How to Update Issues in Team Central

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HOW TO USE TEAM CENTRAL

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HOW TO USE TEAM CENTRAL

GUIDANCE FROM OIAC
The Board of Regents' Committee on Internal Audit, Risk, and Compliance regularly receives reports on the status of open audit issues (also referred to as audit findings, recommendations, or observations). Regularly updating the status of open audit issues is key to ensuring that the Board of Regents is provided accurate information as to your institution's progress in closing open audit issues. This document details how to use the TeamCentral application as the means for reporting the status of open audit issues.

Institutions are encouraged to update the status of open audit findings contemporaneously with progress made in closing out the issue. However, please note that the USG Office of Internal Audit and Compliance (OIAC) will generate a report for review by the Board of Regents approximately 15 days after the close of each quarter (January - March, April - June, etc.). Therefore, the OIAC strongly encourages institutions to ensure that their audit issue status is current as of the end of each quarter. Please note that institution points of contact (CBO, CIO, internal auditor, etc.) will receive a reminder email approximately 30 days prior to the end of each quarter reminding them to update the status of open findings.

Directions for indicating partial completion of an audit issue (see page 10) or full resolution of an audit issue (see page 12) are provided within this document. Also included are instructions for use in conducting more in-depth analysis or review. The TeamCentral application is also intended for use by institutional leadership as a dashboard and reporting tool that can be used to track audit issues at their institution.

INTRODUCTION
The following information provides instructions for use of the Team Central via a web interface. TeamCentral is the OIAC application that is used to track, analyze, and report on audit issue status (State and internal audit) at an institution and at the University System Office to the Board of Regents and USG Senior Leadership. The application also allows users to run reports and analyze the issues at individual institutions. User must have a valid USG TeamMate Application Suite username and password to successfully complete this process. Please contact the ITS Helpdesk for more information or to request access to the application.

You should use one of the following browsers for the procedures outlined here:

- Internet Explorer 6 or 7 (Compatibility mode will need to used for later versions of Internet Explorer).

Note: These are the ONLY browsers that are currently supported.
CONTACT INFORMATION FOR OFFICE OF INTERNAL AUDIT & COMPLIANCE

The URL for the Office of Internal Audit and Compliance is as follows:
http://www.usg.edu/offices/audit.phtml

CUSTOMER SUPPORT CONTACT INFORMATION

EMERGENCY, PRODUCTION DOWN SITUATIONS

If contacting ITS about an emergency, production down, or business interruption situation, call the ITS Helpdesk immediately at 706-583-2001 (888-875-3697 toll free in Georgia).

If calling during business hours and Helpdesk personnel are unavailable due to training or an existing production down issue, or if calling during non-business hours, callers will receive instructions to leave an emergency message to automatically page on-call support staff 24 hours a day, 7 days a week.

NON-PRODUCTION DOWN SUPPORT REQUESTS

For non-production down support requests, users can submit self-service support requests to ITS 24 hours a day, 7 days a week. See http://www.usg.edu/customer_services/.

If users have any problems with these procedures, please contact the ITS Helpdesk.

<table>
<thead>
<tr>
<th>Issue/Problem</th>
<th>Contact Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>New or update existing production down (emergency) support request</td>
<td>Telephone: 706-583-2001, 1-888-875-3697 (toll free in Georgia)</td>
</tr>
<tr>
<td>New, non-production down support request</td>
<td>Self-service support request:</td>
</tr>
<tr>
<td></td>
<td><a href="http://www.usg.edu/customer_services">www.usg.edu/customer_services</a></td>
</tr>
<tr>
<td>Update existing non-production down support request</td>
<td>E-mail: <a href="mailto:Helpdesk@usg.edu">Helpdesk@usg.edu</a></td>
</tr>
<tr>
<td>Non-emergency after-hour support request</td>
<td>See Service Level Guidelines at <a href="http://www.ugs.edu/customer_services">www.ugs.edu/customer_services</a></td>
</tr>
</tbody>
</table>

Notes: If calling the ITS Helpdesk and the call results in problems reaching the main menu or with the menu options, call 1-888-755-4791 and leave a 10-digit telephone number where you can be reached by the on-call support staff. Support requests submitted through e-mail, self-service, and fax are monitored during business hours only.
ACCESSING TEAM CENTRAL

Access Team Central through web portal. The website address is: https://teammate.usg.edu/teamcentral

1. Click on Microsoft Internet Explorer to open the internet browser.
2. Navigate to https://teammate.usg.edu/teamcentral; Users should see the following screen.

3. Login using first initial and last name with no space as the login name if you have a personalized TeamMate login. If you do not have a personalized TeamMate login, please use the following:
   - Institution initials_ Your Position
     - President: ABAC_PRES
     - Chief Business Officer/VP Business and Finance: ABAC_CBO
     - Chief Information Officer: ABAC_CIO
     - Institution Auditor: ABAC_Audit
     - State Audit Contact: State_Audit
     - USGBOR: USGBOR_Audit
     - Specific user: jdoe e.g., TeamMate EWP login

   **Note:** See Appendix 1 for list of institution initials

4. Please contact helpdesk for an initial password. After initial login, users will be prompted to change the password.
**TEAM CENTRAL**

Once logged in, users will see the following screen.

From this screen users have a choice to go to **Dashboard**, **Reports**, **Tracking**, or if the following TeamMate Suite complements have been implemented; **Time and Expense**, **Risk Assessment** or **Scheduling**.

Dashboard Components:

- **Dashboard**: Quick snapshot of status per your predefined requirements. This may be customized per business requirements.
- **Reports**: Business Intelligence tool to analyse and display various characteristics of audit data.
- **Tracking**: Use to interface with the issues and update status. This component is critical to maintaining the state of the issue and managing the resolution process.

*Note*: Most users will use the “Tracking” function.

For Additional information on the Dashboard and Reports, see [https://www.teammatecommunity.com](https://www.teammatecommunity.com).

**TRACKING**

The Tracking Option allows users to track certain projects and to see the current status of that project.

1. To access the Tracking option, click on the **Tracking** button.
2. After clicking the button, see the following screen:

Select the appropriate role, e.g., Contact, Audit Manager, or Auditor (if you do not see a role, it is because that level access has not been granted). Users other than Auditor should choose Contact. Most users will select Contact. Here users will be given the option to see Implementation status tracking or Project tracking.

Users that click on Implementation will see the following screen:

Here users have numerous options:

- View the number of recommendations that need follow-up assigned to the user’s Institution.
Send emails to recommendation owners notifying them implementation status is due.
Send emails to recommendation owners notifying them status updates are due.

Users can run a number reports from this screen as well:

- **Aging** - View age (in days) of outstanding recommendations as of a specified date.
- **Date Revisions** - View recommendations with revised dates, which can be accepted.
- **Status Update** - View the recent status updates for pending recommendations.
- **Implementation** - View the actions that were taken to implement the recommendations.
- **Progress Chart** - View recommendation status by various categories.

**PROJECT TAB**

From the Project Tab, users can track project Status and Milestones. Users will also be able to view the current project status and due dates for specific project recommendations.

1. The Project Tab will give a list of Project assigned to the user's Institution:

   ![Project Tab Example](image)

2. Clicking on the name a project will produce the Profile screen and tabs from TeamMate EWP. (EWP is the audit application used to maintain audit plans, analysis, schedules, interviews, etc.)

   ![Profile Screen Example](image)
Composite image of the series of screens available in the profile:

**Recommendation Implementation Tracking**

The **Recommendation** tracking button will give the option of viewing all the recommendations assigned to a user account:

Here users will be able to see:
- The recommendation;
- State (see page 9 for states symbol explanation);
- Project the Recommendation is attributed to;
- Issue from which the recommendation came;
- Issue Type;
- Estimated Implementation date;
- Any revision to this date;
- Actual Implementation date; and,
- Owner of the recommendation.

By clicking on the recommendation, users will see the following screen:

In this screen, users have the ability to contact selected recipients, comment on the recommendation, update the status, etc.
### Recommendation State Symbols

<table>
<thead>
<tr>
<th>Symbol</th>
<th>Symbol Description</th>
<th>Recommendation Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>![Yellow triangle]</td>
<td>Yellow triangle ‘Pending - Not Started’</td>
<td>The recommendation has been recently sent from TeamMate EWP and management has not yet started implementation.</td>
</tr>
<tr>
<td>![Yellow triangle with forward arrow]</td>
<td>Yellow triangle with forward arrow ‘Pending - Started’</td>
<td>Management has indicated they have started the implementation process.</td>
</tr>
<tr>
<td>![Green Circle]</td>
<td>Green Circle ‘Implemented’</td>
<td>The recommendation is implemented, but not yet approved by either management or Audit.</td>
</tr>
<tr>
<td>![Green Circle with Bulls-eye]</td>
<td>Green Circle with Bulls-eye ‘Implemented - Interim Client Approval’</td>
<td>The recommendation has received one or more client approvals, but not final client approval.</td>
</tr>
<tr>
<td>![Green Circle with #1]</td>
<td>Green Circle with #1 ‘Implemented - Final Client Approval’</td>
<td>The recommendation has received final client approval and is now ready for Audit to Approve or Reject the implementation.</td>
</tr>
<tr>
<td>![Green Circle with #2]</td>
<td>Green Circle with #2 ‘Implemented - Audit Management Approval’</td>
<td>The recommendation has received Audit approval and is now ready to be closed.</td>
</tr>
<tr>
<td>![Blue Square with Star]</td>
<td>Blue Square with Star ‘Closed - Verified’</td>
<td>The recommendation has been closed and Audit is indicating that they have verified the implementation.</td>
</tr>
<tr>
<td>![Blue Square]</td>
<td>Blue Square ‘Closed - Not Verified’</td>
<td>The recommendation has been closed and Audit is indicating that they did not verify the implementation. This state can be disabled via Policies.</td>
</tr>
<tr>
<td>![Blue Square with an Exclamation Mark]</td>
<td>Blue Square with an Exclamation Mark ‘Closed - Accepts Risk’</td>
<td>The recommendation has been closed and Audit is indicating that Management is accepting the risk exposure and NOT implementing the recommendation. This state can be disabled via Policies.</td>
</tr>
<tr>
<td>![Blue Square with Forward Arrow]</td>
<td>Blue Square with Forward Arrow ‘Closed - Not Applicable’</td>
<td>The recommendation has been closed and Audit is indicating that the recommendation has not been implemented because it is no longer applicable/ no longer valid. This state can be disabled via Policies.</td>
</tr>
</tbody>
</table>
UPDATING THE STATUS OF A RECOMMENDATION

Status Update is used to update the status of plans for the recommendation and respond to the recommendation or audit issue.

1. Login to TeamCentral (Please refer to page 3 “Accessing TeamCentral”).
2. Click on “Tracking.”

3. On the next screen, choose Role, then click on “Implementation” or “Project.”

4. From the Implementation Tab, click on “Pending” on the left hand side.
5. Users will be given a list of recommendations. Click on the recommendation requiring an update.

6. From the recommendation screen, click on the **Status Update** button. This will bring up the following screen:

![Status Update](image)

7. Click the **Started** button to mark the recommendation implementation as started.

8. If the user is revising the original due date, put a check in the **Revise Date** button; this will give the option of revising the Implementation date of the recommendation.

9. In the Attachment field, users have the ability to attach any documents needed.

10. Users can set the status for the implementation to be started by checking the “Started” box.

11. Users may adjust progress percentage by increasing or decreasing the Implementation Progress arrows. 100% would reflect that the recommendation is fully implemented.

12. Once complete, click **Save** at the bottom of the page.
IMPLEMENTING A RECOMMENDATION

After an institution has implemented a recommendation, users should describe what steps were taken to implement. Implemented area is used to update what steps were taken to implement the recommendation after it has been implemented. If accepting the risk of a recommendation (e.g., Notable issue and the institution has chosen not to implement corrective action), please note it in this area.

1. Login to TeamCentral (Please refer to page 3 “Accessing TeamCentral”).
2. Click on “Tracking."
3. On the next screen, choose Role, then click on “Implementation” or “Project.”

![Diagram showing how to access Tracking in TeamCentral](image)
4. From the Implementation Tab, click on “Pending” on the left hand side.

5. Users will be given a list of recommendations. Click on the recommendation requiring an update. From the recommendation screen, click on the button. This will bring up the following screen:

6. The text field provides a space for comments regarding the implementation status.

7. If assuming risk (i.e., the issue was rated “Notable” and management has decided not to implement the recommended corrective action), a comment to that effect should be entered in this box. If confirming the status is accurate and requesting the recommendation be closed, users must describe the actions taken to implement the recommendation.

8. The implementation date should reflect the date that all recommended corrective actions were complete. If unknown, please default to the current date.

9. In the Attachment field, users have the ability to attach any documents needed.

10. Once complete, click at the bottom of the page.

Note: See Appendix 2: Management Common Errors for common mistakes made.
CLOSING A RECOMMENDATION

Closing area is to be used to close recommendation after implementation has been approved. Only institutional auditor or OIAC (where applicable) should use this area.

1. Login to TeamCentral (please refer to page 3 “Accessing TeamCentral”).
2. Click on “Tracking.”

3. On the next screen, choose Role, then click on “Implementation” or “Project.”

4. From the Implementation Tab, click on “Pending” on the left hand side.
5. Users will be given a list of recommendations. Click on the recommendation requiring an update.

To close a recommendation, click the **Closed** button on the recommendation screen. Users will be given the following screen:

6. Response is needed for the closure of all recommendations. Enter this response in the text box provided.

7. Next enter the date the recommendation in the “Closed Date” field.

8. Choose a resolution, choices are:
   - Closed- Verified
   - Closed- Not Verified
   - Closed- Mgt Accepts Risk
   - Closed- No Longer Applicable

9. Add the name of the verifying Auditor (if applicable).

10. Add any supporting documentation in the attachment field.

11. Once complete, click the **Save** button.

For reference, a report can be run to view the status of all issues at an institution. In the report section, users can track the status of issues and know which recommendation need attention.
REPORTS

The reports functions allow users to run reports based on the information in Team Central. It is a Business Intelligence tool to analyze and display various audit data characteristics.

1. To access the reports function, click on the button in the Team Central dashboard.

   Users are given the choice to run various report from this screen. The reports are divided into three separate categories: Issues, Projects, and Audit.

   The following reports are available under the selected category:

   Issue
   - Issue Impact Analysis
   - Issue Listing
   - Recommendation Response Tracking
   - Recommendation Tracking and Aging
   - All Completed Issues
   - All Outstanding Issues

   Projects
   - Completed Projects
   - Project Contacts
   - Project Listing
   - Project Report Tracking
   - Project Risk Analysis
   - Project Time and Cost Analysis

   Audit
   - Audit Plan Status
   - EWP Snapshot
   - Show SOX Tested Controls and Results/Issues Report

2. To access a report, click on the BOLDED and UNDERLINED name of the report. Depending on the report chosen, users will be given numerous filtering options to narrow the specific projects to report on.

   To get back to the main report screen, click on Select a different report.
## Appendix 1: USG Institution IDs

<table>
<thead>
<tr>
<th>Research Institutions</th>
<th>Georgia Institute of Technology</th>
</tr>
</thead>
<tbody>
<tr>
<td>GIT</td>
<td>Georgia State University</td>
</tr>
<tr>
<td>GSU</td>
<td>Medical College of Georgia</td>
</tr>
<tr>
<td>MCG</td>
<td>University of Georgia</td>
</tr>
<tr>
<td>Regional Universities</td>
<td>Georgia Southern University</td>
</tr>
<tr>
<td>GSOU</td>
<td>Valdosta State University</td>
</tr>
<tr>
<td>State Universities</td>
<td>Albany State University</td>
</tr>
<tr>
<td>ALSU</td>
<td>Armstrong Atlantic State University</td>
</tr>
<tr>
<td>AASU</td>
<td>Augusta State University</td>
</tr>
<tr>
<td>AUSU</td>
<td>Clayton State University</td>
</tr>
<tr>
<td>CSU</td>
<td>Columbus State University</td>
</tr>
<tr>
<td>FVSU</td>
<td>Fort Valley State University</td>
</tr>
<tr>
<td>GCSU</td>
<td>Georgia College &amp; State University</td>
</tr>
<tr>
<td>GSWU</td>
<td>Georgia Southwestern State University</td>
</tr>
<tr>
<td>KSU</td>
<td>Kennesaw State University</td>
</tr>
<tr>
<td>NGCSU</td>
<td>North Georgia College &amp; State University</td>
</tr>
<tr>
<td>SSU</td>
<td>Savannah State University</td>
</tr>
<tr>
<td>SPSU</td>
<td>Southern Polytechnic State University</td>
</tr>
<tr>
<td>UWG</td>
<td>University of West Georgia</td>
</tr>
<tr>
<td>State Colleges</td>
<td>Abraham Baldwin Agricultural College</td>
</tr>
<tr>
<td>ABAC</td>
<td>College of Coastal Georgia</td>
</tr>
<tr>
<td>CCG</td>
<td>Dalton State College</td>
</tr>
<tr>
<td>DSC</td>
<td>Gainesville State College</td>
</tr>
<tr>
<td>GGC</td>
<td>Georgia Gwinnett College</td>
</tr>
<tr>
<td>GC</td>
<td>Gordon College</td>
</tr>
<tr>
<td>MSC</td>
<td>Macon State College</td>
</tr>
<tr>
<td>MGC</td>
<td>Middle Georgia College</td>
</tr>
<tr>
<td>Two-year Colleges</td>
<td>Atlanta Metropolitan College</td>
</tr>
<tr>
<td>AMC</td>
<td>Bainbridge College</td>
</tr>
<tr>
<td>BC</td>
<td>Darton College</td>
</tr>
<tr>
<td>DC</td>
<td>East Georgia College</td>
</tr>
<tr>
<td>EGC</td>
<td>Georgia Highlands College</td>
</tr>
<tr>
<td>GHC</td>
<td>Georgia Perimeter College</td>
</tr>
<tr>
<td>GPC</td>
<td>South Georgia College</td>
</tr>
<tr>
<td>WC</td>
<td>Waycross College</td>
</tr>
<tr>
<td>Independent Research Institute</td>
<td>Skidaway Institute of Oceanography</td>
</tr>
<tr>
<td>University System Office</td>
<td>Board of Regents</td>
</tr>
<tr>
<td>BOR</td>
<td>Board of Regents</td>
</tr>
</tbody>
</table>
## Appendix 2: Management Common Errors

<table>
<thead>
<tr>
<th>Common Error</th>
<th>Solution</th>
</tr>
</thead>
<tbody>
<tr>
<td>Action reported not the same as the Recommendation Reported.</td>
<td>Once Action has been reviewe and updated, if action is different that Recommendation, please enter an explanation.</td>
</tr>
<tr>
<td>Implementation Date not reported.</td>
<td>Report Implementation Date using steps detailed in “Implementating Recommendation.”</td>
</tr>
<tr>
<td>User Status has not been updated.</td>
<td>Please update Status in the Status update field, e.g., Pending Plan Approval, Implementation on Schedule, Implementation Behind Schedule, Implementation Ahead of Schedule, Completed, N/A.</td>
</tr>
</tbody>
</table>

Additional information can be downloaded from [https://swteammate.usg.edu](https://swteammate.usg.edu) - a valid user account is required. Please contact the USG ITS Helpdesk if support is needed. Note – client software is not needed to access the TeamCentral application.

The TeamMate forum also provides additional information [https://teammatecommunity.com](https://teammatecommunity.com)
## Appendix 3: Auditor Common Errors

<table>
<thead>
<tr>
<th>Common Error</th>
<th>Solution</th>
<th>TeamMate Standards Manual</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inconsistent format for Project Code: <code>YYYY-NN UUU</code> vs <code>YY-NN UUU</code> vs <code>YY-NNN UUU</code>&lt;br&gt;<code>Y = fiscal year</code>&lt;br&gt;<code>N = project number</code>&lt;br&gt;<code>U = institution acronym</code></td>
<td>Should be Fiscal Year-Project Number Institution Acronym&lt;br&gt;<code>YY-NN UUUU</code></td>
<td>General Tab- pg 3</td>
</tr>
<tr>
<td>All institutions are not indicating the location of the engagement.</td>
<td>Please use the local Institution acronym for the “Location” of the engagement.</td>
<td>General Tab- pg 4</td>
</tr>
<tr>
<td>Recommendation Rating left blank.</td>
<td>Ensure that all recommendations have ratings the same as the issue to which the recommendation is tied.</td>
<td>Recommendation Rating- pg 15</td>
</tr>
</tbody>
</table>

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