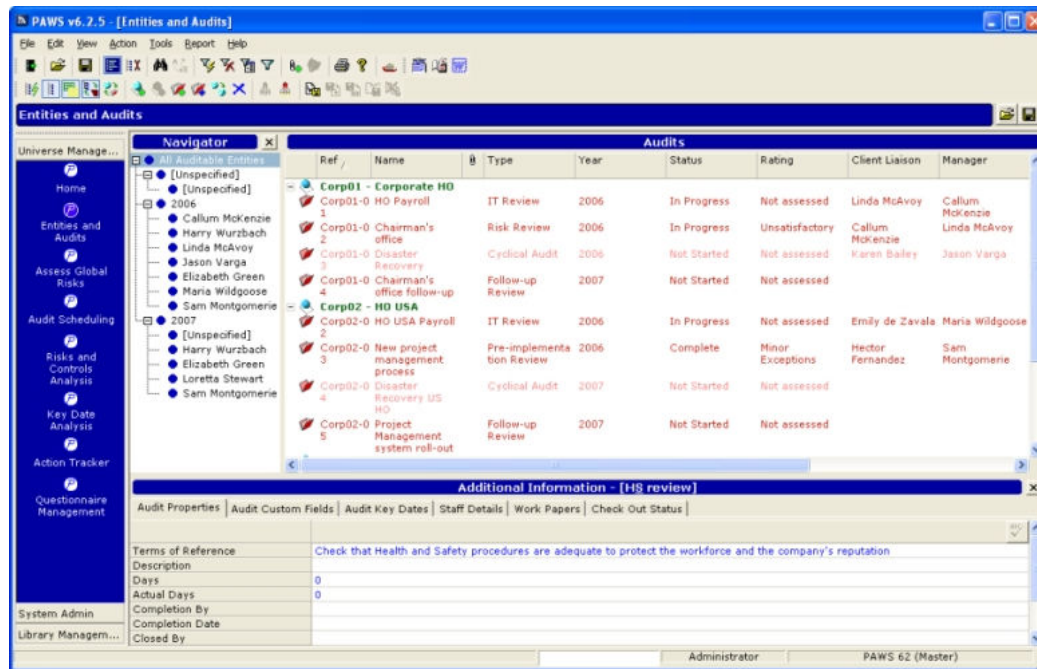


## Setting up Entities and Audits

The 'Entities & Audits' module helps users to manage their universe, to add entities and audits, to capture key information, update audit status and so on.



Add entities through the Entities & Audits module. Optionally use the 'auto-generate entities' feature to automatically create entities based on a matrix of category criteria (e.g. 'country', 'division', 'process'). Add audits either in Entities & Audits module (ad hoc) or through the separate Audit Scheduling module. You can set up rules for the auto-generation of audit reference numbers. Optionally roll forward audits from one period to another.

Each entity can be categorised in several ways, for example by country, region, division and function. Use the flexible 'navigator' to organise your universe of entities and audits dynamically based on any combination of entity and audit fields. Filter the display as desired to show only the entities and audits that match your criteria, and sort the grid by clicking on column headers.

Restrict users with regard to the entities and/or audits to which they are allowed access. The universe views will automatically filter to display only the allowed subset of the universe.

## Working in an Entity

When you launch an entity you are first taken to the Entity Summary screen.

The screenshot shows the PAWS v6.2.5 [Entity Summary] interface for Corporate HO. The interface is divided into several sections:

- Entity Details:** Ref: Corp01, Entity Name: Corporate HO, Type: Head Office, Country: UK, Region: Corporate, Division: Corporate, Unit: Peter Duncan, Notes: , Days: 5.
- Contacts:** (Section header)
- Risk Assessment:** (Section header)
- Risks & Controls:**
  - Risks & Controls Summary:**

Objectives (3)	
Risks (7)	
- Unmitigated Score	34.1
- Mitigated Score	10.9
Controls (17)	
- Control Score	25.0
  - Exceptions:** 16
  - Incomplete Control Assessments:** 16
  - Review & Approval History:**

	Reviewed	Approved
Last performed	13/11/2006	13/11/2006
Not Reviewed/Approved	▲	▲
- Objectives	2	-
- Risks	4	-
- Controls	14	-

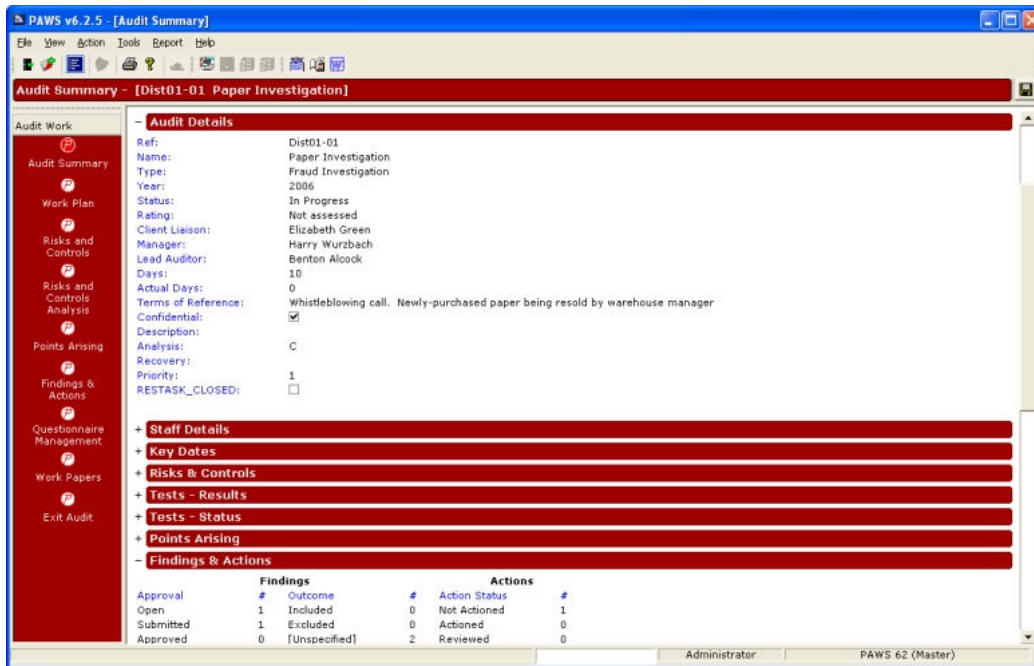
The interface also includes a sidebar with navigation options: Entity Summary, Assess Global Risks, Risks and Controls, Risks and Controls Analysis, Findings & Actions, Questionnaire Management, Work Papers, and Exit Entity. The bottom status bar shows the user is Administrator and the system is PAWS 62 (Master).

Within an entity the primary features you may utilise include:

- View and update details about the entity including Contacts.
- Assess global risks.
- Maintain/analyse the entity Risks & Controls Register including work papers.
- Manage entity-level questionnaires (PAWS Action Satellite users only)

## Working in an Audit

When you launch an audit you are first taken to the Audit Summary screen.



Within an audit the primary features you may utilise include:

- View and update general details about the audit.
- Maintain/analyse the audit Risks & Controls Register.
- Plan and perform tests.
- Attach work papers, create tests, record test results and raise points and record results.
- Prepare findings and actions, obtain responses and produce your Audit Report.
- Follow up and clear agreed actions.
- Manage audit-level questionnaires (PAWS Action Satellite users only).