



User Guide



Symbiant Tracker User Guide *revision 3.6*

This user guide is for Symbiant Tracker 4.4 only (Standard and Pro)

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Forward

Thank you for purchasing (choosing to evaluate) Symbiant Tracker. Symbiant Tracker is an internal audit recommendation and issue tracking database. The application is easily installed on any .NET ready Internet server with SQL Server 2000 (or later) database (see the Symbiant Tracker Installation Guide for more details) and is highly customisable.

Internal Audit departments main product is an audit report, or rather a series of audit reports, one for each internal audit they perform within a business each year. These reports contain recommendations relating to the weaknesses (Issues) that they have found in the part of the business they were auditing.

When these recommendations are implemented, the weaknesses should be resolved and any risks managed. If the recommendations are implemented it gives assurance to a company's management that weaknesses in the operation have been addressed. If recommendations are not implemented then the internal audit effort has been a waste of time.

Internal Audit usually (or should) report to the Audit Committee (sub-committee of the Board, chaired by a non-executive director) once or twice a year on how far and how well recommendations have been implemented and they usually do this by running around in the days before the Committee meeting trying to find out what has been happening.

The new Combined Code for stock-exchange listed companies requires audit committees to assess the effectiveness of internal audit departments on a regular basis and one of the key things in this evaluation will be how many recommendations made have actually been implemented.

Symbiant Tracker has a novel approach to this which is 1) intranet based to allow ease of aggregation and reporting and 2) it puts the onus on the person to whom the action is assigned to report on where they are at with the recommendation – i.e. it introduces ownership for resolving weaknesses and raises the profile of these issues.

Overview

Symbiant Tracker is a recommendations and issues tracking database. It sits on a corporate intranet and is managed by the Internal Audit department.

The key feature of this tool is that, unlike many recommendations tracking tools, it is designed to be accessed and updated by the auditees, who have been assigned actions in the process of agreeing the internal audit report. Being intranet-based, auditees can easily be given access to the recommendations relating to them. At any point in time, the database therefore holds the latest update on the implementation of each recommendation.

Each recommendation from an internal audit report is assigned to one or more auditees. This person accesses the database and comments on progress to date on agreed actions for each recommendation they have been asked to monitor.

An action date is set when the recommendation is first logged and notification is sent to auditees when recommendations become overdue, reports of overdue recommendations and those nearing their deadline can be produced.

Weaknesses (Issues) are rated as definable scores, (i.e. A, B, or C or high, medium, low etc.) and the status can be Implemented, Not Adopted, Not Verified, Outstanding, Partly Implemented or Superseded. The classification for a particular audit point (is it an A, B or C? Is it Outstanding or Implemented?) can be changed by an Administrator (usually Internal Audit) or Divisional Manager (to relieve more of the work from the internal audit team until their presentation to the board is required). The Audit Report Category allows the recommendation to be linked to either a specific report or to a type of issue (e.g. relating to stock control).

About this guide

This guide is organised so as to help quickly set-up and begin using a new Tracker system. It is mainly targeted at administrators and managers, a separate guide for auditees is available. The guide is written based on the Pro version of Tracker but where the Standard version does not include certain key features a note of this will be made.

For more information on using various areas within Tracker there is a context sensitive help system accessible by clicking the Help button at the top right of the Tracker interface. A collection of useful video tutorials are also available via the Tracker web site at <http://www.symtrack.com/videos>.

Logging into Tracker for the first time

If this is the first time that Tracker has been used, the default administrator username and password are required. These are:

Username: **admin**
Password: **abcxyz**

It is important that these are changed before the system goes live for security reasons, see the Accounts section for further details on changing usernames and passwords.

If Active Directory accounts and windows based authentication is to be used, please read the Active Directory guide before using Tracker as additional account configurations are required before activating Active Directory support.

Configuring Tracker

The first time Symbiant Tracker is used the system should be set-up to meet the requirements of the internal audit team. Setting up Tracker is done via the administrators set-up screen, accessible by clicking the [Set-up] menu link.

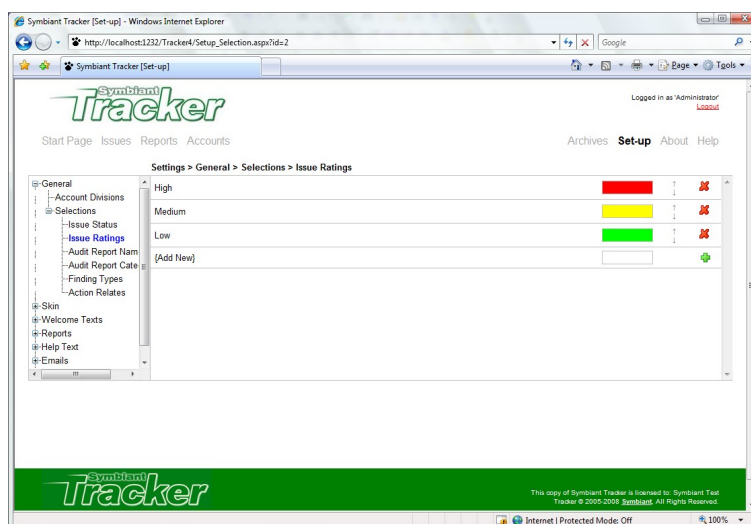
Set-up allows the configuration of user divisions, selection items, the user interface, login and welcome information, report branding and formatting, help text and automated emails triggered for special events within Tracker.

Adding selections


Because the terminology used to identify internal audit reports, ratings, finding types etc. varies from company to company, Tracker allows bespoke descriptions (and colour flags) to be defined.

Within Tracker's set-up, expand the set-up index for **General > Selections** and then select the area to customise.


- **Issue Status** – the status of the issue, i.e. Outstanding, Implemented etc.
- **Issue Rating** – the rating of the issue, i.e. High, Medium, Low.
- **Audit Report Name** – the name of the audit report, i.e. Compliance Review.
- **Audit Report Category** – the category of the audit report, i.e. IT, HR, Finance.
- **Finding Types** – the weakness finding, i.e. Opportunity, Risk Exposure.
- **Action Relates** – allows individual actions to be targeted, i.e. UK, USA, IT, HR.






The selections set-up for ratings



To edit the description of an item click on the text and type over it. To add a new item (except for Issue Status), click on the {Add New} text, type the description for the item then click the  button.

The Issue Status and Rating selections allow colour flags to be defined for each item. These are used in reports to draw attention to certain issues. Click the colour to display a colour selector, select the new colour from the available choices.

To give more importance to an item or simply re-position it in the list of drop-down items so when defining issues the choice is more accessible, use the  arrows to move the item up and down the list (except for Issue Status). It is also possible to click the arrows in the header to sort all the items alphabetically (ascending or descending).


If a selection is no longer required you can hide it by clicking the  or if it was added accidentally it can be removed by clicking the  (except for Issue Status). If an item is in use by Tracker (if this is not its first use) then the item cannot be deleted until all associations to it are removed (but it can be hidden).

 The following features are in the Pro version of Tracker only:

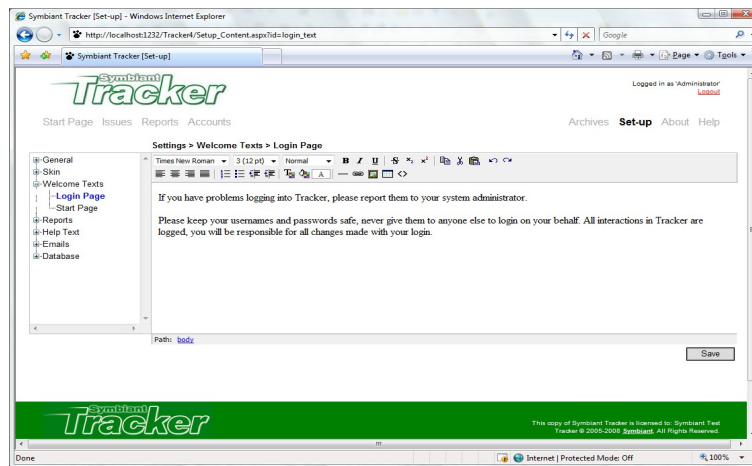
Audit Report Name, Category, Finding Type and Action Relates can be restricted to certain divisions. Click the  before the selection text to define the divisions that can view the selection. This will pop-up all the available divisions, check those that should be allowed to see the selection. Any user not in one of the selected divisions will not be able to see the selection in the relevant drop-down list. Restricted divisions are marked .

Customising appearance

Further to just configuring the selectable items in Tracker all the key text can be changed and the application branded with the company logo.

To change the text used to identify the key internal audit areas of Tracker, under set-up, select index **Skin > Text**. Locate the text to change, click in the second column over the text and enter the new description. To help identify where the text is used, mouse over the  next to the default text. To write any changes to Tracker, click the [Save] button.

The text displayed on the login page and start page can also be customised by selecting **Welcome Texts > Login or Start Page**. Here a familiar text editor allows the entry of formatted text that is displayed to the user. Fonts, colours and even Hyperlinks can be entered to provide the required information. The Login page text should, amongst other things, inform the user what to do should they forget their username or password (obviously this screen is not displayed if Tracker is integrated with an Active Directory). The Start Page text is a good place to keep users informed of key auditing deadlines and to provide links to useful resources. Click the [Save] button to update the system with any changes.



The login text edit screen in set-up

Other useful formatting set-up options include branding Tracker with the company logo. This is done by selecting **Skin > Branding** and browsing for an image from the computers hard drives or network to upload and display in the top left corner of the Tracker interface. It is important to ensure the image is uploaded as it should be displayed, no resizing or colouring of the image is performed by Tracker. Click the [Upload] button to upload and place a company logo.

The colours used to identify issues that require attention can be set by going to **Skin > Highlighting**. These colours are used on the Issues grid. Click the colour to display a choice of alternative colours for selection. Click [Save] to update Tracker.

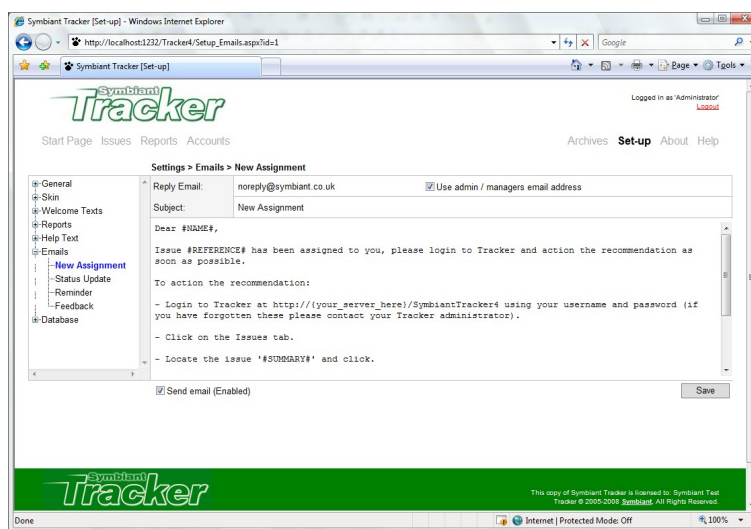
Report headers and footers can be customised in the same way as the Welcome Texts by selecting **Reports > Header or Footer**. The report itself can be formatted by selecting **Reports > Body**. Here the font and colour of report sections such as the report title, header, individual row and alternate row items can be set. A selection of web safe fonts, sizes (selectable from drop-downs) and styles (checkable) are available as well as colours. Click [Save] to format the Tracker reports.

Finally it is possible to update the context sensitive help displayed to users when they click the Help link. Every help item can be edited or replaced even those associated with their own set-up. To edit a help item, select **Help Text** and then the area the help item relates to, i.e. for the help file displayed when adding a new issue select, **Help Text > Issues > Add New**. Again the familiar text editor used for the Welcome Text and Report Headers/Footers is displayed to perform the editing. Click [Save] to save the help text changes.

Customising emails

Tracker includes 6 automated emails that are triggered following key actions or at key times within the internal audit process. To customise the email recipients receive, under set-up select index **Emails** and then the email to configure. The emails included in Tracker are:

- **New Assignment** – sent when a recommendation action is assigned to an auditee.
- **Response / Comment**
 - Admin / Manager – sent when an administrator or manager responds to an auditees comment
 - Auditee – sent when an auditee leaves a comment
- **Reminder**
 - Outstanding – sent to alert auditees that they have outstanding actions awaiting an update
 - Overdue – sent to alert auditees when an action is close to its action by date
- **Feedback** – sent to key individuals to alert them of an issues change in status.
- **New Account** – sent when a new active user account is added.



The new assignments email set-up

All emails require a Reply Email address to be specified by clicking on the existing address and overwriting it. Alternatively (except for Reminder emails), by checking the [Use admin / managers email address] check box, the user responsible for assigning or updating the issue's email address will be used.

All emails should also include a subject and the message body. Both these can include special marker text that is replaced when sent with information from Tracker. These markers include (except for New Account emails):

| | |
|-------------------|--------------------------|
| #NAME# | account holders name |
| #AUDIT_NAME# | audit report name |
| #AUDIT_CATEGORY# | audit report category |
| #AUDIT_REFERENCE# | audit report reference |
| #ISSUE_REFERENCE# | issue reference |
| #SUMMARY# | issue summary |
| #DETAILS# | issue details |
| #ACTION_RELATES# | action relates drop-down |

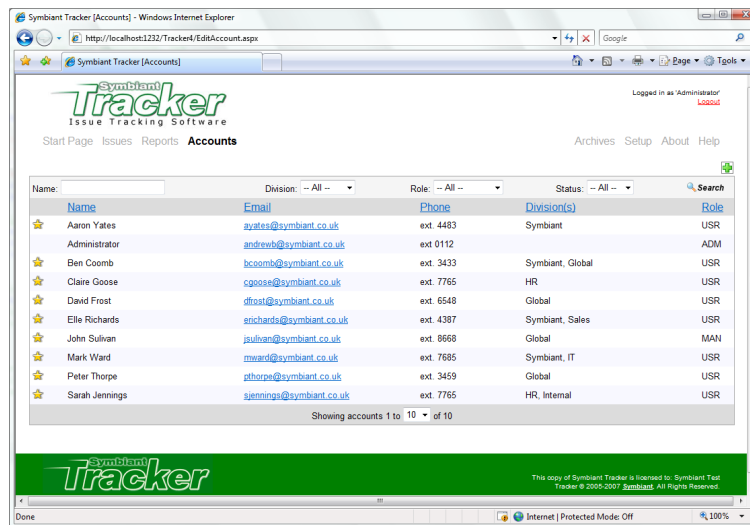
Further markers can be defined on certain emails, see the associated Help files for a complete list of those that can be used with each email.

Finally emails have a [Send email] check box, this should be checked to active the email. It is important to ensure that emails are correctly configured in the Configuration Utility if they are enabled otherwise Tracker may error. Click [Save] to store any changes made to the email settings.

The Reminder and Feedback emails have a couple of additional fields that can be configured. The Reminder email includes a drop-down where the email can be set to be triggered at certain intervals or a number of days before the action becomes overdue. It also includes a [Send] button to email the appropriate auditees immediately. The Feedback email includes a field where the address the email should be sent to can be entered, each address should be separated with a comma (,).

Accounts

Anyone who wishes to use Tracker must have an account, even if Tracker is linked to an Active Directory system, those who can login must be activated within Tracker. Trackers accounts can be accessed by clicking the [Accounts] menu link.



Tracker user accounts

The accounts grid displays all the users recognised by Tracker. The list can be sorted by clicking on the column headers. The columns display an overview of the users account details including their name, email address, divisions they belong to and their role. If the account displays a ★ then the user is assignable and can be assigned a recommendations action to manage or audit. To edit an accounts details click the row of the account to edit.

On large systems where there could potentially be thousands of users, users are displayed over several pages. Pages can be moved through using the arrows at the bottom of the grid, the number of users displayed per page can be increased (or decreased) using the drop-down.

To help quickly locate the user or collection of users a simple but powerful filter is available at the top of the grid. The filter can search on the users account name, their division, role or status. To apply the filter click the Search button. The account name filter allows the inclusion of wild card characters, so, for example, if "pa*" was entered, the filter would return all **Paul's**, **Pamela's**, **Parker's** etc. However it would not return Adrian Paul, as the **pa** in this case is part of the surname and there is no wild card at the start so the filter assumes that **pa** must be the first letters (to find Adrian Paul the filter could be "**pa*").

Adding divisions

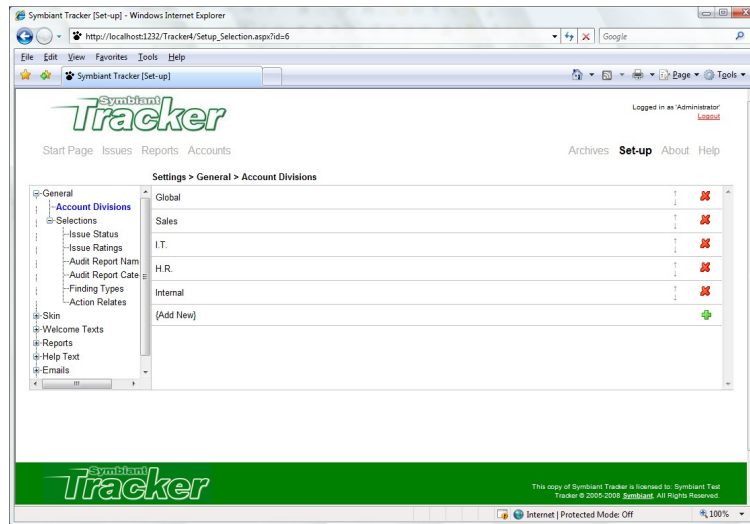
Divisions are an important part of Tracker allowing both accounts and, new to Tracker 4, issues to be grouped. Accounts and issues must belong to a division, accounts can be associated with more than one division.

Only administrators can add divisions to Tracker, this is done via set-up by clicking on the [Set-up] menu link and then selecting **General > Account Divisions** from the set-up index.

To add a new division, click on the {Add New} text, type the name of the division then click the button. To edit the name of a division click on the text and type over it.

To alter the position of a division so it appears higher up the list of divisions making its selection quicker, use the arrows next to the division.

If a division is no longer required or added accidentally it can be removed by clicking the next to the division to remove. However, if a division is associated with an account or an issue (if this is not its first use) then the division cannot be deleted until all associations to it are removed.



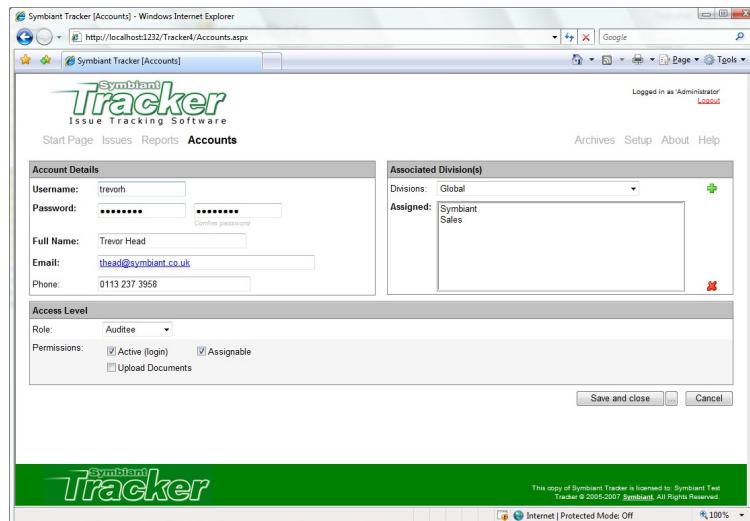
Divisions in set-up

Adding users

Tracker provides two methods for adding users to its recognised accounts. Depending on the license and configuration settings, accounts can either be added manually or imported from a list of users in an associated Active Directory. To add a new user to Tracker, go to accounts by clicking the [Accounts] menu link and click the **+** button at the top of the grid.

Internal

Manually adding an account simply requires the completion of the required fields marked in **bold**. The username should be a unique identifier for the account and is the ID entered by the user to login. The password should be a strong secure password, it must be re-typed to ensure it has been entered correctly. Depending on Trackers configuration, Tracker can enforce strong/unique passwords, see the configuration guide for more details. The full name is the name the account is identified using within Tracker, all actions in Tracker are recorded, this is the name that will be displayed to identify the actioner. Finally for the account details it is important to ensure that a valid email address is entered, if the automated emails are to be used, otherwise important emails will not be received by users or an error could occur.



Internal account entry

All accounts should belong to one or more divisions, to associated the account with a division, select the division from the list of available divisions and click the **+** button. If an association is no longer required, select the division to remove and click the **-** button.

Each account must be set an access level giving them rights within the system, additional permissions to their default role rights can be added or removed by checking or un-checking the relevant permissions.

Administrators have full system access rights and can view and edit all accounts and issues within the system.

Managers have divisional access rights and can view and respond to all issues within their division (managers can also have permissions added to give them rights similar to those of an administrator within their division).

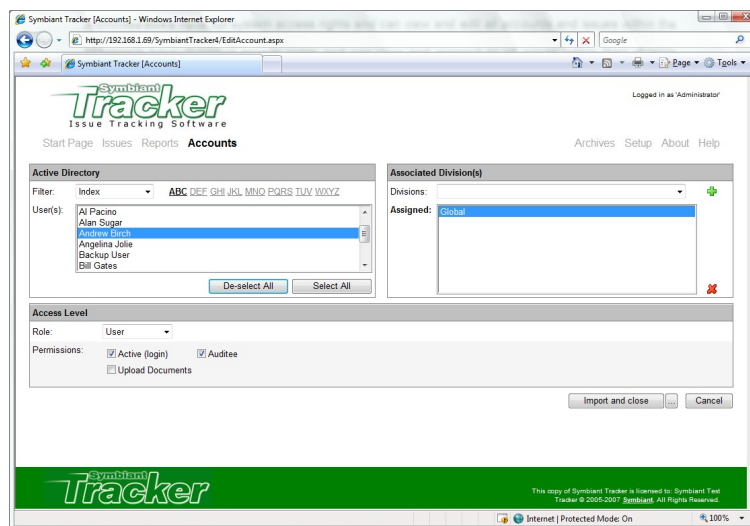
Auditees have minimal access rights seeing only issues they have been assigned and able to audit the recommendation actions they are responsible for only. The majority of Tracker accounts should be in this role.

Key permissions include **Active (login)** and for auditees especially, **Assignable**. The active permission gives the account holder permission to use the system, if this is not checked they cannot login. The assignable permission allows recommendation actions to be assigned to them.

To add the new account click the [Save and close] button. In the Pro version it is also possible to quickly add additional accounts by clicking the [...] button next to the save and close button and selecting [Save and add new Account].

Active Directory

Importing users from an associated Active Directory requires a suitable license and a correctly configured Active Directory connection. Adding a new account is simply a case of locating the user(s) to add from the directory, associating them with one or more divisions and specifying their access rights.



Active Directory account import

To locate the user(s) to add Tracker initially provides an index based filter of users in the Active Directory. The filter is based on the old phone book letter groupings allowing all users with names starting **ABC, DEF, GHI** etc. to be displayed (due to the way Active Directory works the index is for the first letter of the name, not necessarily the surname). Other filters include **Username (CN)**, **Group** and **Custom**, selectable via the filter drop-down. The username (CN) filter allows for the entry of an Active Directory CN name to search for. The CN is a unique identifier for a user, if this is known it will quickly retrieve the required user from the directory. The group filter allows for all users within a specific Active Directory group to be returned, this is useful if Active Directory groups are directly mappable to Tracker divisions allowing all users in the group to be selected by clicking the [Select-All] button and associated with the same division in Tracker. The custom filter allows for an Active Directory search to be entered, this should only be used by users familiar with Active Directory.

The username (CN) and group filters allow wild card searches similar to searching accounts in Tracker, by entering an asterisk (*) all matching users are returned, for example "mi*" will return all **Mike's, Michelle's** and **Mitchell's** etc.

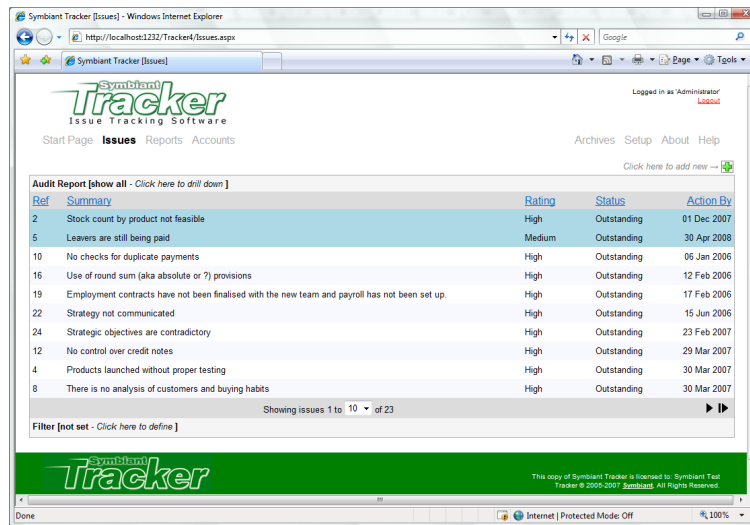
It is possible to select multiple users by holding down the control **Ctrl** key on the computer keyboard and clicking each user to add, clicking a selected user again will de-select them.

For details on configuring the accounts divisions and access rights see the previous section on adding users to the system internally.

To import all the selected users, click the [Import and close] button. It is also possible to quickly import additional accounts by clicking the [...] button next to the import and close button and selecting [Import and import more].

Issues

Issues (or weaknesses) are core to the Tracker system. An issue is entered by an administrator or any user with appropriate permissions to record a weakness identified by the internal audit process. The issues currently stored in Tracker are displayed on a grid assessable via the [Issues] menu link.



The issues grid (showing two updated items)

The grid displays key information relating to the the issue including a brief summary, its current rating and status and the date the first action is due by. The issues can be ordered by clicking the relevant column header and viewed/edited/actioned by clicking the row itself.

As more issues are entered into Tracker they will appear across multiple pages, the page viewed can be changed via the arrows at the bottom of the grid and the number of issues displayed per page changed via the drop-down.

To help quickly locate a specific issue or collection of issues the audit report they belong to can be displayed and/or a powerful filtering system can be employed.

To display issues within a certain audit report, click the top row of the grid to expand the audit report selector. Here it is possible to drill down into specific audit reports and display all issues within that report. To select a report click the name, category and reference in question. Initially only the top level audit report names will be displayed, to expand these to show all categories within that report click the [>] next to the name. Similarly to view references within the selected name and category, click the [>] next to the category. To show all the issues again (unless a filter is also specified) click [Show All] at the top.



Drilling down into a audit report

To filter issues using the powerful filtering system employed by Tracker, click the filter row at the bottom of the grid. Defining a filter requires the column to filter, filter type and value to be selected. This is done via a simple matrix of drop-downs and entry fields. The column is simply the field that would be displayed should it be displayed in the above grid, separated into two parts in the Pro version, the section and the information. The section includes Audit Report, Issue, Recommendation, Action, Action Status etc. The information is the data stored in that section, i.e. under issue you would have Division, Rating, Status etc. *The standard version of Tracker includes only a single column selector as it does not support multiple recommendations or actions.* The filter type is dependant on the column and can include IS, NOT, IS LIKE, =, >, < etc. Again the value to filter for is dependant on the column and could be selected from a drop-down or entered via a text box. If the entry is via a text box then by selecting either LIKE or NOT LIKE from the filter type a wild card character can be used by including an asterisk (*).

| Ref | Summary | Rating | Status | Action By |
|-----|-------------------------------------|--------|-------------|-------------|
| 10 | No checks for duplicate payments | High | Outstanding | 06 Jan 2006 |
| 2 | Stock count by product not feasible | High | Outstanding | 01 Dec 2007 |

Showing issues 1 to 2 of 2

Filter [Issues Rating is "High", Issues Status is "Outstanding", Actions Flag Key equals "true"]

| | | | |
|--------|--------|---|------|
| Column | Rating | Filter | Sort |
| Issue | Rating | IS High | |
| AND | Issue | IS Outstanding | |
| AND | Action | <input checked="" type="checkbox"/> Key | |
| AND | | | |

Reset Search

Issues grid with filters applied

Having completed the filter additional filters can be added by repeating the process in the next row. An important additional element for all additional filters is whether the filter should be included as well as (**AND**) or instead of (**OR**). This option is selected before the column is defined. All filters where columns are the same and appear sequentially in the filter list are grouped as a single filter.

To apply the filter click the **Search** button. The filter will be retained throughout the Tracker session and automatically reapplied when returning from viewing an issue, else it can be reapplied by re-clicking the search button. To alter the filter the options can either simply be changed or the **Reset** button clicked to clear the filter.

In addition to filtering the issues the filter matrix includes additional sorting parameters, these sort the associated column in either an Ascending or Descending order, the order the filter is applied in is defined by the preceding drop-down.

Creating issues

To create an issue, go to issues by clicking the [Issues] menu item and add a new issue by clicking the button at the top right of the issues grid. Complete the form ensuring that all fields marked in **bold** have a value and click the [Save and close] button.

The screenshot shows the 'Issue entry screen' in a web browser. The form is titled 'Symbiant Tracker [Issues]'. It has a 'Status' dropdown set to 'Outstanding'. The 'Summary' field contains 'There is no measure of effectiveness of advertising spend'. The 'Details' field contains 'Advertising is commissioned from TV stations with the only control being the annual budget figure. There is no appreciation of the effectiveness of the advertising purchased, no measurement, analysis or feedback for the benefit of future spend.' The 'Findings' field is empty. The 'Finding Type' dropdown is set to 'Opportunity'. The 'Documentation' field has an 'Add supporting document' button. The 'Recommendation #1' field contains 'Implement a review process after each marketing campaign to understand the effectiveness of the method used and appropriateness of using similar methods again.\n\n'. The 'Action #1' field contains 'IT to write a programme bringing together campaign details and product by product performance statistics.' The 'Assigned To' field is empty. The 'Action By' field is set to '14/04/2007'. The 'Implemented' checkbox is checked. The bottom of the screen shows the 'Symbiant Tracker' logo and a copyright notice.

Issue entry screen

New to Tracker 4, all issues must belong to a division, a dummy division can always be created to include all issues if this is not required.

Documents can be attached to issues (all versions), recommendations and actions (Pro only) by clicking the **Add supporting document** button. All document information should be completed, the document can either be a hyper link reference to a supporting file or (if enabled) a physically attached document. If a document is being physically attached it should be browsed for on the computers local hard drives or network. Only certain types of files can be attached to Tracker, these are defined whilst configuring Tracker, the defaults are: Microsoft Word documents (doc), Microsoft Excel spreadsheets (xls), Adobe Acrobat documents (pdf) and plain text files (txt).

To help internal auditors identify key actions of a recommendation, actions can be marked as key by activating the icon. It is also possible to associate an action with a definable area by specifying what the action relates to in the adjoining drop-down.

Assigning actions will be described in the next section, the actions - action by date is the date by which the action must be implemented. Tracker will automatically send out warnings when this date is nearing to all assigned user accounts (depending on the email configurations in set-up).

! The following features are in the Pro version of Tracker only:

A powerful new feature of Tracker 4 is the ability to add multiple recommendations and actions. This is done by clicking the [...] button next to the save and close button and then [Save and add new recommendation] or [Save and add new Action]. There is no limit imposed by Tracker to the number of recommendations or actions that can be associated with an issue, however if too many recommendations and actions are identified it may help usability if the issues are split into smaller parts.

When editing an issue it is possible to add further recommendations by clicking the + button above the last recommendation or delete a recommendation by clicking the ✖ above the recommendation to delete. Similarly to add further actions to a specific recommendation click the + next to the last action of the recommendation. Again it is possible to remove actions by clicking the ✖ next to the action to delete.

It is also possible to add a new issue to the current audit report by clicking the [...] button next to the save and close button and clicking [Save and add new Issue].

Finally an issues behaviour can be customised by editing its options. To do this, click the [Options] button at the bottom right of the issue page.

Issue options

Options allow the issue to carbon copy certain alerts to defined email addresses. Alternatively alerts can be suppressed completely. To alert users to important details of the issue a notice can be entered that will pop-up whenever the issue is viewed, all users regardless of role will see this alert. Finally to prevent managers from constantly moving the action by date a limit on the number of changes they can make can be entered, by default this is 999 which is realistically pretty much unrestricted (managers require action by date change privileges in order to be able to change them at all). If a manager tries to change the audit report more times than they are allotted they will be notified to contact an administrator of the system.


Assigning actions

One of the many features of Tracker that makes it so useful is the ability to assign actions to users. It puts the onus on the person to whom the action is assigned to report on where they are at with the recommendation, i.e. it introduces ownership for resolving weaknesses and raises the profile of the issues.

Assigning actions

Whilst editing an issue click the 👤 button next to the assigned to box to select users to assign the recommendation action to. If not already editing an issue, go to the issue by clicking the [Issue] menu link, locate the issue in the issues grid and click it. This will display the issue in response mode, to edit the issue (managers require permission to do this), click the 🖌 button at the top right of the issue page.

To assign users to the action, the users must have assignable permission defined on their account. All available assignable users are listed in the left column list. To assign a user and make them responsible for completing the steps required to action this part of the recommendation, select them in the list and click the ► button. To remove a user from the assigned list (on the right), select their name and click the ◀ button.

It is also possible to assign all the assignable users in a division to an action, do this by clicking the  button at the top of the assignment drop-down. This will pop-up a dialogue with all the available divisions listed, simply check the ones to assign all the assignable users from (auditees and managers). Confirm the selection and the window will disappear and all the relevant users will be moved into the assigned list. They can then be edited as normal, unwanted users removed or new ones added as described above.

An alternative to assigning the action directly to the auditee to audit is to assign it to a manager who has re-assign privileges or to an administrator. Both administrators and managers require assignable permissions set on their account. This will allow managers to take responsibility for the issue's recommendation action within their division even if the issue isn't defined as part of their division. The manager (or administrator) can then re-assign it to someone in their division to action.

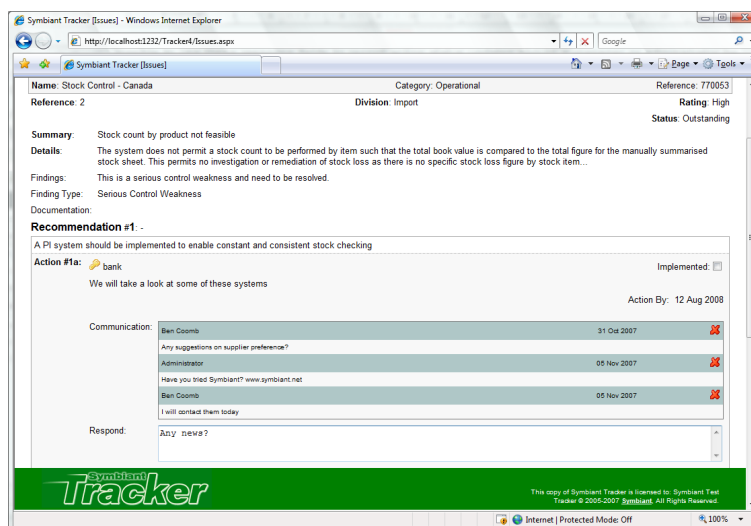
Even if a manager isn't directly assigned an action, if it is assigned to someone within their division they will still be able to re-assign responsibility for it (if they have permission) and review it as required.

Responding to actions


As a manager (or administrator) a key role is reviewing status updates entered by auditees for assigned actions. After a auditee updates the status of an action (or before if wished) managers (and administrators) can post comments that are displayed to users. This allows for a two way (or more if more than one auditee, manager or administrator is involved) conversation whereby users can keep each other posted of what is happening and what is required.

When a response is posted assigned auditees are notified via email (if configured) and the relevant issue is identified on the start page statistics and by coloured highlight in the issues grid.

To respond to an issues recommendation action, go to the issues by clicking the [Issue] menu item. Locate the issue to respond to and click on it. The issue will be displayed in full including all recommendations and actions (in associated divisions for managers where the issue is not part of one of their divisions) and the full conversation history for each action as well as a space to enter further comments. Comments can be added to one or more actions at a time and posted by clicking [OK].



It is also possible to use these response fields to record action status updates should a manager or administrator be directly responsible for an action.


In case a comment needs to be removed, either because an auditee wishes to withdraw it, or a administrator (or manager with permission) believes it to be false or inaccurate. The offending comment can be removed by clicking the  in its header. Administrator and managerial comments are removed without trace from the auditees screens, comments entered by auditee users are removed but marked, this allows the auditee to see their comment has been removed by an administrator or manager, who should leave an additional comment to explain this action although this is not enforced. Administrators can easily identify which comments have been removed but are still able to view all the original details.

Implementing actions and changing an issues status

When an action is completed by a auditee and they have entered a comment informing administrators or managers (with permission) that the action is implemented, the action can be marked and a final comment entered.

To implement an action (or change its status) go to issues by clicking the [Issue] menu item, locate the issue and click on it. Locate the action that has been implemented and check the implemented check box, enter a final comment and click [OK].

Once an action has been implemented it can no longer be commented on. Implementing an action ensures that overdue reminders are not sent for completed actions.


When all actions have been implemented (or if an action cannot be implemented for whatever reason), the status of the issue needs to be updated. This is done by clicking the  button at the top right of the issue page.

Changing issue status

The issues status should be updated to identify its current state, by default the options are:

| | | |
|--------|---------------------------|--|
| Open | Outstanding | The issue still requires attention. |
| | Partly Implemented | The issue has been mainly addressed but some areas still need to be looked at in the future. |
| Closed | Unverified | The issue has been implemented but not verified by an internal audit leader. |
| | Implemented | The issue has been fully addressed. |
| | Superseded | The issue is no longer relevant as it has been superseded by a new issue. |
| | Not Adopted | The issue is no longer relevant as its recommendations and not being pursued. |

If either of the open statuses are selected then the issue is still considered active and notifications and warning will still be displayed to respective parties. The closed statuses mark the issue as inactive and no longer requiring attention. The type of status selected obviously depends on what has transpired but is also important for key reports within Tracker.

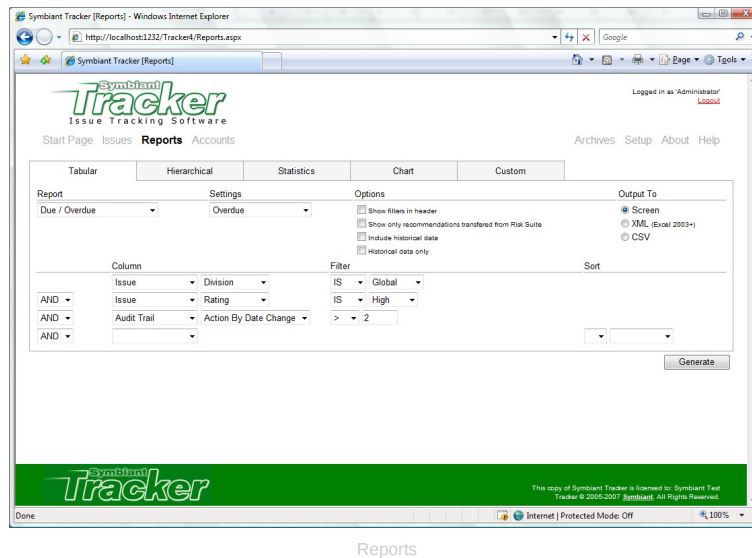
Click [Save and close] to update the issue status (and any other fields changed), to return to the response screen without saving any changes, click the  button at the top right of the page.

Reporting

Internal Audit departments main product is an audit report, or rather a series of audit reports, one for each internal audit they perform within a business each year. These reports contain recommendations relating to the weaknesses (Issues) that they have found in the part of the business they were auditing. Tracker provides a collection of useful and approved reports as well as providing the ability to create bespoke custom reports.

To create a report go to reports by clicking the [Reports] menu item. The reports are split into 5 key sections, these are:

- **Tabular** – column based reports.
- **Hierarchical** – structure based reports (*Pro only*).
- **Statistics** – reports that help identify trends and important areas.
- **Charts** – graphical charts that help identify trends and important areas.
- **Custom** – a bespoke report builder.



Within each of these main report sections the reports are further sub divided into reports for various purposes.

To generate a report select the report type, the sub report, configure any of the additional required parameters and filters and click [Generate]. For a detailed review of the filters in Tracker see the in-depth filters section.

By default reports are generated to the screen and are displayed with custom headers, footers and in a style defined in set-up. The reports can be easily printed by clicking the [Print] button at the top right of the report. *Please note that Tracker does not manage the printing, this is done by the browser that is running Tracker. If the report is too big for the printed page then the browser will print overflowing items to different pages. To prevent this, maybe by shrinking the print size to prevent the overflow or to identify where the page breaks should be, print to a 3rd party print manager instead of directly to the printer.*

Tabular and Hierarchical

The reports under Tabular and Hierarchical (excluding Audit reports and Access logs) are generally the same apart from the way they are displayed. These reports are:

- **Due / Overdue**
Displays either all due issue actions, issue actions that are due in x number of weeks or those that are already overdue. Use the settings drop-down to define which to display.
- **Monitor (Register)**
This report generates a complete list of issues and their recommendations and actions including key audit information.
- **New**
By selecting a to and from date under settings all issues that were created between these dates will be displayed.
- **Assignments**
A report that displays which issue recommendation actions have been assigned or are not assigned. Define whether to display Assigned or Not Assigned under settings.
- **Outstanding**
View issues that require attention optionally by anyone, managers/administrators or auditees.

- **Not Adopted / Superseded**

This report displays all issues with a status of not adopted or superseded.

Additionally, specific to the tabular reports:

- **Overdue Actions**

A report that displays how many months overdue actions are (this report should be used in conjunction with the Statistics – Overdue Analysis report).

- **Audit**

Generates an audit trail report of either all changes, action by date changes or assignment changes. The type to generated can be selected from a drop-down under settings.

- **Access Log**

Displays a log of all accesses to the Tracker system, successful or otherwise. Special filters allow easy identification of, for example, problem accounts, IP addresses or users that have not accessed Tracker for a long time.

Statistics and Charts

The statistics and chart reports offer a few shared reports (chart reports require Adobe Flash installed on the users computer), these are:

- **Summary**

This report shows the current status of the issues within Tracker additionally noting if they are overdue or not yet due. The chart is displayed as a simple bar chart. When viewing the statistics you can additionally choose whether to group by divisions.

- **Trend Analysis**

Shows trends through issue ratings and overdue actions over time. Can be displayed as a percentage by checking the box under settings.

- **Aged Analysis**

Shows an aged analysis of overdue actions by division.

In addition to the shared reports above, statistical reports can also be generated for:

- **Open Items**

Shows how many open items are due by a certain action by date.

- **Past due items**

Shows how many items are past due and who they are assigned to.

- **Closed items**

Shows how many closed items there are and which audit report (name) they are in.

- **Changes**

Shows how many general changes and action by date changes have been made on issues.


- **Overdue Analysis**


Shows overdue actions by ratings and or divisions

Custom

Trackers custom reports allow for completely bespoke reports to be generated. The reports are generated in the tabular format and include the report headers and footers defined during set-up as well as the grid styling.

The custom reports extend the filter matrix to include a Show check box. By checking this box the identified column is displayed on the report. Checked columns can include filter and sort information as normal. The filter can include as many checked and unchecked filter defining columns as is required to create the report. The name displayed on the report is defined under settings.

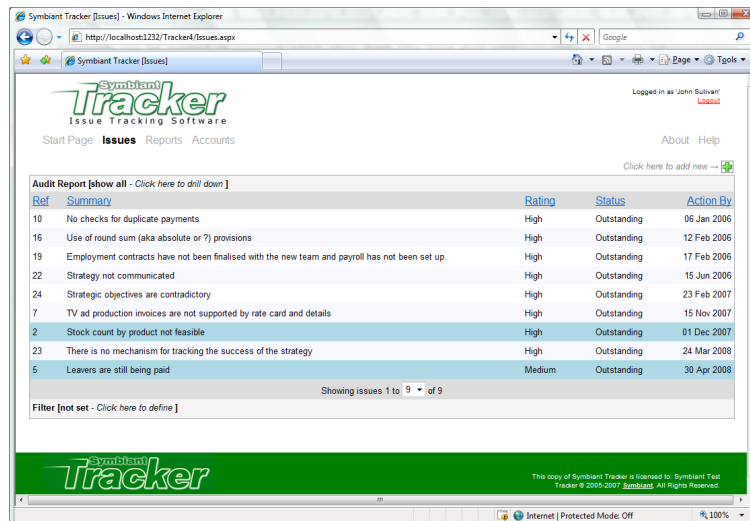
To save a custom report to be reused later, ensure a name has been entered for the report under settings and click the  button. Generally when a custom report is saved it is saved with private privileges meaning that only the user that created the report can view it. However, administrators and managers can optionally save reports for all users or all managers (administrators can also save for all administrators) by selecting the relevant option from the Save As drop-down.

To view a saved report, select it from the reports sub menu. Users that created a report or administrators can delete reports from the system by clicking the  when viewing the report in question.

Managers

The managerial role within Tracker is a key and potentially very powerful role. Managers are generally responsible for users (auditees) who are in the same divisions, identified when adding the accounts. Managers are able to view all recommendations, actions and reports relating to issues within their division or that have been assigned to auditees within their division.

Managers can be granted permissions which allow them little more than view only rights to almost administrative privileges, including creating and archiving issues, responding and monitoring comments and managing user accounts (all within their division) etc.



The screenshot shows a web browser window displaying the Symbiant Tracker application. The page title is "Symbiant Tracker [Issues] - Windows Internet Explorer". The address bar shows "http://localhost:1232/Tracker4/Issues.aspx". The page has a navigation bar with "Start Page", "Issues", "Reports", and "Accounts". The main content area is titled "Audit Report [show all - Click here to drill down]". It contains a table with columns: Ref, Summary, Rating, Status, and Action By. The table lists 9 issues. Below the table, it says "Showing issues 1 to 9 of 9". At the bottom, there is a filter section and a footer with the Symbiant Tracker logo and copyright information.

| Ref | Summary | Rating | Status | Action By |
|-----|---|--------|-------------|-------------|
| 10 | No checks for duplicate payments | High | Outstanding | 06 Jan 2006 |
| 16 | Use of round sum (aka absolute or ?) provisions | High | Outstanding | 12 Feb 2006 |
| 19 | Employment contracts have not been finalised with the new team and payroll has not been set up. | High | Outstanding | 17 Feb 2006 |
| 22 | Strategy not communicated | High | Outstanding | 15 Jun 2006 |
| 24 | Strategic objectives are contradictory | High | Outstanding | 23 Feb 2007 |
| 7 | TV ad production invoices are not supported by rate card and details | High | Outstanding | 15 Nov 2007 |
| 2 | Stock count by product not feasible | High | Outstanding | 01 Dec 2007 |
| 23 | There is no mechanism for tracking the success of the strategy | High | Outstanding | 24 Mar 2008 |
| 5 | Leavers are still being paid | Medium | Outstanding | 30 Apr 2008 |

Issues grid viewed as a manager

Responsibilities

As a manager the main responsibility in Tracker is the same as in the workplace. The managing of users under them. "Users under them" in Tracker are those in the same division but given an Auditee role in accounts.

Assuming that the relevant permissions have been granted a normal managerial scenario in Tracker would include, issue actions being assigned to users within a managers division or to the manager themselves to be re-assigned as they see fit. The manager would accept responsibility for keeping tracks on the users progress, prompting them for action if the action status has not been updated, reviewing any status updates and ensuring that the actions are meeting the requirements of the recommendation.

Again, depending on the permissions granted to the manager they could even mark the action as implemented and change the status of the issue, implementing it in its entirety.

It is possible to introduce a normal work hierarchy within Tracker. Where by higher up managers can be given more responsibility. For example, one low down manager could be responsible for communicating with the users and ensuring the actions are done. A middle manager could be responsible for checking over what has been done and implementing the actions adding a final confirmation comment that they have checked and signed it off. A senior manager could then be responsible for changing the status on the issue and finally saying, "yes this issue has been implemented" (or not).

The point is, whatever the business structure Tracker can accommodate it with its hugely powerful account roles.

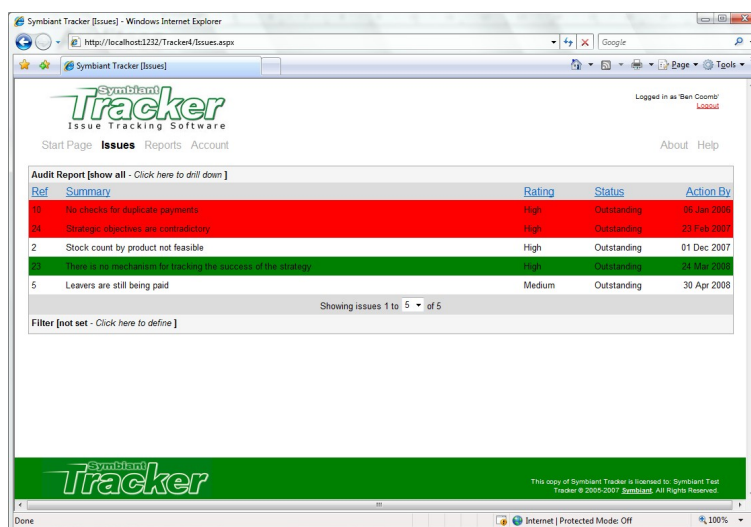
Auditees

Auditees are the main workforce within Tracker. They are assigned and accept responsibility for actioning tasks to implement recommendations or parts of recommendations to address a business weakness or issue.

The power of Tracker over traditional issue management utilities is this onus, this delegating of responsibility. An auditee has one role within the system and that is to do what is identified in the action they are assigned and report back on their progress.

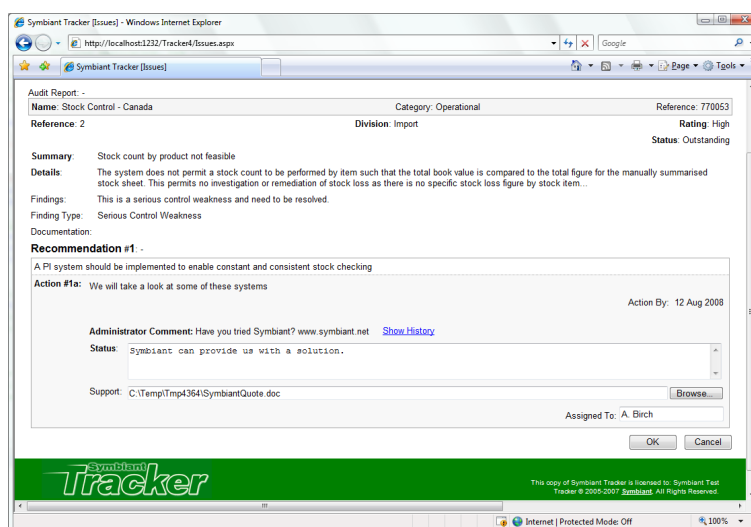
Actioning issue recommendations

To action an assigned issue in Tracker, whilst logged in as an auditee, go to issues by clicking on the [Issue] menu link. Locate the issue that requires attention, this will normally be highlighted (by default) either green to identify a newly assigned or updated issue or red to identify an issue that is overdue and requires immediate attention. Click the row to view the issue details.



Issues grid viewed as an auditee

The full issue details will be displayed with links to any supporting documents. The relevant recommendation and action details the user is responsible for will be displayed with a space to provide a status update. The status update requires only the status field be completed, optionally however if documentation has been enabled in Tracker a supporting document can be attached to backup the status or provide management any additional information they may require. Finally an optional Owner or Assigned to box allows the user to further delegate responsibility of the action to someone else (who may not be in the Tracker system), if this is blank responsibility will be assumed by the user updating the status.



Auditee response screen

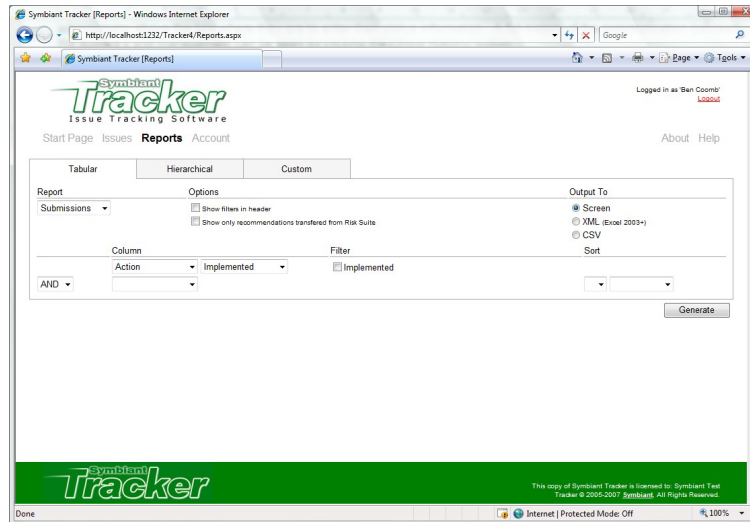
To add the status update click the [OK] button.

An auditee will always be alerted by email (if enabled) when a manager has updated or responded to a comment made. The start page statistics will give the user an overview of what they need to do and the issue grid highlights will direct their attention to what issues need their attention. The user will be able to see the last comment made by a manager or administrator above the box where they are to enter their status information. A full history of the communication between the auditee's and management can be seen by clicking the [Show History] button.

Reports

Auditee reports differ to those of managers and administrators in that the majority of the reports are not relevant to them. As an auditee there are 3 report areas:

- **Tabular**
- **Hierarchical** (*Pro only*)
- **Custom**




Auditee reports


Both tabular and hierarchical reports include:


- **Submissions**
A report that details the users status updates to date.
- **Due / Overdue**
Displays either all due issue actions, issue actions that are due in x number of weeks or those that are already overdue which are assigned to the user. Use the settings drop-down to define which to display.

Archives

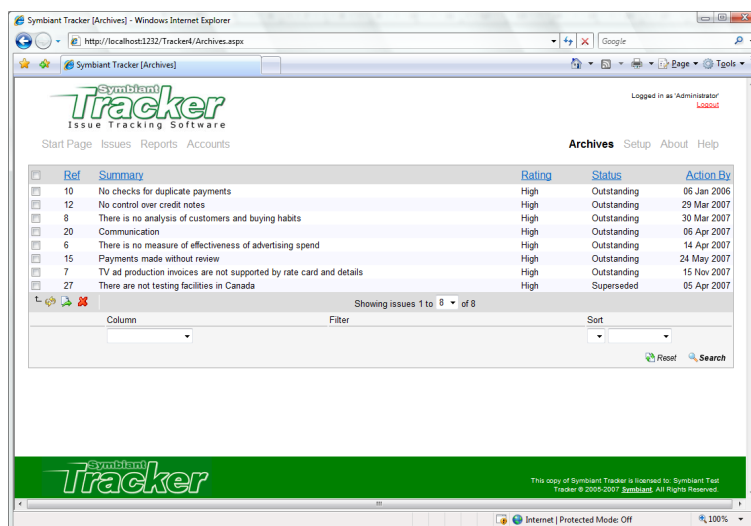
When an issue has been resolved and is no longer required within the Tracker system it can be archived out. An archived issue is still stored in Tracker and can be included in all reports if required, it can be restored to full operational status at any time.

To archive an issue, as an administrator or manager with the relevant permissions, go to issues by clicking the [Issue] menu link. Locate the issue to archive and click the row to view it. Click the  at the top right of the issue page to archive the issue.

Alternatively, to archive an entire audit report, go to issues and click on the top row of the issue grid to display the audit report selector. Select the audit report to archive and a  will appear at the top right of the issue grid. Click this to archive all issues in the selected audit report.

A final alternative is to apply a filter to locate the issues to archive, again a  will appear at the top of the issues grid. Clicking this will archive all issues returned by the current filter.


Archived issues can be viewed by administrators only by clicking the [Archives] menu link. Here the archives are displayed on a grid similar to the issues grid. The filter is always available to quickly and easily locate required items in the archive.





Archived issues grid

Restoring, exporting and deleting

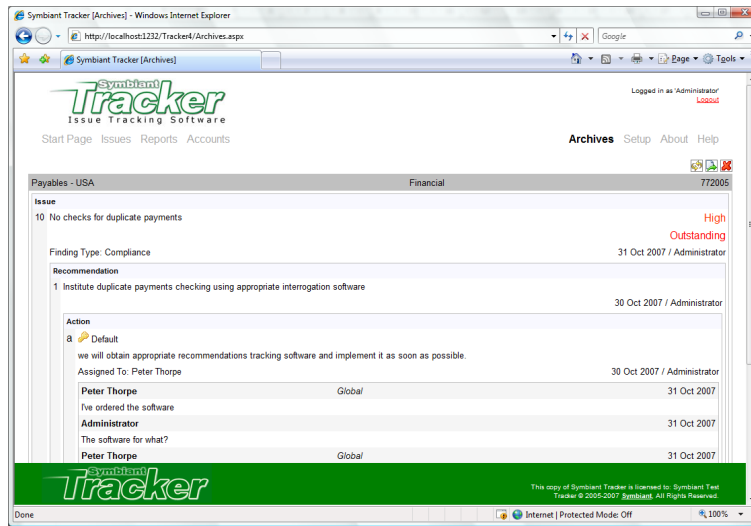
Archived items are not operational, the only actions that can be performed on them are restoration to full operational status, exporting the archives to an XML document (for use in 3rd party tools or to re-import) or a full and total deletion of the issues from the system (the system will automatically export the items to ensure that they can always be re-imported if required).

To restore, export or delete an archived item, go to archives by clicking the [Archives] menu link. Locate the archived item to restore and click the row. A detailed view of the issue including all associated actions and responses is displayed. To restore the issue in its entirety click the  button. The issue will then be removed from the archives and returned to the issues grid where it can be edited and assigned like any other issue.

To export the archived issue to an XML document (including XSD schema file to assist importing into 3rd party applications) click the  button.

Finally to delete the archived issue from the system completely, click the  button. Before an item is deleted a backup will be made to an XML file as above, but no link will be returned for it and if it is required it will need to be manually located and retrieved from the defined exports folder.

All items deleted from Archives can be fully re-imported from the XML export files created above.



Archived issue view

It is also possible to restore, export or delete multiple issues at once. By checking the check-box in the left most column of the archives grid multiple issues can be restored, exported or deleted at once. Exported items will be stored in a single large XML file rather than numerous small ones as would happen if they were exported individually.

To select all the visible check-boxes on the current page click the check-box in the grids header. It is possible to select check-boxes on multiple pages so as to quickly and easily select all the issues to restore, export or delete. A cautionary note here, if issues are selected across multiple pages not all checked issues will be visible so it is important to double check all pages before proceeding.

Appendix A - In-depth

This section of the user guide will take an in-depth look at a few of the key areas in Tracker, filters, reports and permissions.

Filters

The filters in Tracker are incredibly powerful and can find everything from individual issues to those that contain a certain letter in their summary for example.

The filters matrix is split into 3 key sections, the column, the filter and a return sort order. The column identifies which part of tracker to search, the filter specifies what to search for and the sort allows what is found to be returned in a specific order.

Below is a table identifying each of the columns that can be selected, these are based on the Pro version:

| Column | | Description |
|----------------|--------------------|---|
| Audit Report | Name | The audit report name. |
| | Category | The audit report category. |
| | Reference | The audit report reference. |
| | Edited On | The date the audit report was last edited (generally this will be the date it was created). |
| | Edited By | The user that last edited the audit report (generally this will be the user that created it). |
| Issue | Reference | The issue reference. |
| | Division | The issue division (this does not include user divisions that the issue may inherit because of cross division assignments). |
| | Status | The status of the issue (Outstanding, Implemented etc.) |
| | Rating | The issue rating. |
| | Summary | The brief summary given to identify an issue in the issue grid. |
| | Details | The issue details. |
| | Findings | This issues findings (new to Tracker 4). |
| | Finding Type | The issues finding type. |
| | Edited On | The date the issue was last updated. |
| | Edited By | The user that last updated the issue. |
| Recommendation | Recommendation | The issues recommendation. With multiple recommendations it will return only the matching recommendation and parent issue. |
| | Edited On | The date the recommendation was last updated. |
| | Edited By | The user that last updated the recommendation. |
| Action | Action | The issues recommendation action. With multiple actions it will only return the matching action and associated recommendation and parent issue. |
| | Key Action | If the action has been marked as key. |
| | Action Relates To | The action relates to grouping. |
| | Implemented | If the action has been marked as implemented. |
| | Assigned To | The user the action has been assigned to (one of). |
| | Inherited Division | Divisions inherited by an action because of assignments to users in divisions other than that the main issue is associated with. |
| | Action By | The date the action must be implemented by. |

| Column | Description | |
|---------------|-----------------------|--|
| Action | Edited On | The date the action was last updated. |
| | Edited By | The user that last updated the action. |
| Action Status | Action Status | The status comment or management response for an action. |
| | Owner | The owner (or assigned to) an action was delegated to as recorded when a user (auditee) logged the status. |
| | Actioned On | The date the comment was left. |
| | Actioned By | The user that left the comment. |
| Audit Trail | Edited On | The date the item was audited, any issue change in Tracker is audit trailed. |
| | Edited By | The user that audited the change. |
| | Comment | The comment (if any) left when the change was made. |
| | Action By Date Change | Allows the user to identify items that have had their action by date changed x number of times. |
| Accounts | Username | The ID used to login to Tracker. |
| | (Given) Name | The users chosen display name. |
| | Role | The users role (Administrator, Manager, Auditee). |
| | Assignable | Whether the user is assignable, i.e. can they take responsibility for actions. |
| | Active | Whether the user currently has Tracker access/login privileges. |
| | Division | A division the user belongs to. |
| | Manager (owner) | The account that created the user, i.e. an administrator or manager with create account privileges. |
| Access | Date | The date the access attempt was made. |
| | Authorised | Whether the access attempt was successful. |
| | IP Address | The IP address recorded from the computer attempting access. |
| | Attempts | Allows the user to identify accounts that have logged in or attempted to login in x number of times. |

The accounts and access filters are currently only available when viewing the Access Log report.

Following the column selection the filter type and value must be selected there are several different filtering methods and a few alternative entry methods. Below is a table that identifies the different filter type methods and the type of entry they are associated with:

| Filter Method | Value Entry Type | Description |
|---------------|--------------------------|---|
| IS | Drop-down list selection | Returns only items that match the item selected. |
| NOT | | Returns all items that do not match the item selected. |
| IS | Manual text entry | Returns only items that exactly match the text entered. |
| NOT | | Returns all items where the text is not matched. |
| IS LIKE | | Returns all items where the text is matched allowing for wild card searches by including an asterisk (*). |
| IS NOT LIKE | | Returns only items that do not match the text including wild card searches. |
| = | Date selection | Returns only items that fall on the date selected. |
| > | | Returns all items where the date is after the one selected. |
| < | | Returns all items where the date is before the one selected. |
| <> | | Returns all items that do not fall on the date selected. |

| Filter Method | Value Entry Type | Description |
|---------------|-----------------------|--|
| = | Numerical value entry | Returns only items with the exact number of entries entered. |
| > | | Returns all items with more entries than that entered. |
| < | | Returns all items with fewer entries than that entered. |
| <> | | Returns all items with more or less entries than that entered. |
| Check box | | If checked returns items that match otherwise returns items that do not. |

For the **IS LIKE** and **IS NOT LIKE** filters the wild card searches allow for the entry of part of the information to find and then the asterisk (*) for the unknown or unimportant remaining characters. For example, if searching for a users name entering "pa*" would return **Paul**, **Pam**, **Patrice**, **Patrick** etc. It is possible to include the asterisk anywhere in the text and include as many of them as is required, for example, "*pa*" would result in **Caspar**, **Cleopatra**, **Jaspar**, **Orpah** etc.

However, even with these hugely definable and configurable filter types if only one filter could be applied the filtering would be limited. To this end, Tracker includes an incredibly powerful yet simple means of building very complex filters. As soon as the first column is defined a new row appears where a second (third, fourth, fifth etc.) column and filter can be defined. The next row of the filter includes an additional drop-down not seen on the first, this allows the user to specify whether the new filter is to be compared as well as (**AND**) or instead of (**OR**) the previous.

To make these filters even more powerful, Tracker will group sequential filters on the same column together. This means we can create filters within filters. For example, lets say we wanted to return all issues from the UK or USA, that are outstanding or partly implemented.

In Tracker the filter would be defined as:

| | Column | | Filter | |
|-----|--------|----------|--------|--------------------|
| | Issue | Division | IS | UK |
| OR | Issue | Division | IS | USA |
| AND | Issue | Status | IS | Outstanding |
| OR | Issue | Status | IS | Partly Implemented |

What this would look like if written as a filter is:

Get all issues where [Issue Division **is** "UK" **or** "USA"] **and** [Issue Status **is** "Outstanding" **or** "Partly Implemented"]

Meaning the results that are returned will only include issues that are in the UK or USA and that are either outstanding or partly implemented, rather than everything that is in the UK, USA, outstanding or partly implemented.

The final area of the filter matrix deals with the order the data is returned in. Not all columns can be sorted because of the type of data they contain, those that can't be sorted do not show the sort drop-downs. Those that can, take the order the sort should be applied in, i.e. 1st, 2nd, 3rd etc. (depending on how many columns have been defined) and the direction they should be sorted, Ascending (A-Z; 1, 2, 3 etc.) or Descending (Z-A; 10, 9, 8 etc.). For example, if two columns are selected, Issue reference and Issue rating, with issue rating set as the first sort and reference as the second, both sorted in Ascending order, a possible sort will look like:

| Ref | Summary | Rating |
|-----|---|--------|
| 3 | This is the third issue but the first to have a high rating. | High |
| 5 | This is the fifth issue but the second to have a high rating as the fourth has a medium rating. | High |
| 6 | This is the sixth and final issue but the third to have a high rating. | High |
| 4 | This is the fourth issue and is the only one with a medium rating. | Medium |
| 1 | This is the first issue and the first to have a low rating. | Low |
| 2 | This is the second issue which also has a low rating. | Low |

Reports


In order to keep track of what is going on within an audit and for effective presentations and reviews, powerful and detailed reports need to be generated. The reports in Tracker offer quick, powerful and effective reports that can be presented to a comity as and when required.

The main features of reports have already been outlined in the set-up and reports sections earlier in this guide. To quickly recap, reports that are output to the screen can have customised headers and footers and be displayed in customisable fonts and colours defined in set-up. There are 5 styles of reports each with several sub reports available through the reports page. Many reports allow specific settings to be applied to generate different kinds of key report and all allow for the exceptionally powerful filters covered above to be applied.

The options although fairly self explanatory should be covered. The available options are:

- **Show filters in header**
Will take any filter defined, generate a meaningful English representation of that filter and display it at the top of the report (again the font, style, colour of this can be defined in set-up).
- **Include Historical data**
Will include all the archived issues in the report along with all the current issues.
- **Historical data only**
Will include only the archived issues, not the current issues. This cannot be selected at the same time as include historical data for obvious reasons.

Tabular, Statistical and Custom reports provide the option to output the reports to:

- **Screen**
Reports launch in a new window with the custom headers, footers and styling. The reports can be sorted by clicking in the header of the report and printed using the [ Print] button at the top of the report (see the main reports section for an advisory on printing).
- **XML** (Excel 2003+)
Reports can be output directly as XML for use in 3rd party reporting tools. As the most popular tool (and historically the main issue tracking tool) is Microsoft's Excel, the XML is formatted in such a way that it will open directly into Excel 2003 or later.
- **CSV**
To support historical systems, Tracker will also export reports as coma separated values. These files can be imported into almost any spreadsheet, database or report presentation tool on the market.

Permissions

Below is a table that outlines all the permissions, what they do and who they are assignable to:

| Permission | Admin | Manager | Auditee | Details |
|------------------------------|-------|---------|---------|--|
| Active (login) | X | X | X | Allows the user to login to the Tracker system without this permission they would not be able to use Tracker at all. |
| Assignable | X | X | X | The user can be assigned responsibility for actions. Generally an auditee will be responsible for the implementation of an action, managers and administrator would generally re-assign the action. |
| Archives | X | | | Administrators have full privileges for all issues and accounts, however by removing this they are prevented from restoring, exporting or deleting items from the archive. |
| Set-up | X | | | By removing this permission an administrator would not be able to alter any of the system core settings. |
| Manage Accounts | X | X | | Allows the management of user accounts. Managers can only create accounts within their division and modify accounts they have created. |
| Upload Documents | D | X | X | Allows users to upload documents, for auditees this is to support a status update, for managers this is associated with an issue, recommendation or action. |
| Remove Documents | D | X | | Allows managers to remove documents that have been attached to issues, recommendations or actions. |
| Create Issues | D | X | X | Gives permission to create new issues. |
| Edit Issue Details | D | X | | Allows managers to alter the detail content of an issue, this does not include the issues status, an actions assignments, action by date or implementation status, it also will not allow then to add new recommendations or actions (all these must be defined separately). |
| Change Issue Status | D | X | | Gives the manager permission to change the status of an issue, allowing them to mark it as implemented and close the issue. |
| Add Recommendations | D | X | X | Allows users to add new recommendations to existing issues. |
| Add Actions | D | X | X | Allows users to add new actions to existing recommendations. |
| Edit Action Relates | D | X | X | Allows users to change the action relates drop-down with their response. |
| Re-Assign Actions | D | X | | Allows managers to reassign an action that they have been assigned, providing a very powerful means of hierarchical delegation. |
| Change Action By Date | D | X | | Gives managers permission to alter the date an action is due by. It is further possible to change the number of times a manager with this permission can alter an action by date before the system prevents them from making any more via the issues options. |
| Show Original Action By Date | D | X | | Allows managers to see the original action by date (if the action by date has been changed) |
| Remove Actions | D | X | | Allows a manager to remove actions from a recommendation. |
| Remove Recommendations | D | X | | Allows a manager to remove recommendations from an issue. |
| Respond | D | X | | A key permission for most managerial roles, allows managers to respond to comments left by auditees. |
| Remove Action Comment | D | X | | Allows managers to remove status update comments. |
| Mark Implemented | D | X | | Gives the manager privileges to mark an action as completed (implemented) and enter the final comment. Once an action is implemented it is closed and users can make no further comments on it. |
| Archive Issues | D | X | | Allows managers to archive out issues (only administrators with the required permissions can fully delete an issue from Tracker). |
| Report Historical | D | X | | Gives managers the ability to create reports using historical data as well as current data. |
| Remove Custom Reports | D | X | | Allows managers to remove custom reports they did not create. |

X = Optional/additional privilege, D = Default privilege

Appendix B - Importing issues from a spreadsheet

Tracker allows issues to be imported from an Excel spreadsheet. The sheet needs to meet basic formatting and naming requirements but basically will allow the easy importing of large quantities of existing issue data.

The worksheet should keep its default name of "Sheet1" and contain one or more of the following columns (the names of which are not important, but sensible naming is suggested to allow easy selection within Tracker):

- Audit Report Name
- Audit Report Category
- Audit Report Reference
- Issue Reference
- Division
- Rating
- Status
- Issue Summary
- Issue Details
- Findings
- Finding Type
- Recommendations
- Relates (action key drop-down)
- Agreed Action
- Assigned To [account]
- Action By [date]
- Created By [account]

An example worksheet could look like:

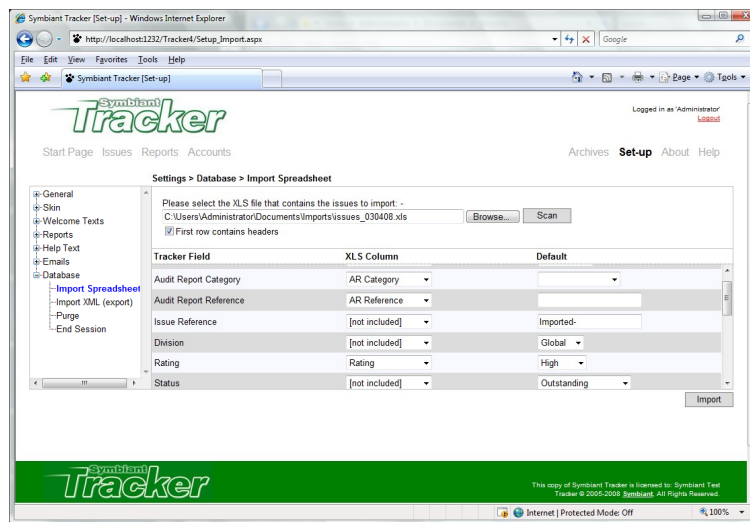
| | A | B | C | D | E | F | G | H | I |
|-------------------------------------|-------------|--------------|--------|---|--|--|--|--------------|------------|
| 1 | AR Category | AR Reference | Rating | Summary | Details | Recommendation | Action | Assigned To | Action By |
| 2 | Operational | 77053 | High | S&M staff not sufficiently trained | Sales & Marketing staff are not sufficiently well trained in product knowledge to be able to sell the company's products effectively.... | Monthly training courses should be provided for constant improvement of product knowledge and thereby increase likelihood of profitable sales. | We will speak to London head office with regard to organising these courses | Mark Jacobs | 23/08/2008 |
| 3 | Financial | 77054 | High | No checks for duplicate payments | No checks are made for duplicate payments to suppliers and so vendors may easily be paid twice without anyone noticing. | Institute duplicate payments checking using appropriate interrogation software | we will obtain appropriate recommendations tracking software and implement it as soon as possible. | Stephen Shaw | 22/08/2008 |
| 4 | Operational | 77053 | Med | Stock count by product not feasible | The system does not permit a stock count to be performed by item such that the total book value is compared to the total figure for the manually summarised stock sheet. This permits no investigation or remediation of stock loss as there is no specific stock loss figure by stock item... | A PI system should be implemented to enable constant and consistent stock checking | We will take a look at some of these systems | Mark Jacobs | 17/09/2008 |
| 5 | HR | 77055 | Low | Employment contracts have not been finalised with the new team and payroll has not been set up. | New contracts and HR systems have not been set up despite the team being in place for two months working without pay. | Pay staff manually and implement HR systems and then reconcile manual payments to agreed contracts. | We will implement this recommendation as a matter of urgency | Sarah Lacy | 12/08/2008 |
| <div>Sheet1 / Sheet2 / Sheet3</div> | | | | | | | | | |

The remaining missing columns can be assigned default values in Tracker; for example, allowing them all to be imported under one audit report name, with incrementing issue references and created by the default administrator.

It is important to ensure that the columns only contain plain text, you can easily reformat an existing spreadsheet to remove all formatting and calculations. Also, ensure the action by date is in the UK format (dd/mm/yyyy).

In Tracker the spreadsheet is imported under set-up, this means it is restricted to users who have full administrative privileges. As an administrator go to [Set-up] select [Database] from the index and then [Import Spreadsheet].

Tracker displays a reminder alert, with details about the required formatting etc. Close this by clicking the [Close [x]] at the top right of the dialogue.



To import the Excel spreadsheet, open the spreadsheet by clicking the [Browse...] button and locating the spreadsheets .xls file. The spreadsheet can optionally be scanned to identify the column headers by clicking the [Scan] button. This will also attempt to map the column headers to the predefined columns in Tracker. It is important to double check that the columns are correctly mapped.

If the spreadsheet does not contain headers at the top of the worksheet, un-check the [First row contains headers] option. The Tracker columns should then be mapped against the column letters in the spreadsheet.

For any columns that are not included in the spreadsheet, ensure that the **XLS Column** in Tracker is set to [not included] and that the correct value under **Default** is selected. In the above example where no issue reference is included in the spreadsheet, the issue reference column will append the text entered under Default with an incrementing value, for example, "Imported-" would appear as:

Imported-1
Imported-2
Imported-3

etc.

When everything is correctly assigned and the mappings have been double checked, click the [Import] button to import the spreadsheet.

The import process can take several minutes depending on the speed of the server and the size of the Excel worksheet. It is important to ensure that the server does not time out in the middle of this process, check with the web server administrator that Tracker has no, or a very high, time out limit. It is also important that Tracker is not closed nor the computer shut-down while the import is in progress.

When the import is complete Tracker will automatically redirect to the Issues page so the imports can be reviewed.

Appendix C – Database and server management

To simplify the management of Trackers back-end database, Tracker includes a simple purge function to tidy really old and unused items from the database (and exports folder) and a simple re-import tool to allow issues that have been deleted (and exported) from Tracker to be re-imported should they be required.

Purge

The Purge tool allows historical data to be permanently deleted from the database (and server). As always a backup of any purged data (except files from the exports folder) will be automatically backed up to an XML file, however this data cannot be re-imported.

The four main areas from Tracker that can be purged are:

Access Log – This is the log that is maintained of all Tracker access attempts, successful or not. Because this records every access, the log can quickly become very large. Although it is important to maintain a log to help identify security concerns, really old data will just be taking up room in the database.

Password History – The password history records the different passwords used by each user. The passwords are one way encrypted meaning there is no algorithm to decrypt them and they cannot be reported on or reviewed by anyone even administrators. The purpose of the history is for enhanced security, it simply ensures that users do not keep re-using the same password or simply switching between two or more favoured passwords. Whether these mechanisms are employed in Tracker depends on how the system is configured but the history is always maintained regardless. If users are forced to change their password every few weeks and are restricted from re-using the same password within as many months, then to avoid redundant records this history could be cleared out every 3 or 4 months.

Audit Trails – The audit trails in Tracker record every transaction that occurs to issues within the system. All changes to audit reports, issue details, recommendations and actions are recorded. These audit reports are automatically cleared when an issue is delete from the system. However, if it is not important to be able to report on ancient historical changes these trails can be periodically cleared. Audit Trails are the most performance intensive records maintained by Tracker, if you do not require audit trails over a year old for example performance will be greatly enhanced by deleting them. Tracker automatically exports the trails to an XML file so the records are not lost, but great performance gains can be achieved.

Exports Folder – The exports folder is where everything exported from Tracker is stored. Every report that is output to CSV or XML, every archives delete/export and all the above purged data. This folder can therefore become very large and take up a lot of unnecessary room on the server. Generally when something is exported from Tracker the user can choose to save a copy in another location. This is especially important for purged data and deleted archives data. It is good practice to store backup data separately to the server but this is the responsibility of the audit team and/or server administrators. Generally there should be no reason why this folder cannot be cleared out regularly.

The purge tools will delete all data over a certain number of months old and can download the backup XML file to be saved in a safe location.

When the relevant purge options are checked and the months old entered, click the [Purge] button to permanently delete the data.

Please remember this data cannot be re-imported back into Tracker and that the contents of the exports folder is not included in the XML backup.

Re-import deleted archived data

When issues are removed from Tracker into the Archives they are still stored in the same database and so technically are not truly archived. To truly archive data out of Tracker it must be exported and delete from the internal archives as XML data which can then be stored in a separate (compressed) archived location. To ensure data that has been archived out of Tracker can be reviewed and reported on in the future the XML archive file can be re-imported into Tracker at any time.

Only data that has been deleted/exported from the Tracker archives can be re-imported, Tracker will compare the schema of the XML with the current Tracker database schema to ensure data is correctly re-imported and only valid data is re-imported.

Only administrators with full privileges can re-import data, to do this, go to [Set-up] and select the index [Database] then [Import XML (export)]. Click the [Browse...] button to locate the exported XML archive file to re-import.

There are a few options that can be used while importing data, these are:

Include Documents – Because it is not possible to include associated documentation in the archived XML export file (for obvious reasons), unless the documents have been separately backed up and restored, then the original document links will no longer be valid. If this is the case then by un-checking this option the archived issues are imported but without the references to documentation. New documents can then be associated with the issues as/if required.

It should be noted that issue level documents can be re-associated with a new document if the original is missing, however auditee comment documents will need to added as new comments.

Include Action Statuses – This option essentially allows for an issue to be reset. By importing an issue without its action statuses; when the issue is moved out of archives and the issue status marked open, it will be as if it is a completely new issue.

Create Selections – Because of the continually evolving nature of Tracker it may be that certain selections, such as issue ratings, divisions, finding types etc. are no longer relevant to data in the system so have been removed. If this is the case then Tracker will, by default, abort the import as the base system is no longer relevant to the data being imported. However, it is possible to re-add these items back to the base system by checking this option and so import the data.

Create Accounts – As above, because employees/users come and go, users who were responsible for issues/actions back when the archived data was exported may no longer be in the system. Tracker will by default abort the import if this is the case, however the original user can be re-added to the system by checking this option. Users that are re-added are added with an inactive status so they cannot login or be assigned to anything unless their re-created account is updated, they also do not belong to any divisions.

When the import file is selected and the options chosen, click the [Import] button to re-import the exported/deleted archive.

If any data in the XML file already exists in Tracker it will not be re-imported, the data in Tracker will always remain intact.

Once the data has been imported, it will appear in Tracker exactly as it was before it was deleted/exported. By switching to Archives the data can again be viewed, restored or deleted/exported again to a new XML file.

End sessions

Because Tracker only permits each user to login on one workstation users must log out of one before they can login on another. Sessions in Tracker are monitored and where possible Tracker will identify if a users has left Tracker and automatically log them out. It can also identify if a user has not used their session for a defined period of time (set by the server) after which it will automatically log them out. Users themselves can of course click the log out link to log themselves out. However, there is the possibility than none of these mechanisms will catch users who carelessly end their Tracker sessions. In these cases the user may not be able to regain access to Tracker as the system could believe they are still logged in elsewhere. In order to get round this issue, administrators can forcibly terminate a Tracker session allowing the user to log back in.

It is important to note that Tracker cannot terminate the session on the server, this is for security reasons and imposed by the server not Tracker. It is important therefore to ensure that no one is using a session before it it terminated.

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