QUICK USER GUIDE

Audit & Risk Management Platform

A practical, beginning-to-end walkthrough for new users — what to do after you sign in, and what comes next at every stage of the audit lifecycle.

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Audit & Risk Management Platform

Contents

1. Getting Started

The platform is multi-tenant: each customer organization is an independent tenant. Access is layered:

Platform Administrator

A cross-tenant authority, held as a platform-level (realm) role in the identity provider — not tied to any one organization. Can create brand-new organizations (tenants) and each one's first System Administrator. Cannot otherwise act inside an organization's day-to-day audit work.

Location · Admin → Organizations (`/admin/organizations`)

Tenant / System Administrator

Full control within their own organization only: creates further users of any role (including additional System Administrators), configures reference data, departments, risk matrix, etc.

Location · Admin → Users (`/admin/users`)

Ordinary / Auditor Users

Created by a System Administrator and assigned one or more functional roles (see table below). Their menu and permissions adjust automatically to what their role(s) allow.

Creating Additional Tenant Administrators

An existing System Administrator adds a new user via Admin → Users and assigns them the System Administrator role. Creating a brand-new organization (a second tenant) instead requires a Platform Administrator.

Built-in Roles (seeded automatically for every new tenant)

Role	Typical footprint
System Administrator	Full ownership of the tenant — every module, including user management and permissions.
Chief Internal Auditor	Owns the audit lifecycle end to end (universe through reporting); can approve/close; view-only on administration.
Audit Manager	Runs the audit program day to day; same footprint as CIA minus deletion rights and administration visibility.
Auditor	Fieldwork: create/edit execution, working papers and findings; view elsewhere for context.
Risk Manager	Owns the Risk Register end to end; view-only elsewhere.
Department Head	Reviews and responds to findings/follow-up affecting their department; view-only otherwise.
Management Action Owner	Owns their assigned management action plans and follow-up items.
Audit Committee Viewer / Executive Viewer	Read-only oversight across the lifecycle, with export where available.

Login & Basic Setup

1. Open the Audit & Risk Platform at `https://audit.thinkfinancials.com` and sign in — authentication is handled by your organization's identity provider.
2. Sign in using the credentials provided by your administrator. Your menu and permissions are determined by the role(s) your administrator has assigned to your account (see the role table above).
3. After signing in, open **Audit Journey** in the Dashboard menu (`/journey`). This is a live, auto-generated checklist — it reads your organization's real data and tells you exactly which lifecycle stage is next. Use it throughout as your compass.

2. Initial Tenant Setup

When a Platform Administrator creates a new organization, a standard baseline is provisioned automatically in one transaction — a new tenant is never left half-configured.

Already pre-populated for a new tenant

Item	Details
Roles	All 9 built-in roles above, with their default permission grants.
Risk Matrix	A default 5×5 Likelihood × Impact matrix with Low/Medium/High/Critical bands. Editable afterwards.
Audit Universe Categories	Department, Function, Process, Project, Branch, Program, IT System, Vendor.
Reference Data	~17 lookup categories pre-filled — Risk Type/Rating/Appetite, Location, Audit Type/Frequency/Status, Engagement Status, Finding Category/Status/Priority, Root Cause Category, Recommendation Category, Action Status, Follow-Up Status, Document Type, Evidence Type, Engagement Team Role.
Departments & Business Units	A generic enterprise baseline — 20 Departments and ~60 Business Units/Processes — so dropdowns are never empty on day one.
Risk Categories	Strategic, Operational, Financial, Compliance, IT, Cybersecurity, Fraud, Reputational — shared across all organizations, not tenant-specific.

What the Administrator still configures

Item	Why it starts empty
Audit Universe entities (the actual auditable subjects)	Every organization's business processes/systems are unique — nothing is auto-created here.
Organization Structure (Group → Entity → Business Unit → Department → Location)	A newer, optional hierarchy layered above the legacy Departments/Business Units, which already work out of the box.
Additional Users & role assignments	Only the first System Administrator exists initially.
Risk Register, Audit Plans, Engagements, Findings	All lifecycle data — intentionally empty until your team starts working.
Customization of the seeded matrix / reference data / departments	The defaults are a usable starting point, not a fixed requirement — all editable under Administration.

> **BULK IMPORT**
>
> Admin → Bulk Import (`/admin/import`) accepts spreadsheets for Departments, Auditable Entities, the Risk Register, Audit Plans, Planned Audits, Engagements, Findings, and Management Action Plans — useful for loading an existing register instead of entering everything by hand.

3. End-to-End Audit Lifecycle

The application itself tracks progress through 14 stages (see the Audit Journey page) — the sequence below is the recommended path through them.

1 Audit Universe → **2** Risk Assessment → **3** Annual Plan → **4–5** Planned Audit + Team →
6 Engagement → **7** Audit Program → **8** Working Papers → **9–11** Findings + Response + Action Plan →
12 Follow-Up → **13–14** Closure + Reporting

Stage-by-stage

> **1 — Audit Universe · `/universe`**
> **What:** The catalog of auditable subjects (departments, processes, systems, vendors…). **Why:** Everything downstream — risks, planned audits — points back to an entity here. **Before starting:** Nothing (categories are pre-populated). **Next:** Assess risk against these entities, or plan an audit directly.

> **2 — Risk Assessment · `/risks`, `/risks/heatmap`**
> **What:** Score risks (Likelihood × Impact) using the tenant's Risk Matrix. **Why:** Gives the Annual Plan an objective basis for prioritization. **Before starting:** Nothing technical is required — Risk Category and Risk Matrix already exist. **Next:** Optionally link the risk to an Audit Universe entity, then use the resulting rating to inform planning (see Section 5).

> **3–5 — Annual Audit Plan, Planned Audits, Team Assignment · `/planning`**
> **What:** A yearly Plan (Draft → Approved → Active) containing individual Planned Audits, each tied to one Audit Universe entity, quarter and budget, with a tentative lead auditor/team. **Why:** Turns risk insight into a scheduled, resourced program of work. **Before starting:** An Audit Universe entity for each Planned Audit. **Next:** Approve the Plan, assign a team, then convert the Planned Audit into an Engagement.

> **6 — Engagement · `/engagements`**
> **What:** The executable unit of audit work — status flows Planning → Fieldwork → Review → Reporting → Closed. **Why:** Everything auditors actually do (working papers, findings) happens under an Engagement. **Before starting:** Nothing technically — see Section 5 for how it relates to Plans. **Next:** Optionally attach an Audit Program, then start fieldwork.

> **7 — Audit Program · `/programs`**
> **What:** A reusable library of procedure templates (steps, risks addressed, controls tested, testing method) that can be cloned onto an Engagement. **Why:** Standardizes fieldwork. **Before starting:** Nothing. **Next:** Attach a template when creating/editing the Engagement, or proceed without one.

> **8 — Working Papers & Evidence · inside an Engagement**
> **What:** Documented procedures, conclusions, evidence files and reviewer comments, scoped to one Engagement. **Why:** The audit trail behind every finding. **Before starting:** An Engagement must exist. **Next:** Raise Findings from what you observe.

> **9–11 — Findings, Management Response, Action Plan · `/findings`, `/followup`**
> **What:** Record an exception, capture management's formal response, then a Management Action Plan (owner, due date, status). **Why:** This is the corrective-action record the whole audit exists to produce. **Before starting:** An Engagement. **Next:** Track the action plan to completion, then verify it.

> **12 — Follow-Up · `/followup`**
> **What:** A Follow-Up Review records whether management's action was actually implemented. **Why:** Closes the loop — findings are not closed on management's word alone. **Before starting:** A Finding (ideally with a completed Action Plan). **Next:** Close the Finding, or re-open it if verification fails.

> **13–14 — Closure & Reporting · `/reporting`**
> **What:** Close the Finding/Engagement once verification requirements are satisfied, then communicate results. **Why:** Formal sign-off and stakeholder communication. **Before starting:** Verified/closed findings for the fullest report. **Next:** Review Dashboards, build/export a report.

4. Dependencies — What the System Actually Enforces

System-enforced dependency = the application will not let you proceed without it (a database foreign key or explicit validation). **Recommended audit practice** = normally you should do this first, but the application does not block you if you skip it.

Module	Required before starting	Status	Next step
Audit Universe entity	An Audit Universe Category (pre-populated)	INDEPENDENT starting point	Assess risk / plan an audit against it
Risk (Risk Register)	Risk Category & Risk Matrix (both pre-populated). Linking to an entity is optional.	SYSTEM for Category/Matrix (already satisfied) · OPTIONAL entity link	Use the rating to help prioritize the Annual Plan
Annual Audit Plan (header)	Nothing	INDEPENDENT	Add Planned Audits
Planned Audit (line item)	An Audit Universe entity	REQUIRED BY SYSTEM	Assign a lead auditor / team
Team Assignment	A Planned Audit	RECOMMENDED (drives the Journey checklist; not enforced)	Convert to an Engagement
Engagement	Nothing — Plan / Planned Audit / Entity link is optional	RECOMMENDED to originate from a Planned Audit · can be standalone	Attach a program, begin fieldwork
Audit Program (attached template)	Nothing	OPTIONAL	Build Working Papers
Working Paper / Evidence	An Engagement	REQUIRED BY SYSTEM (Engagement) · OPTIONAL program-step link	Raise a Finding
Finding	An Engagement	REQUIRED BY SYSTEM (Engagement) · OPTIONAL Working Paper link · no Risk link exists at all	Management Response
Management Response	An existing Finding	REQUIRED BY SYSTEM	Management Action Plan
Management Action Plan	An existing Finding	REQUIRED BY SYSTEM	Follow-Up Review
Follow-Up Review	An existing Finding (Action Plan link optional)	REQUIRED BY SYSTEM (Finding) · OPTIONAL Action Plan link	Verify / close
Dashboards	Nothing	INDEPENDENT read-only view	—
Reporting Center	Nothing (reports reflect whatever data exists)	INDEPENDENT	—

5. Risk → Plan → Engagement, Explained

This is the part new users find confusing most often, so here it is plainly:

> Creating a Risk does **not** automatically create, update, or feed into any Audit Plan. There is no automatic linkage in either direction.

1. A Risk may optionally be linked to one Audit Universe entity. When it is, that entity's own risk rating is automatically recalculated from its linked risks.
2. That rating is advisory only. Auditors use it as a manual reference when deciding which entities deserve a Planned Audit — the system never auto-selects or forces anything into the Plan based on risk scores.
3. Building the Annual Plan means manually adding Planned Audits against Audit Universe entities — not against Risks directly. There is no "convert this Risk into a Planned Audit" action.
4. A Planned Audit becomes an Engagement only through an explicit "Create Engagement" action (from the Planning screen). Doing so copies over the entity, dates, budget and team. The system blocks creating a second Engagement from the same Planned Audit, but does not require going through one at all.
5. An Engagement can be created directly and independently — with no Plan, no Planned Audit and no Audit Universe entity — for ad-hoc or investigative work.

Recommended approach

Audit Universe → score entities under Risk Assessment → build the Annual Plan by adding Planned Audits for the higher-risk entities → assign a team → approve → convert to an Engagement. Reserve standalone Engagements for investigations or special requests that fall outside formal, risk-based planning.

6. Findings — Frequently Asked Questions

Question	Answer
Can I create a Finding without first creating a Risk?	Yes. Findings have no relationship to Risks in the data model at all — there is no way to link one to the other. Not currently supported.
Can I create a Finding without an Audit Engagement?	No. Every Finding must belong to an Engagement — system-enforced.
Can I create a Finding directly from Findings Management?	Yes — pick an existing Engagement. You do not have to create a Working Paper first (that link is optional).
Can Findings be imported?	Yes, via Admin → Bulk Import, alongside Risks, Audit Plans, Planned Audits, Engagements, Departments, Auditable Entities and Action Plans.
What relationships are mandatory?	Only Finding → Engagement. Working Paper, Responsible Department / Org Unit / Business Unit, and Finding Theme are all optional.
Recommended route for findings from an audit?	Engagement → Working Paper (procedures/evidence) → Finding raised from it → Management Response → Action Plan → Follow-Up.
Can findings be followed up independently?	A Follow-Up Review always needs a Finding, but the Management Action Plan it verifies is optional — so yes, a review can be recorded straight against a Finding. The recommended path is still Finding → Response → Action Plan → Follow-Up against that plan.

7. Engagement → Finding → Follow-Up

The practical, end-to-end fieldwork lifecycle — every step below exists in the current application:

Engagement → (optional) Audit Program → Working Papers / Evidence → Finding → Recommendation → Management Response → Management Action Plan → Follow-Up Review → Closure

> NOTE
> The app does not have a separate "Procedures / Testing" record distinct from a Working Paper — testing detail (objective, procedure, testing method, sampling method) is captured directly on the Working Paper and on the Audit Program Step it may reference.

8. What Do I Do Next? — Cheat Sheet

> **If you have just created a Risk**
> Optionally link it to an Audit Universe entity → use the resulting rating as input when you build or update the Annual Audit Plan.

> **If you have created an Audit Plan**
> Add Planned Audits (pick entities, quarter, budget) → assign a lead auditor/team → Approve the plan.

> **If you have created an Engagement**
> Optionally attach an Audit Program template → start adding Working Papers as fieldwork proceeds.

> **If you have created a Finding**
> Record Root Cause and Recommendation → capture Management's Response → add a Management Action Plan with an owner and due date.

> **If you want to test Follow-Up**
> Open a Finding whose Action Plan is "Completed" → go to Follow-Up → add a Follow-Up Review with an Implementation Status → if "Implemented", close the Finding.

9. Recommended User Journey

Follow this single scenario from beginning to end to exercise every major module — no random clicking required.

1. Sign in and open Audit Journey (`/journey`) — your live checklist for the rest of this walkthrough.
2. Review pre-populated master data: Departments, Business Units, Reference Data (Admin).
3. Review the Audit Universe (`/universe`) — add one Auditable Entity if none exist.
4. Create a Risk (`/risks`) and link it to that entity.
5. Open Annual Audit Planning (`/planning`), create a Plan, and add a Planned Audit for that entity.
6. Assign a lead auditor / team to the Planned Audit, then Approve the Plan.
7. Convert the Planned Audit into an Engagement (`/engagements`).
8. Optionally attach an Audit Program template (`/programs`).
9. Add a Working Paper with a piece of evidence, inside the Engagement.
10. Create a Finding (`/findings`) from the Engagement.
11. Record a Management Response, then add a Management Action Plan.
12. Perform a Follow-Up Review (`/followup`) and close the Finding.
13. Review the Dashboards (`/dashboards` — Executive, Chief Internal Auditor, My Dashboard, Risk, Resources).
14. Generate a report from the Reporting Center (`/reporting`).

10. Quick Reference

I want to…	Go to…	Do I need anything first?
Create a Risk	Risk Register — `/risks`	No. Risk Category & Matrix are pre-populated; linking to an entity is optional.
Plan an Audit	Annual Audit Planning — `/planning`	No, to create the Plan itself. Each Planned Audit inside it needs an Audit Universe entity.
Create an Engagement	Engagements — `/engagements`	No. Can be standalone, or converted from an approved Planned Audit (recommended).
Build an Audit Program	Audit Programs — `/programs`	No. Build anytime; attach to an Engagement whenever you like (optional).
Record a Finding	Findings — `/findings`	Yes — an existing Engagement.
Follow up a Finding	Follow-Up — `/followup`	Yes — an existing Finding (ideally with a Management Action Plan).
View results	Dashboards — `/dashboards`	No.
Generate reports	Reporting Center — `/reporting`	No.

Generated from the current application source (backend domain model, services and navigation) as of August 2026. If a screen's behavior appears to differ from this guide, treat the running application as authoritative and flag the discrepancy to the Product Owner.