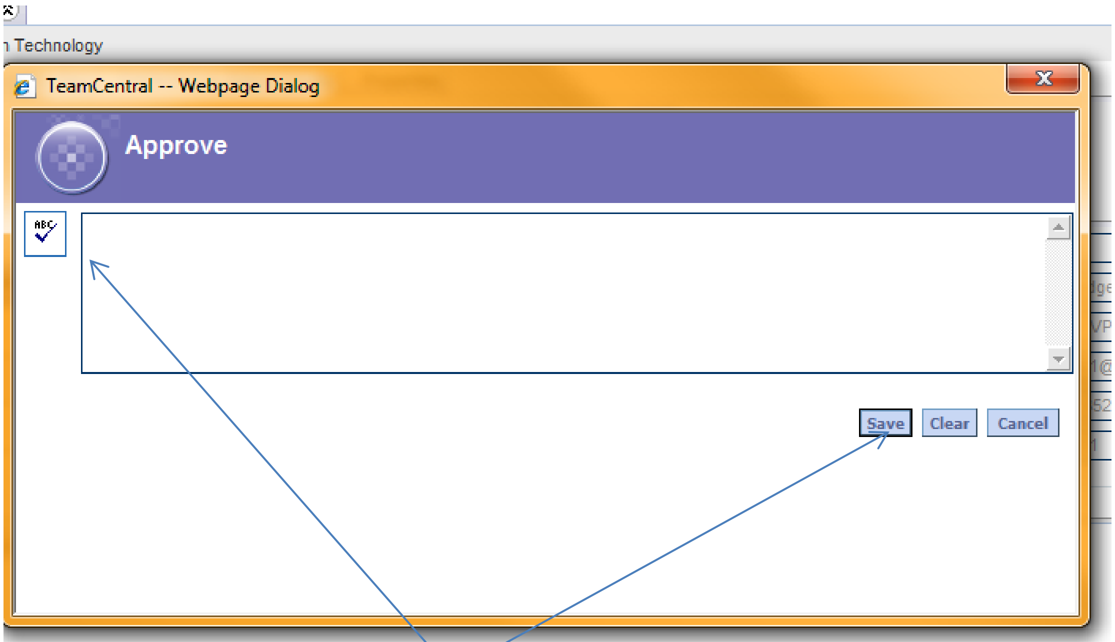


To read any comments that have been submitted prior to implementation, click the history button.



Clicking the history button will bring up another screen with the history of the issue since it was in TeamCentral. This history can be exported to Excel clicking the Excel icon

After the approve button (or reject) is clicked, a Webpage Dialog will open.



A comment at this point is required. The spell check button is on the left. After the comment is entered, click the save button. This generates an automatic e-mail that notifies the issue owner, any contributors, and Audit Services of the approval (or rejection).

After a recommendation implementation has been approved, Audit Services staff will verify the implementation of High Priority Issues by conducting additional tests, reviewing new policies, procedures or other documents, or through discussion with the issue owner. When Audit Services is confident the action plan has effectively addressed the issue, the issue will be approved by Audit and closed. Auditor judgment will be used when determining which action plans to verify and the type of verification necessary. Auditor judgment will be used to determine the extent of verification needed for Moderate or Low priority issues.