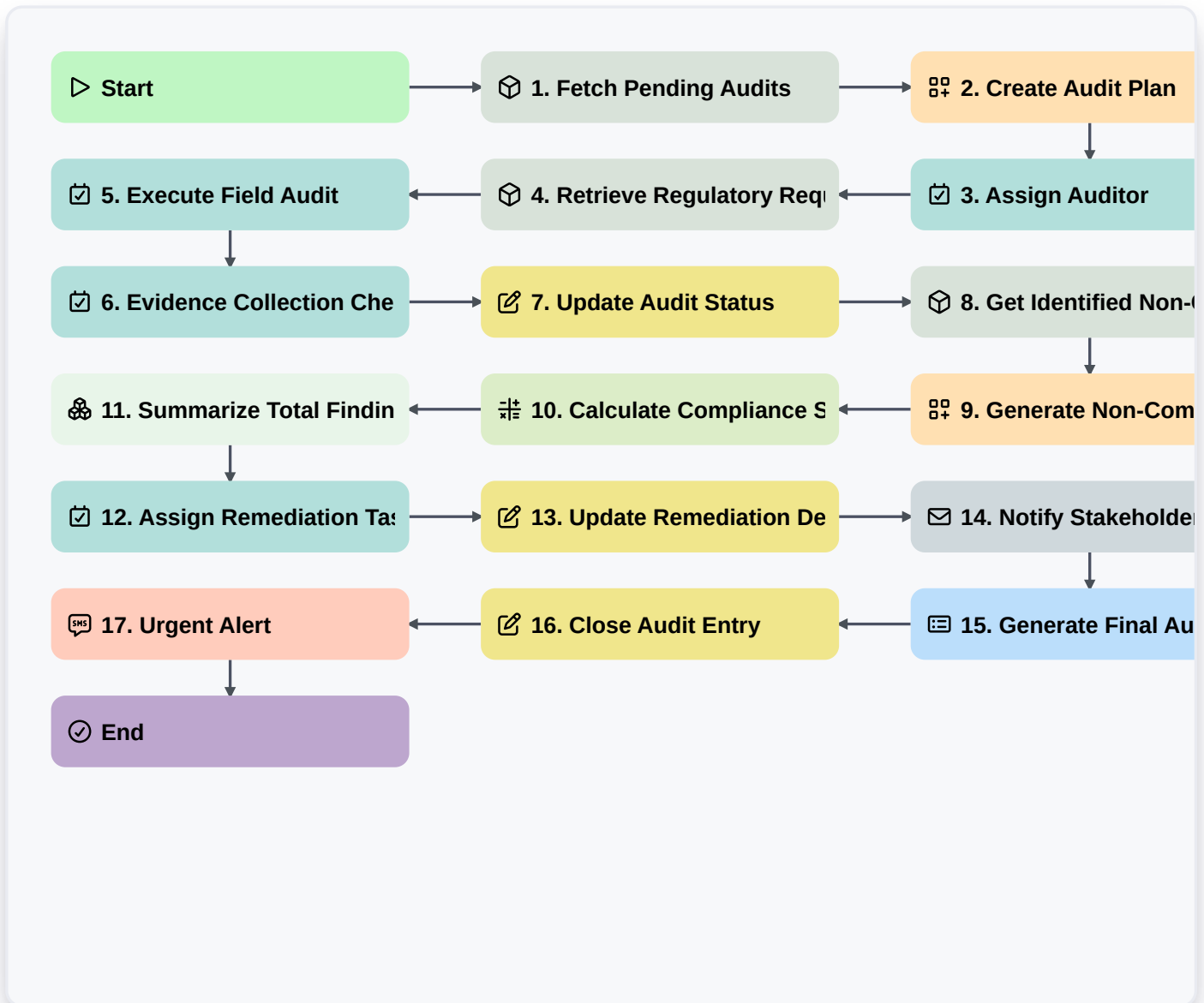


Regulatory Compliance Audit Management



Start

Start of the Workflow/Process.

1. Fetch Pending Audits

Retrieve all audit entries from the Audit Data Model that are currently in 'Scheduled' or 'In Progress' status.

2. Create Audit Plan

Generate a new Audit Plan entry linked to a specific department or regulatory standard.

3. Assign Auditor

Create a task for the Compliance Officer to review the scope and assign an auditor.

4. Retrieve Regulatory Requirements

Fetch specific compliance clauses and checklists from the Regulatory Standards data model.

5. Execute Field Audit

Create a task for the assigned Auditor to perform on-site or remote inspections.

6. Evidence Collection Checklist

A task containing a mandatory checklist to ensure all required documents (invoices, logs, certificates) are uploaded



7. Update Audit Status

Update the Audit Entry status to 'Findings Identified' once the field audit task is completed.

8. Get Identified Non-Conformities

Retrieve all non-conformity entries linked to the current Audit ID.

9. Generate Non-Compliance Report

Create a new entry in the Non-Conformance Data Model for every failed check found during the audit.

10. Calculate Compliance Score

Calculate the percentage of passed vs. failed items in the audit to determine the overall compliance rating.

11. Summarize Total Findings

Aggregate all non-conformity entries to count the total number of high-risk vs. low-risk findings.

12. Assign Remediation Task

Create a task for the Department Head to address the identified non-conformities.

13. Update Remediation Deadline

Update the due date in the Audit Entry based on the severity of the findings.

14. Notify Stakeholders of Failure

Send an automated email to the Legal and Operations teams when a critical non-compliance is recorded.

15. Generate Final Audit Report

Generate a comprehensive PDF/Report summarizing the audit scope, findings, and final score.

16. Close Audit Entry

Update the main Audit Entry status to 'Closed' once all remediation tasks are verified.

17. Urgent Alert

Send an SMS alert to the Compliance Director if a 'Critical' severity finding is logged.

End

End of the Workflow/Process.