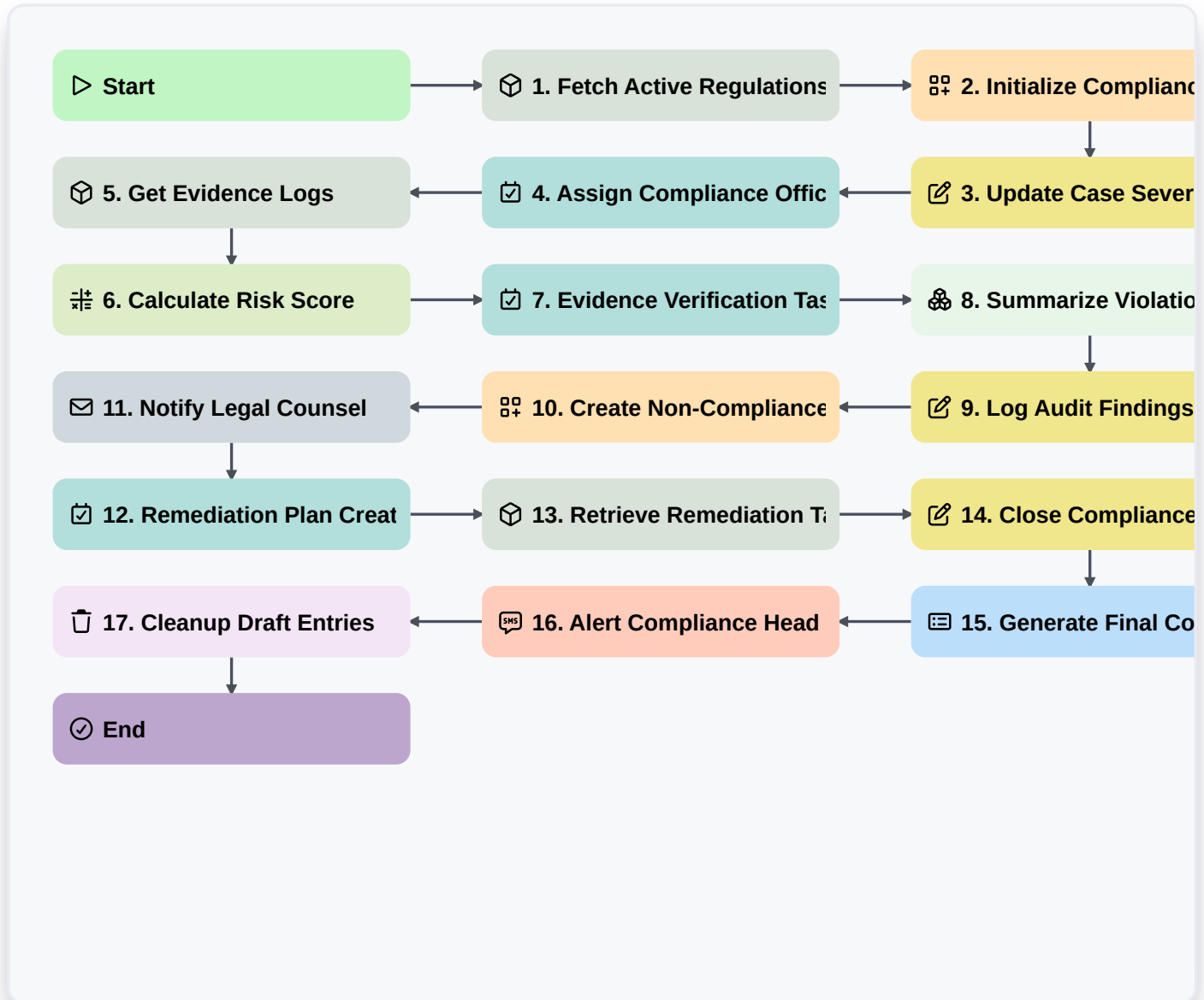


Regulatory Compliance Case Process



Start

Start of the Workflow/Process.

1. Fetch Active Regulations

Retrieve all active regulatory frameworks from the Compliance Data Model to check against the current case.

2. Initialize Compliance Case

Create a new entry in the Compliance Case Data Model to track the start of the investigation/audit.

3. Update Case Severity

Update the risk level field in the Case entry based on the findings of the initial assessment.

4. Assign Compliance Officer

Create a task for a designated Compliance Officer to perform the primary investigation.

5. Get Evidence Logs

Retrieve all existing evidence entries associated with the specific audit period.

6. Calculate Risk Score

Execute a formula calculating the total risk score based on weighted violation points and regulatory impact.



7. Evidence Verification Task

Create a task for the Legal Team to verify the authenticity of the retrieved evidence logs.

8. Summarize Violation Fines

Aggregate the 'Potential Fine' property from all identified violation entries to calculate the total financial exposure.

9. Log Audit Findings

Update the Case entry with the summary of findings and the calculated risk score.

10. Create Non-Compliance Report

Create a new entry in the Non-Compliance Register if the risk score exceeds the threshold.

11. Notify Legal Counsel

Send an email notification to the Legal Department regarding the identified regulatory breach.

12. Remediation Plan Creation

Create a task for the Operations Manager to draft a corrective action plan.

13. Retrieve Remediation Tasks

Fetch all tasks related to the remediation plan to ensure they are mapped to the case.

14. Close Compliance Case

Update the Case entry status to 'Closed' once all remediation tasks are verified.

15. Generate Final Compliance Audit Report

Generate a comprehensive report summarizing the case, findings, and final resolution for executive review.

16. Alert Compliance Head

Send an urgent SMS to the Head of Compliance if a 'Critical' severity breach is detected.

17. Cleanup Draft Entries

Delete temporary or redundant draft entries created during the investigation phase to maintain data hygiene.

End

End of the Workflow/Process.