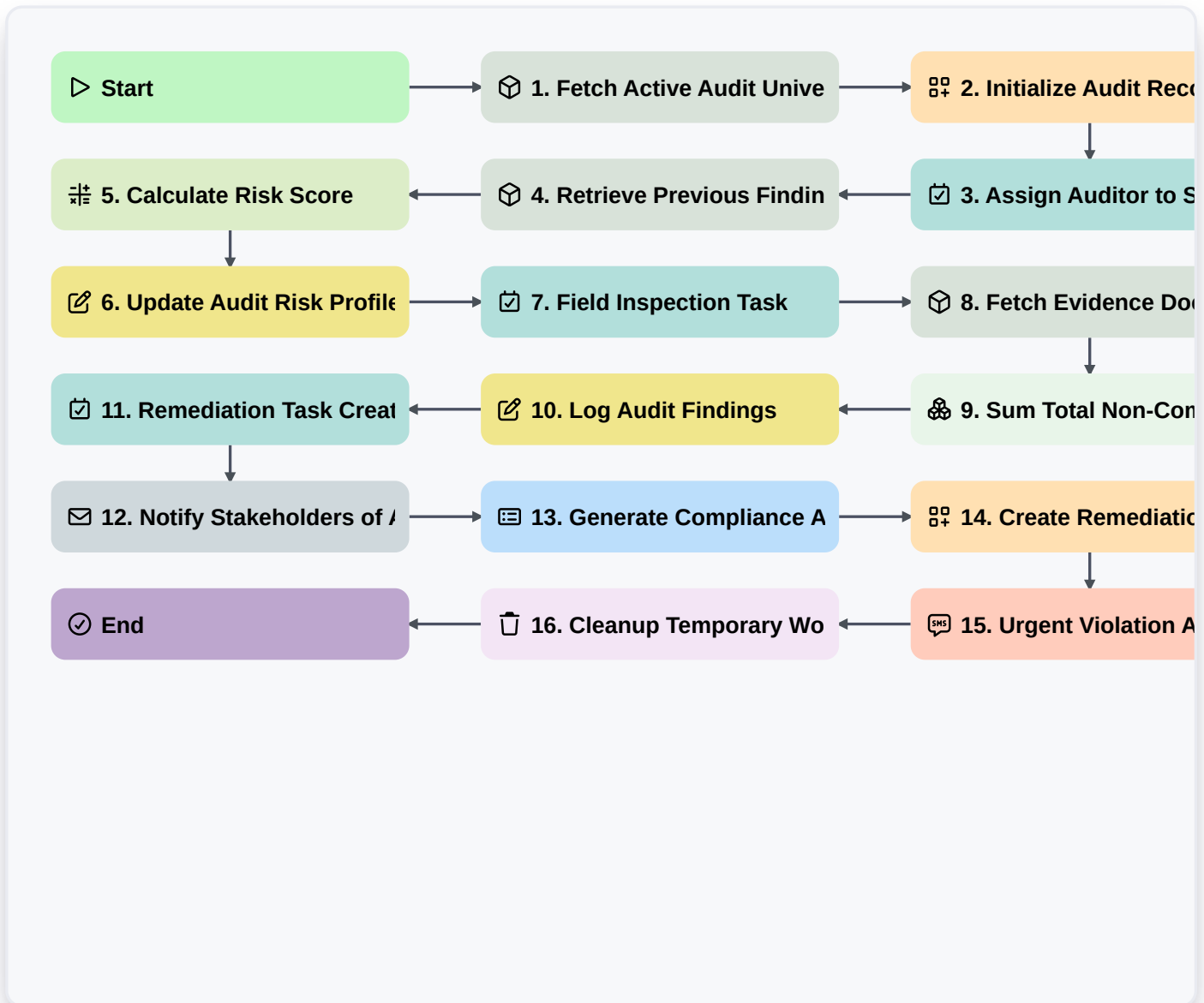


# Audit And Compliance Monitoring Workflow



## Start

Start of the Workflow/Process.

## 1. Fetch Active Audit Universe

Retrieve all active entities and departments from the Compliance Data Model that are due for audit.

## 2. Initialize Audit Record

Create a new Audit Entry in the Audit Logs model to track the start of the new monitoring cycle.

## 3. Assign Auditor to Scoping

Create a task for the Compliance Officer to define the scope and parameters of the upcoming audit.

## 4. Retrieve Previous Findings

Fetch all 'Open' or 'High Risk' findings from previous audit entries to use as a baseline.

## 5. Calculate Risk Score

Execute a formula based on the number of previous findings, department size, and recent incident reports.

## 6. Update Audit Risk Profile

Update the Risk Score field within the specific Audit Entry record.



### **7. Field Inspection Task**

Create a task for the Field Auditor to perform on-site inspections and checklist completion.

### **8. Fetch Evidence Documents**

Retrieve all uploaded evidence entries and document links associated with the audit scope.

### **9. Sum Total Non-Compliance Issues**

Aggregate the count of 'Failed' checklist items to determine the total volume of non-compliance.

### **10. Log Audit Findings**

Update the Audit Entry with the summarized findings and the final calculated risk score.

### **11. Remediation Task Creation**

Create a task for Department Heads to address the identified non-compliance issues.

### **12. Notify Stakeholders of Audit Results**

Send an email summary of the audit findings to the Compliance Committee and Department Heads.

### **13. Generate Compliance Audit Report**

Generate a formal PDF/HTML report summarizing the audit scope, findings, and risk level.

### **14. Create Remediation Plan Entry**

Create a new entry in the Remediation Tracking model for the identified gaps.

### **15. Urgent Violation Alert**

Send an SMS notification to the Chief Compliance Officer if a 'Critical' risk level is detected.

### **16. Cleanup Temporary Worksheets**

Delete temporary draft entries or transient calculation records used during the audit process.

### **End**

End of the Workflow/Process.