University of Wolverhampton Internal Audit:

PwC TrAction System

User Guide for University Staff

PWC TrAction System – User Guide for Staff

The PwC TrAction system is a web-enabled tool for tracking the status of internal audits and agreed actions. It is owned by PwC and is used by the Corporate Compliance Unit (CCU) to manage and track all audits and associated actions.

This guide is for use by university staff who are involved in and responsible for the completion of actions arising from an internal audit.

Access levels:

There are four different levels of access for the PWC TrAction system:

- **'Admin'** – can view/edit all items within the system. This access is limited to those with overall responsibility for internal audit (OVC Strategic Lead, Head of Compliance – Internal Assurance, Associate Director of Corporate Compliance, Director of Corporate Compliance, and where relevant Corporate Compliance Caseworkers)
- **'Full'** – Can view all items within their designated departments, but can only edit action statuses, add progress updates or request deadline revisions. This level is granted to those with responsibility for oversight of Audit and Audit Sponsors/Owners.
- **'Named'** - Can view all items they have been named on, but can only edit action statuses, add progress updates or request deadline revisions. This level is access is granted to members of staff who are involved in the audit process and will be Action Owners.
- **'Read Only' -** Can view all items within their designated departments, but with no ability to edit anything. This level of access can be granted to members of staff supporting the action owners, where required.

Access to TrAction

If you have an existing account, you should still be able to access the TrAction system. If you are a new user, your account (with the appropriate access level) will be set up by the Corporate Compliance Unit at the start of the audit process. You will receive an automated email notification from TrAction to confirm your account which includes instructions on how to access the system.

When you log into TrAction for the first time, you will be asked to set up your account with your contact information as each time you access the system, you will be asked to verify your information with a one-time verification code to either your phone or email.

Accessing your audit findings

All audit findings will be added to TrAction once the final audit report has been approved by the Audit & Risk Committee.

You will receive an email from the Corporate Compliance Unit (via TrAction) to notify you that the findings have been uploaded along with the agreed completion dates.

To view the findings in an audit

- Open the audit record.

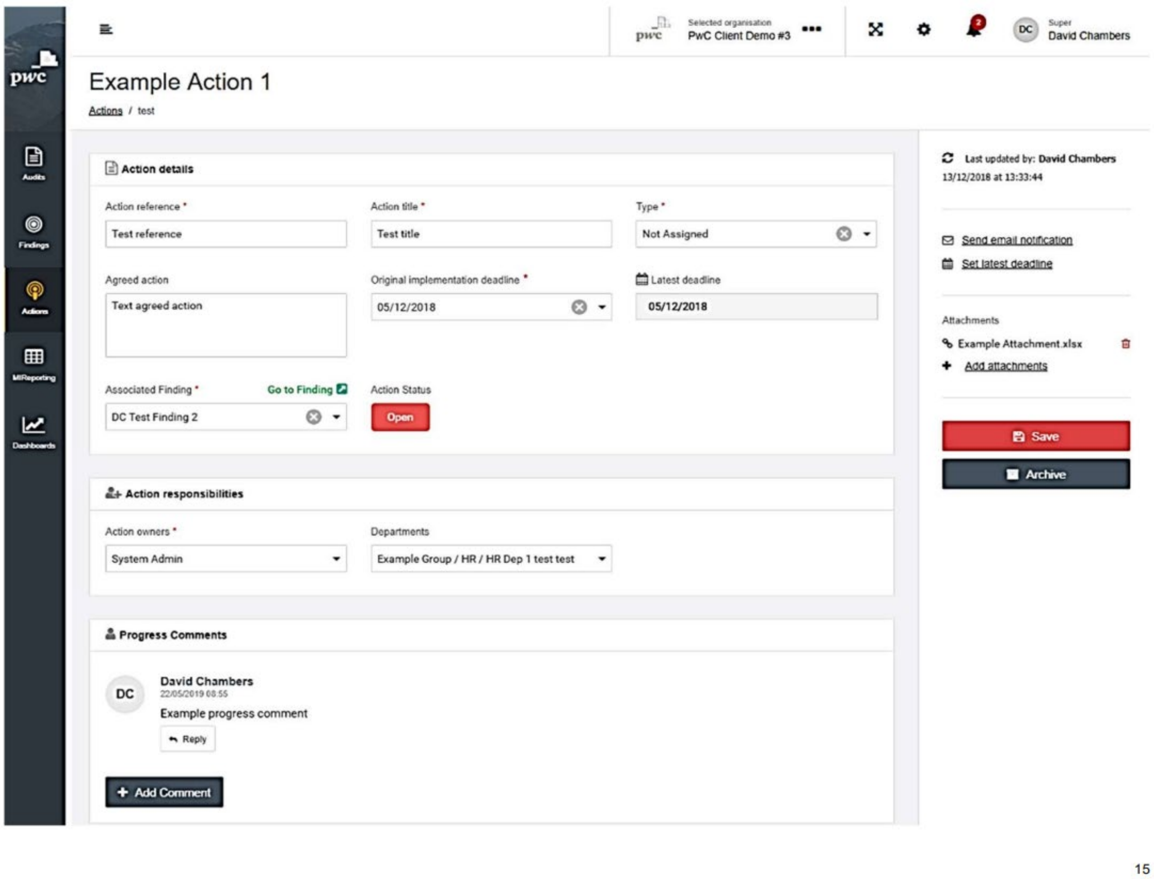
- Scroll down to the ‘Findings section’ and click on a finding. This will open the section and scroll down to the bottom of this to see the ‘related action’. There may be more than one action for each finding, but they will be grouped together under the finding heading.
- Click on the action which will open another page to show what the agreed action is, the deadline, owners etc, along with the progress made.
- You can also view findings by clicking on the ‘Findings’ function on the main toolbar on the left side of the screen.

Updating the Audit record

Progress Comments Section

This is a section that is used by the University and PWC to monitor and record progress, send emails to action owners, make requests for extensions and to upload any other pertinent information for the audit.

Action owners can add progress detail by clicking on the ‘Add comment’ box at the bottom of the progress comments section and manually enter the information.



Example of an action screen

Uploading evidence into TrAction:

Action owners can upload information and associated evidence into their action, using the ‘Upload File’ function located on the right-hand side of the screen. Users should note that once the file has been uploaded, it cannot be removed (without PwC intervention) so care should be taken to ensure the correct documents are uploaded.

Changing the status of the action

When all evidence has been uploaded and the action is completed, those with appropriate user access (Full or Named) should change the action status from *'open'* to *'complete – IA review required'*. This can be done by clicking on the red 'Open' action button – a drop-down menu will appear for you to select the *'complete – IA review required'* option.

An email should then be sent to abi.hopkins@wlv.ac.uk to notify that this is ready for review. The Corporate Compliance Unit will liaise with PwC who will review the evidence and comments provided by the action owner. Once satisfied, PwC will close the action, notify the Corporate Compliance Unit who will in turn notify action owners.

When all actions are completed, PwC will mark the audit as completed.

Reminders of forthcoming action completion deadlines.

It is important to meet the deadlines that were agreed during the audit so the Corporate Compliance Unit will send regular reminders to all action owners in the weeks leading up to the agreed completion deadline. The TrAction system also sends automated email reminders to all action owners 6 weeks, 2 weeks, 1 week before the deadline with another notification once the deadline has passed if the action has not been completed.

Requesting an extension

In the exceptional circumstance where an extension to the agreed deadline is required, action owners should first notify the Corporate Compliance Unit at abi.hopkins@wlv.ac.uk to discuss.

All action extensions are subject to approval by the Vice Chancellors Group (VCG) and action owners are required to work towards the original deadline until this decision has been made and formally communicated.

Training

All audit owners will be offered training at the beginning of the audit journey but if you have any additional training requirements, please contact abi.hopkins@wlv.ac.uk to arrange additional sessions.