

Start: The beginning of the workflow, where the user (an auditor or compliance officer) logs into the financial system.

SelectFunction: Once logged in, the user selects the audit function to start their specific task.

ReviewTransactions: The user enters the state of reviewing transaction records. This is a key part of the audit process where transactions are checked for accuracy and legitimacy.

VerifyReports: After reviewing the transactions, the user verifies the accuracy of financial reports, ensuring they reflect the transaction data accurately.

CheckCompliance: The next step involves checking for compliance with data protection regulations, which is an essential part of the compliance officer's role.

DocumentFindings: The user documents any findings from the audit. This could include notes on discrepancies, issues, and recommendations for future action.

SubmitReport: Once the documentation is complete, the audit report is submitted for review, possibly by higher management or another department.

End: This state signifies the end of the audit process within the system.  
  
**The diagram also includes alternative pathways that might occur during the process:**  
  
FlagIssue: If the auditor finds any issues during the review of transactions, they flag these for further investigation.

EscalateIssue: Flagged issues are then escalated to senior officers for more serious consideration or action.

RequestDataRetrieval: If the system fails to provide the required data automatically, the auditor requests manual data retrieval.  
  
**The diagram has an additional state:**  
  
ErrorState: Represents an error in the system. This state is reached if there’s an unexpected system failure or issue. The workflow can transition to this state from any other state in the event of an error.

**Sequence/Collaboration Diagram**  
  
  


**Class Diagram**  
  
  


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| UC04 | Auditors and Compliance Officers |
| Summary | Manage and track the audit process within the financial auditing system. |
| Actor | Auditor, Compliance Officer |
| Dependency | None |
| Preconditions | The auditor has been granted access to the financial auditing system.  All necessary financial data is up-to-date and accessible within the system. |
| Main Sequence | The auditor logs into the financial system.  The auditor selects the audit function.  The auditor reviews transaction records.  The auditor verifies the accuracy of financial reports.  The auditor checks compliance with data protection laws.  The auditor documents findings.  The audit report is submitted for review. |
| Alternative Sequences | If an error occurs at any state, the system transitions to the ErrorState.  If discrepancies are identified, the issue is flagged.  If data retrieval is necessary, the auditor requests manual data retrieval.  If the auditor escalates the issue, the process moves to the Escalation state. |
| Postconditions | The auditor has successfully logged out of the system.  A comprehensive audit report is prepared and submitted.  Any discrepancies found have been flagged for follow-up action.  All states lead to a defined end, ensuring the system's readiness for subsequent audit sessions. |