Importing Findings

Findings can be imported from Excel files, using the file format as described in the Importing Data topic.

The following table shows the columns that are available in the Finding Import Template. The first section assigns labels to the columns in the second section. Not all columns are required.

Column label	Description	
Name	Finding name (Required)	
Control	Control name	
Status	0-Open; 1- Remediated; 2-Closed	
Description	Description for the finding	
Likelihood	Between 0 and 10	
Impact	Between 0 and 10	
Residual Likelihood	Between 0 and 10	
Residual Impact	Between 0 and 10	
Owner	Any RiskVision Userld or it takes	
	Logged in user as the default owner	
Team	Any RiskVision Team name	
customAttributes.string1	(if defined)	
customAttributes.long1	(if defined)	
customAttributes.boolean1	(if defined)	
customAttributes.text1	(if defined)	
customAttributes.long1	(if defined)	
Response Title	(if defined)	
Response Action	(if defined)	
Response Comment	(if defined)	
Response Owner	(if defined)	
Response Status	Suggested, Approved,	
	Implemented/Completed, Verified,	
	Canceled	

To import findings:

Use one of the following procedures:

Procedure A:

- 1. Go to Home > Findings and select Import Audit Findings in the More Actions drop-down list.
- 2. The **Import Audit Findings** wizard appears, displaying the **Entity** wizard page. You can create a finding for existing and new entities.
- 3. Use one of the following ways to select an entity:

p 1: Select an existing Entity or create a	new Entity			* = require
Select existing Entities OCreate new Entity				
Select an Entity Browse Search				125 1
	a na l		Page. 7 01	
🛨 🌉 By tag	Appli			
By Type	0		Awd wanager for the insurance, this Matching	~
100		101740	AML Manager: Advanced Peer Group	
250	0		Analysis	
2500			AML Manager: Automated Alert Investigation	
50 500			Ame manager. Automated Alert investigation	
Account	- 0		AML Manager: Dynamic Risk Scoring	
Application	\odot		AML Manager: List Matching	=
📕 Business Unit				
Computer	0		AML Manager: Market Surveillance Manager	
ComputerSystem	0		Aperio	
			An ania TM Continue An annual Conserie a	
Entity Collection	0		Aperio™ Online Account Opening	
	0		Aphelion H&F Products - ACES	
🦺 К1	<u> </u>	BARSA		×

• Existing entity

From the available entity groups, click + to expand a dynamic group, select the group, and then select the entity.

Or

If you know the name of the entity, click **Search**, enter the text, and then click **Search** again. Select the entity.

• New entity

If the entity is unavailable in the RiskVision application, select Create a new entity.

Click Next to continue.

4. The **Assessment** wizard page appears. Select the assessment in which you want to import the findings. If you have created a new entity in the previous step, you may want to select **Create a new assessment**, and then select a program in the **Program** drop-down list to create a new assessment.

nport Audit Findings		×
1) Enaty 2 Assessmer	t 3 Import File	
ep 2: Select an existing Assessment or create a new Assessment		* = required
Select an existing assessment Ocre		
Select an Assessment*		
1-1 of 1		Filter by - Show all - 🔽 Refresh 🗊
Program	▲ Status	Progress
 Assessmentsgrid-p1 	Information Gathering	0%
Cancel		< Back Next >

Click Next to continue.

5. The Import File wizard page appears. Click Browse to locate and select the Finding Import Template.

Import Audit Findings	×
1 Entity 2 Assessment 3 Import File	
Step 3: Select an import file	* = required
Select the file to import on your computer by clicking on the browse button.	
File* C:\Documents and Settings\agarje\My Docur Browse.	
Cancel	< Back Finish

6. Click **Finish** to add the findings and to exit the wizard.

Procedure B:

You can use this procedure to directly import the findings into the assessment.

- 1. In the Assessment Details page, go to Findings tab, and select Import Audit Findings in the More Actions drop-down list.
- 2. The Import dialog appears. Click Browse to locate and select the Finding Import Template, and click OK.

You can import multiple response details by updating 'Finding map' sheet details based on the number of responses that you are going to import and then by providing values under the respective columns in the template's second sheet.