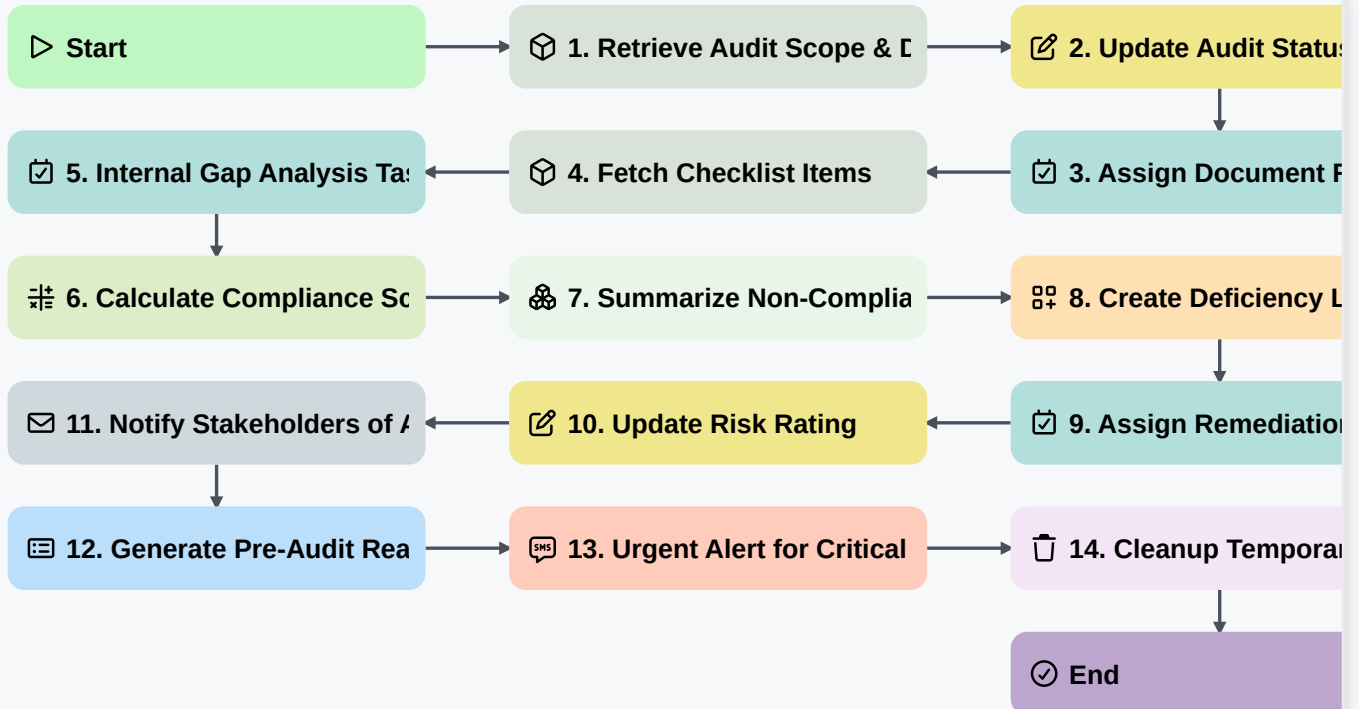


Audit Preparation And Compliance Workflow



▷ Start

Start of the Workflow/Process.

📦 1. Retrieve Audit Scope & Documents

Fetch all relevant compliance documents and predefined audit scopes from the Compliance Data Model.

✍️ 2. Update Audit Status to 'In Progress'

Update the status of the selected Audit Entry to 'In Progress' to signal the start of the preparation phase.

✅ 3. Assign Document Reviewer

Create a task for the Compliance Officer to review all retrieved documents for accuracy and completeness.

📦 4. Fetch Checklist Items

Retrieve the standard compliance checklist items associated with the specific audit type.

✅ 5. Internal Gap Analysis Task

Create a task for the Department Head to perform a gap analysis against the retrieved checklist.

🧮 6. Calculate Compliance Score

Calculate the current readiness percentage based on completed checklist items vs total items.

7. Summarize Non-Compliance Findings

Aggregate the count of all 'Failed' status items from the Gap Analysis entries.

8. Create Deficiency Log

Create a new entry in the Deficiencies Data Model for every high-risk gap identified.

9. Assign Remediation Task

Create a task for the relevant Process Owner to address the identified deficiencies.

10. Update Risk Rating

Update the Risk Level in the Audit Entry based on the aggregate number of critical findings.

11. Notify Stakeholders of Audit Date

Send an email to all department heads containing the finalized audit schedule and required preparations.

12. Generate Pre-Audit Readiness Report

Create a final summary report containing the compliance score, gap analysis, and remediation plan.

13. Urgent Alert for Critical Gaps

Send an SMS alert to the Compliance Director if any 'Critical' level deficiencies are detected.

14. Cleanup Temporary Drafts

Delete temporary/draft entries used during the preparation phase to maintain data cleanliness.

End

End of the Workflow/Process.