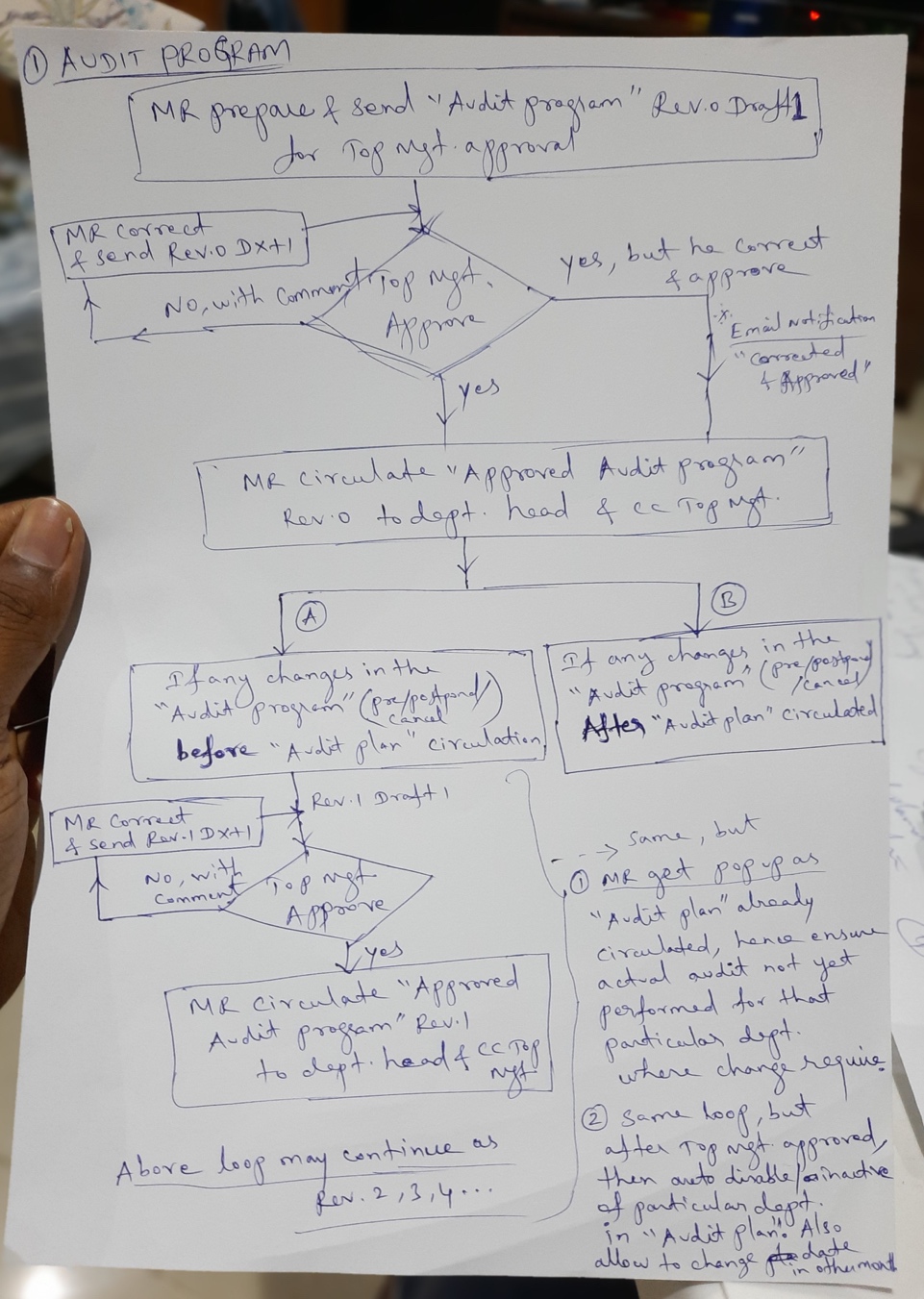
Internal Audit Full Document with screen design, button action and email communication

Page 1: Create new Audit Program

|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **ANNUAL AUDIT PROGRAM (Rev.0)** | | | | | | | | | | | | | | | | | | | | | | **AUDIT PLAN CUM REPORT** |  |
| **Audit Type** | **Standard / Criteria ref.** | **Scope of Mgt. System** | **Start**  **MM-YY** | **End**  **MM-YY** | **Frequency** | **Audit number** | **Process/ Dept. /Location** | **P/A** | **APR-2020 TO MAR-2021** | | | | | | | | | | | | **REMARKS** |
| **APR** | **MAY** | **JUN** | **JUL** | **AUG** | **SEP** | **OCT** | **NOV** | **DEC** | **JAN** | **FEB** | **MAR** |
| **Internal Audit (IA)**  ~~or~~  ~~Supplier Audit (SA)~~  ~~or~~  ~~Client Audit (IA)~~  ~~or~~  ~~Third Party Audit (TA)~~ **(Future will be added)** | □ ISO 9001:2015  □ ISO 14001:2015  □ ISO 45001:2018  □ \_\_\_\_\_\_\_ | □ A  □ B  □ C  □ etc., | **Apr-2020** | Mar-2021 | Quarterly  /  **Half yearly**  /  Yearly | IA/APR20-SEP’20 /001 | Sales | P | √ |  |  |  |  |  |  |  |  |  |  |  |  | **Prepare / View Audit Plan cum Audit Report (NCR, OBS, IMP)**  **Prepare / View Audit Plan cum Audit Report (NCR, OBS, IMP)** | Ref. continuation page –Screen 1a |
| A | √ |  |  |  |  |  |  |  |  |  |  |  |  |
| Purchase | P |  | √ | √ |  |  |  |  |  |  |  |  |  | Preponed (reason \_\_\_\_\_) |
| A |  | √ |  |  |  |  |  |  |  |  |  |  |  |
| Production (etc.,) | P |  |  |  |  | √ | √ |  |  |  |  |  |  | Postponed (reason \_\_\_\_\_) |
| A |  |  |  |  |  | √ |  |  |  |  |  |  |  |
| IA/OCT’20-MAR’21  /002 | Sales | P |  |  |  |  |  |  | √ | √ |  |  |  |  | Postponed (reason \_\_\_\_\_) | **AUDIT PLAN CUM REPORT** |  |
| A |  |  |  |  |  |  |  | √ |  |  |  |  |  |
| Purchase | P |  |  |  |  |  |  |  |  | √ |  |  |  |  |
|  | A |  |  |  |  |  |  |  |  | √ |  |  |  |  |
| Production (etc.,) | P |  |  |  |  |  |  |  |  |  |  | √ | √ | Postponed (reason \_\_\_\_\_) |
|  | A |  |  |  |  |  |  |  |  |  |  |  | √ | Cancelled (reason \_\_\_\_\_) |
| **PRINT**  **CIRCULATE**  **SEND FOR APPROVAL**  **P – Plan , A- Actual Status.**   |  |  |  |  |  |  |  |  | | --- | --- | --- | --- | --- | --- | --- | --- | | √ | **Planned** | √ | **Completed** | √ | **Pre/Postponed** | √ | **Cancelled** | | √ | **Partially completed (applicable only for process audited by multiple auditor like project audit)** | | | | | | |   **AUDIT PROGRAM PREPARED BY :** ISO Co-ordinator/MR **APPROVED BY:**  **DATE : DATE :** | | | | | | | | | | | | | | | | | | | | | |  |  |



2. Audit program flow

1. Audit Program Preparation

- Select Audit type

- Internal (in future we all other audit type)

The following points are for the Internal Audit Option

2. Select Standard / Criteria ref

- Load from master

3. Scope of the Management System

- Load from master

4. Start Date

- User will select the starting month

5. End Date

- End date will be 12 month frm the start month

6. Audit Frequency

- Quarterly

- Half yearly

- Annual

7. Audit number will be generated based on the frequency

- Eg: Half yearly

- IA/APR20-SEP20/001

IA - Internal audit

APR to SEP is starting and end month

001 is the first document number

8. Process Dept

- If the frequency is annual then all the dept will be listed for one time

- If half yearly then it will be display twice

- If Quarterly then four times

- All the dept are loaded from the master

9. P/A (Planned / Actual)

10. Starting and end month

- If Apr to mar, it will show Apr, may, jun....,mar

- MR will choose each dept by putting a tick mark to perform audit.

- Remarks will be given by MR if any prepond or postpond or cancellation happened in audit program.

11. Send for approval

- Send the audit program to top management(department) for approval

* Top management is a department, user receive the approval if his department is top management

- Top management can approve and the document name became as “Rev0 Draft 1”

- If top management send any comments, then MR recirculate (auto name "Rev0 Draft 2") for approval.

-OR Top management can directly edit & approved.

- Once approved then the Audit program become Rev0

12. MR Circulate to dept

- Final Rev will be send to all the dept head

- If any changes received then MR will edit the program prepond or postpond with reasons and make as Rev1 Draft 1 and send for approval to top management (same as above cycle).. Final Rev.1.

**Button actions for MR, Auditor, Auditee, Top Management and Department head**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Templates (to be printed)** | **SECTIONS** | | | |  |
|  | **At ISO Co-ordinator/MR section** | **At Auditor**  **Section** | **At Auditee Section** | **Top Mgt.** | **Dept. Head** |
| Audit Program **(Ref.Template)** | “Send for approval” - button | NA | NA | Comment.  Or  Button – “Approved **OR** Corrected & Approved”. (if corrected & approved email notification differs). | NA |
| Audit Program | Circulate/ View/download/print – button. | NA | NA | View/download/print only. | View/download/print only. |

1. **AUDIT PROGRAM Email communication**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **ISO Co-ordinator/MR** | **Auditor** | **Auditee** | **Top Mgt.** | **Dept. Head** |
| 1. **Prepare & Send “Audit program” to Top mgt. for approval “Rev.0 Draft 1 for the year/period of \_\_\_\_”.** |  |  |  |  |
|  | NA | NA | Email Notification: “Audit Program Rev.0 Draft 1 for the year /period of \_\_\_ “received from MR for your review & approval. | NA |
|  |  |  | 1. **Comment sent by Top Mgt.,** |  |
| Email : Comment received from Top Mgt. for “Audit Program \_\_\_” | NA | NA |  | NA |
| 1. **Then, MR may prepare Rev.0 Draft 2 & send (loop continues as Draft 3,4… etc., till approval) OR just reply comment for approval.** | NA | NA | **So either**  **Email:**  Response comment received from MR for “Audit program Rev.0 Draft 1 for the year/period of \_\_\_”  **OR**  **Email:**  Audit program Rev.0 Draft 2 for the year /period of \_\_\_” received from MR for your review & approval. | NA |
|  |  |  | 1. **Approved by Top Mgt. OR Corrected & Approved by Top Mgt.** |  |
| **Email:** “Approved by Top Mgt. “Audit Program Rev.Xfor the year /period \_\_\_”  **OR**  **Email:**“Corrected & Approved by Top Mgt. “Audit Program Rev.X for the year/period \_\_\_ | NA | NA |  | NA |
| 1. **MR circulates the approved Audit program to all dept. heads.** |  |  |  |  |
|  | NA | NA | E-mail : CC | Email: “Approved Audit Program Rev.0 for the year /period of \_\_\_ **”**-circulated by MR”. |
| 1. **If any Pre/Postponed/Cancel for any process/dept. (with reason) BEFORE “AUDIT PLAN” circulation, then Rev.1-Draft1 will go to Top Mgt. for further approval.** |  |  |  |  |
|  |  |  | Email as “Audit program Rev.1 Draft 1 for the year/period of \_\_\_” for your review & approval. |  |
| **SAME ABOVE LOOP CONTINUTES TILL APPROVAL OF REV.1.. Also if requires continues further loop for REV.2, REV.3 etc., and also approved program circulate to dept. head same as above.** | | | | |
| 1. **If any Pre/Postponed/Cancel for any process/dept. (with reason) AFTER “AUDIT PLAN” circulation, then Rev.1-Draft1 will go to Top Mgt. for further approval, BUT REFER BELOW NOTE POINT.** |  |  |  |  |
| **Note 1:**  **MR gets popup as - “Are you sure? “Audit Plan” already circulated, hence ensure that actual audit not yet performed for that particular dept. “.**  **IF YES:-**  **MR continue same as above loop, but once Top Mgt. Approved revised program, immediately auto disable/inactive month for particular dept. in “Audit Plan” & indicates as pre/postponed/cancelled.**  **(Also it should allow to select another month by MR if pre/postponed, not cancelled)** |  |  |  |  |

**AUDIT PLAN STAGE (Ref. full screen view for Audit plan cum report )..**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **INTERNAL ~~/ SUPPLIER/CA/TP~~ AUDIT PLAN** | | | | | | | | | | |
| **Audit Number** | | | **IA -001 ~~/~~****~~SA-001~~**  **~~/ CA-001 / TA-001~~** | | **Standard References** | | | □ ISO 9001:2015  □ ISO 14001:2015  □ ISO 45001:2018  □ ISO 14001:2015 + ISO 45001:2018  □ ISO 9001:2015 + ISO 14001:2015 + ISO 45001:2018 | | |
| **Objective** | | | To check the effectiveness on implementation of Management System which has been established by the organization in line with international standard (s). (editable) | | | | | | | |
| **Scope** | | | □ | | | | | | | |
| **Sl. No.** | **Activity** | **Department / Process /Location** | **Date** | **Start Time** | **End Time** | **Auditor** | **Auditee** | **Document Reference** | **Relevant Clauses** | **Remarks** |
| 1 | □  (Ref. Existing Software Tool) | □ |  |  |  |  |  | Auto reflect | Auto reflect |  |
| 2 | □ | □ |  |  |  |  |  | -do- | -do- |  |
|  |  |  |  |  |  |  |  |  |  |  |
| **AUDIT PLAN PREPARED & CIRCULATED BY :** ISO Co-ordinator/MR  **CIRCULATED ON:** | | | | | | | | | | |

Note 1; each department can be chosen many time, but if any one dept. missed as per program – popup as “Some of dept. not included as per Audit Program”

**Note 2 : Logic for number of auditors present for single dept./process audit.**

**Option:1 : NOT POSSIBLE to choose many auditor for single dept/process in SAME row**

|  |  |  |  |
| --- | --- | --- | --- |
| **Department / Process /Location** | **Auditor** | Auditee | Remarks |
| Project Dept. A | A1, A2, A3.. | 1 or many | MR will decide as below  A1 – Cover Area \_\_\_  A2– Cover Area \_\_\_  A3 – Cover Area \_\_\_ |

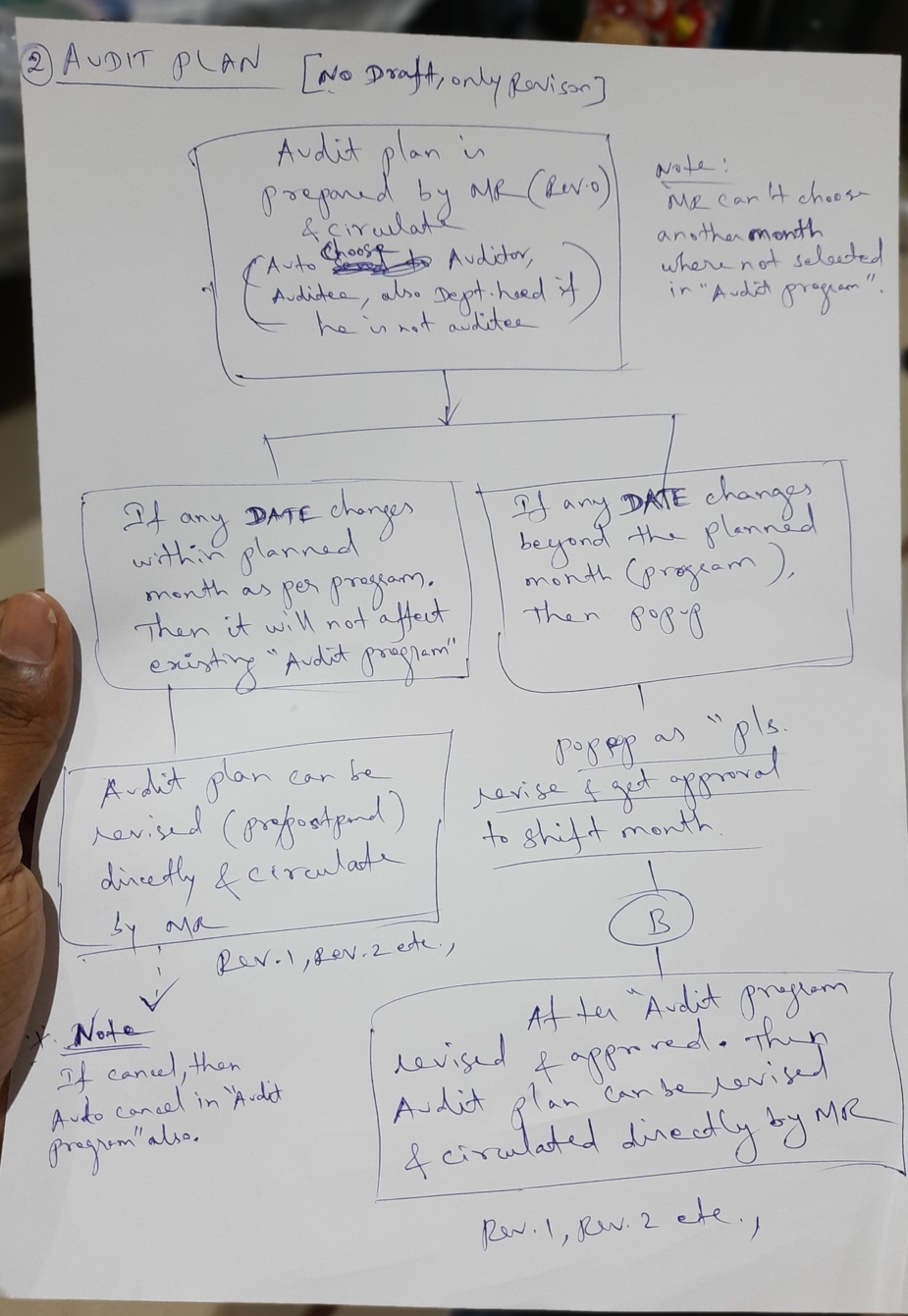
**Option 2 – POSSIBLE if same dept/process selected with ANOTHER auditor in ANOTHER row.**

|  |  |  |  |
| --- | --- | --- | --- |
| **Department / Process /Location** | **Auditor** | Auditee | Remarks |
| Project Dept. A | A1 | 1 or many | MR will decide as below  A1 – Cover Area \_\_\_ |
| Project Dept. A | A2 | 1 or many | A2– Cover Area \_\_\_ |
| Project Dept. A | A3 | 1 or many | A3 – Cover Area \_\_\_ |

* “Audit Template” opens for each auditor, so audit report will be generated by each auditor separately, also each auditor have “Audit Completed” & “Report Completed” status.
* Audit program should indicate colour as “Partially completed” if any of the dept/process audited by more than one auditor and also some auditor audit completed & report completed, but some auditor **NOT.**
* If any NCR/OBS/OFI (Any auditee who chosen in specific ROW can fill particular action section)

---

Audit plan logic :-



Audit plan

Select Activity/Event (Audit, opening meeting, lunch break etc., - ref. previous software), Department, Select Auditor (should not be from same dept.), select auditee should be from same dept. (in general one or many auditor or auditees for one dept. can be possible)

- Activity will be loaded from master

Prepare plan from selecting activity like breakfast, lunch tea break

Other activity like opening meeting, lunch break, closing meeting, travel etc., can choose auditor and auditee to attend, but it is only for print (No report template).

Save and circulate

- Email will be triggered to auditor and auditee with the plan details

- This audit plan will be visible to all the auditor and auditee logins

- Only MR can edit the audit plan, all others can view and print or download as pdf

- After circulate, if any change revision Rev.1, Rev.2…will be circulated with revision & date information.

- There is no draft system here so directly Rev1 REv2 (because no Top Mgt. approval here)

**Button Actions in Audit plan**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Templates (to be printed)** | **SECTIONS** | | | |  |
|  | **At ISO Co-ordinator/MR section** | **At Auditor**  **Section** | **At Auditee Section** | **Top Mgt.** | **Dept. Head** |
| Audit Plan – EACH EVENT/ACTIVITY selection | Edit, Delete – button (before circulate) | NA | NA | NA | NA |
| Audit Plan -COMPLETELY prepared  **(ref.Template)** | Circulate/  View / Print, – button | View / Print – button | View / Print – button | View / Print  – button | View / Print  – button |
| NOTE:-Once Actual audit over | **Dept. wise**  **“Audit Completed”.**  **“Report completed” (condition ref.email notification)** | **Dept. wise**  **“Audit Completed”.**  **“Report completed” (condition ref.email notification)** | NA | NA | NA |

Email communication for Audit plan

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **ISO Co-ordinator/MR** | **Auditor** | **Auditee** | **Top Mgt.** | **Dept. Head** |
|  | | | | |
| 1. **After preparation of complete “Audit plan” in-line with “Audit Program”, no need approval from Top Mgt., just directly he can “Circulate” to (auto choose) Auditor & Auditee, Top Mgt., (Also to Dept. head if he is not chosen as Auditee).**   Note 1: MR can’t choose another month where not selected in “Audit Program” for each dept**.**  Note 2 : Since No approval from Top Mgt. for audit plan, no Draft issue system, MR can directly start with Rev.0 & revise Rev.1,Rev.2 etc., |  |  |  |  |
|  | **Email:** “Audit Plan of Audit No.\_\_\_ Rev.0 ” received from MR. | Email: “Audit Plan of Audit No.\_\_\_ Rev.0 ” received from MR | Email:CC | Email CC. |
| **If any DATE/TIME change requires within planned month as per audit program, then it will not affect existing “Audit program”**  **So Audit plan can be revised (pre/postponed) directly & circulated by MR as above as Rev.1, Rev.2 etc.,** |  |  |  |  |
|  | “Audit Plan of Audit No.\_\_\_ Rev.1 ” received from MR. | Email: “Audit Plan of Audit No.\_\_\_ Rev.1 ” received from MR | Email:CC | Email CC. |
| **If any dept. audit cancelled (with reason) by MR, Then auto change in “Audit Program” also as “Cancelled (Colour change)” with reason indication. (no need again circulation)** |  |  |  |  |
|  | Email: “\_\_\_\_\_\_\_\_\_ Process/Dept. audit has been cancelled, Ref. Audit Plan Rev.X.  Reason:\_\_\_\_\_\_ | Email: “\_\_\_\_\_\_\_\_\_ Process/Dept. audit has been cancelled, Ref. Audit Plan Rev.X.  Reason:\_\_\_\_\_\_ | Email: “\_\_\_\_\_\_\_\_\_ Process/Dept. audit has been cancelled, Ref. Audit Plan Rev.X.  Reason:\_\_\_\_\_\_ | Email: “\_\_\_\_\_\_\_\_\_ Process/Dept. audit has been cancelled, Ref. Audit Plan Rev.X.  Reason:\_\_\_\_\_\_ |
| If any **DATE** changes **beyond the planned month** (as per program), Then popup as  “Pls. revise “Audit Program” & get approval to change **month** & then “Audit Plan” can be changed to another month & fix date & time. Ref. above Point no.7 & follow. |  |  |  |  |

**Audit complete and Report complete:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| ***INTERNAL~~/SUPPLIER/CLIENT/THIRD PARTY~~ AUDIT REPORT*** | | | | |
| ***Department/Process/Location*** |  | ***Audit No.*** | ***IA-001/***  ***~~SA-001/~~***  ***~~CA001~~***  ***~~/TA001~~*** | |
| ***Auditor Name*** |  | ***Auditee Name*** |  | |
| ***Document Reference*** |  | ***Date*** |  | |
| ***Standard Reference*** |  | | | |
| ***Audit Summary Brief:-*** | | | | |
| ***□ Overall the established relevant documented information including procedure & records related to department/process “\_\_\_\_\_” have been verified during this audit in line with determined international standard requirements, the samples which were chosen during this audit were met the requirements. There is no findings.***  ***OR***  ***□ Overall the established relevant documented information including procedure & records related to department/process “\_\_\_\_\_” have been verified during this audit in line with determined international standard requirements, the samples which were chosen during this audit were met the requirements, however the Observation (OBS) & / improvement point(s) identified. (Total \_\_ OBS &/ \_\_ IMP).***  ***OR***  ***□ Overall the established relevant documented information including procedure & records related to department/process “\_\_\_\_\_” have been verified during this audit in line with determined international standard requirements, the samples which were chosen during this audit were met the requirements except the requirements where the NCR(s) raised. {Total \_\_ NCR (\_\_Major NCR & /\_\_\_ Minor NCR)}.***  ***Also identified Observation (OBS) & / Improvement (IMP). (Total \_\_\_OBS & /\_\_\_IMP). - if any.***  ***\*Option to type also*** | | | | |
| ***Conformance evidences / (OPTIONAL- Audit Checklist evidence)*** | | | | |
| ***1.***  AUDIT CHECKLIST (Optional)  ***2.***  ***.*** | | | | |
| ***Non-Conformance Description (NCR) - If Any*** | | | | ***Status*** |
| ***1.***  Major /Minor NCR action detail  ***2.***  Major /Minor NCR action detail  ***.***  ***.*** | | | |  |
| ***Observation (OBS) – If any*** | | | | ***Status*** |
| ***1.***  OBS action detail  ***2.***  OBS action detail  ***.*** | | | |  |
| ***Improvement (IMP) – If Any*** | | | | ***Status*** |
| ***1.***  IMP action detail  ***2.***  IMP action detail  ***.*** | | | |  |

* Here In the top upto standard reference box all the box will be auto filled
* **On particular day of audit only, auditor can able access & directly feed in “Audit Report” section OR UPLOAD the filled “Audit Report” or “Checklist”. But the same templates “DOWNLOAD” can be possible at any day after “Audit plan” circulation.**
* Audit summary will be auto-selected from options,
* its going to have only conformance or non conformance, {obs if any & or IMP if any}
* The form can be downloaded and uploaded to get the values
* Checklist can be downloaded and select & fill the options in the checklist and upload again
* Below is the checklist template

Single standard Checklist

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**AUDIT CHECKLIST – optional**

|  |  |  |  |
| --- | --- | --- | --- |
| Audit number |  | Audit Date |  |
| Dept./Process |  | Standard Reference |  |
| Auditor Name |  | Auditee Name |  |

**Note: P – Primary Clause (you can’t skip any question),**

**S - Secondary Clause (Optional, but ensure this clause requirement verified in other area audit like System Mgt., HR etc., as a common point).**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| S.no. | Relevant Clauses | P/  S | Check points with required objective evidences | **Conformance**  **(CON)**  ( √) | **Non-Conformance (Major NCR)**  ( √) | **Non-Conformance (Minor NCR)**  ( √) | **Observation (OBS)**  ( √) | **Improvement (IMP)**  ( √) | Remarks |
| 1 |  |  |  | □  Evidences: \_\_\_\_  Also Option to upload files/picture | □  **Clause:\_\_\_\_**  Description of NCR :\_\_\_\_\_\_  Reason for Major: \_\_\_\_\_\_\_\_  Also Option to upload file/picture | □  **Clause:\_\_\_\_**  Description of NCR :\_\_\_\_\_\_  Reason for Minor:\_\_\_\_\_  Also Option to upload file/picture | □  **Clause:\_\_\_\_**  Description of OBS :\_\_\_\_\_\_  Also Option to upload file/picture | □  Description of IMP :\_\_\_\_\_\_  Also Option to upload file/picture |  |
| 2 |  |  |  |  |  |  |  |  |  |
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Multi standard checklist

**Note: Information to software developer:-**

1. Conformance **&** **OR** Non-conformance “√” is mandatory for each question, but can be added OBS, IMP (if any).
2. Primary clause is mandatory, checklist can be submitted only after completion of all primary clauses, otherwise ( Popup “ **Primary** clause(s) check points are not completed”.

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**AUDIT CHECKLIST – optional**

|  |  |  |  |
| --- | --- | --- | --- |
| Audit number |  | Audit Date |  |
| Dept./Process |  | Standard Reference |  |
| Auditor Name |  | Auditee Name |  |

**Note: P – Primary Clause (you can’t skip any question),**

**S - Secondary Clause (Optional, but ensure this clause requirement verified in other area audit like System Mgt., HR etc., as a common point).**

|  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| S.no. | Relevant Clauses | P/  S | Check points with required objective evidences | **Conformance**  **(CON)**  ( √) | **Non-Conformance (Major NCR)**  ( √) | **Non-Conformance (Minor NCR)**  ( √) | **Observation (OBS)**  ( √) | **Improvement (IMP)**  ( √) | Remarks |
| 1 |  |  |  | □  Evidences: \_\_\_\_  Also Option to upload files/picture | □  ISO 9001:2015  □  ISO 14001:2015,  □  ISO 45001:2018,  □ **Clause:\_\_\_\_**  Description of NCR :\_\_\_\_\_\_  Reason for Major: \_\_\_\_\_\_\_\_  Also Option to upload file/picture | □  ISO 9001:2015  □  ISO 14001:2015,  □  ISO 45001:2018,  □ **Clause:\_\_\_\_**  Description of NCR :\_\_\_\_\_\_  Reason for Minor:\_\_\_\_\_  Also Option to upload file/picture | □  ISO 9001:2015  □  ISO 14001:2015,  □  ISO 45001:2018,  □ **Clause:\_\_\_\_**  Description of OBS :\_\_\_\_\_\_  Also Option to upload file/picture | □  ISO 9001:2015  □  ISO 14001:2015,  □  ISO 45001:2018,  □ Description of IMP :\_\_\_\_\_\_  Also Option to upload file/picture |  |
| 2 |  |  |  |  |  |  |  |  |  |
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Button action in Audit report page

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Templates (to be printed)** | **SECTIONS** | | | |  |
|  | **At ISO Co-ordinator/MR section** | **At Auditor**  **Section** | **At Auditee Section** | **Top Mgt.** | **Dept. Head** |
| AUDIT REPORT  (**Direct Entry**-Audit Summary , Conformance, NCR, OBS,IMP) **OR Down load (Audit Report or Checklist)** | **Edit,** View, Print – button.  **(All dept.)** | **Note: He can only access particular dept. report template where MR chosen as auditor.**  **Edit,** View, Print – button, Download button - for template (Audit report or Audit Checklist) | View, Print – button (after report completed only). He can also view only his dept. – selected as auditee. | View / Print – button  **(All dept.)** | View, Print – button **(Only his dept.).** | |

Email communication

**NOTE:-**

**On particular day of audit onwards only, auditor can able to access & directly feed in “Audit Report” section OR UPLOAD the filled “Audit Report” or “Checklist”. But the same templates “DOWNLOAD” can be possible at any day after “Audit plan” circulation.**

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| **ISO Co-ordinator/MR** | **Auditor** | **Auditee** | **Top Mgt.** | **Dept. Head** |
| **Once actual audit completed, MR can also press “AUDIT completed” button**  Email : CC | **Once actual audit completed, Auditor should press “AUDIT completed” button on the same day,**  Otherwise email notification in **next day morning** as “Pls. acknowledge that the audit has been completed dt.\_\_\_\_” **(continuous 3 days reminder)** | NA | NA | NA |
|  | **Once audit report is prepared by Auditor, he has to click the button “Report completed” after “Audit Completed” button.**  **(NOTE: Report can’t be completed without filling (Conformance OR Non-conformance part). But OBS & IMP optional.**  **If not filled, Popup as “Report can’t be completed, because (Conformance / NCR) not filled”.** |  |  |  |
| Email – CC |  | Email: “Audit Report” completed by Auditor (name) for the process/ department \_\_\_\_\_ of Audit No.\_\_\_” | Email : CC | Email CC (to concern dept. head only – If he is not auditee) |
| **If multi auditor perform in single process/area, after report completed.** |  |  |  |  |
| Email – CC |  | Email:“Audit Report” completed by Auditor (name) for the **assigned part of** process/ department \_\_\_\_\_ of Audit No.\_\_\_” | Email : CC | Email CC (to concern dept. head only – If he is not auditee) |

Non conformance Page

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| ***NON-CONFORMANCE REPORT*** | | | ***Audit No.*** | | *IA-001 /*  *~~SA-001 / CA001/TA001~~* | |
| ***NCR No.*** | | *IA-001/XXX/NCR-001/*  *~~SA-001/XXX/NCR-001/~~*  *~~C A…. / TA….\_~~*  *(XXX – Department shot form)* | |
| ***Department /Process/ Location*** | |  | |
| ***Audit Date*** | |  | |
| ***Standard Reference*** |  | | | | | |
| ***Document Reference*** |  | | | | | |
| ***Relevant Clause*** | *□* | | | | | |
| ***NON CONFORMITY – DESCRIPTION (with objective evidence)*** | | | | | | |
| Include picture/file upload provision | | | | ***Grade*** | | *Major /Minor* |
| ***Auditor*** | |  |
| ***Auditee*** | |  |
| ***CORRECTION ( immediate solution )*** | | | | | | |
| Include picture/file upload provision  ***Responsibility: Target Date : Status:***  *Waiting for Correction/ o Correction Action planned / Completed* | | | | | | |
| ***ROOT CAUSE ANALYSIS*** | | | | | | |
| * ***5 Why Analysis***   ***OR***   * ***Fish bone diagram*** | | | | | | |
| ***CORRECTIVE ACTION (ATTACKED ROOT CAUSE)*** | | | | | | |
| Include picture/file upload provision  ***Responsibility: Target Date : Status:***  *Waiting for CA/ Corrective o Action Planned/Completed* | | | | | | |
| ***VERIFICATION OF CORRECTION & CORRECTIVE ACTION (PLAN)*** | | ***EFFECTIVENESS VERIFICATION*** | | | | |
| ***Date*** |  | ***Date*** | | |  | |
| ***ISO Co-ordinator (MR)***  ***/Auditor*** |  | ***ISO Co-ordinator (MR) /Auditor*** | | |  | |
| ***Comments*** | Include picture/file upload provision | ***Comments*** | | | Include picture/file upload provision | |
| ***Status*** | *Waiting for Verification/ Action accepted / Not Accepted /Comment sent* | ***Status*** | | | *Waiting for Effectiveness Verification/ Effectiveness of action Accepted & NCR Closed / Not Accepted* | |

***Note:- Effectiveness Verification will be performed only after Correction & Corrective Action completion, also effectiveness may be verified after 3 months / next audit.***

***Note: Ensure existing Risk & Opportunities assessment document has been reviewed (if required).***

**Button Action**

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| **Templates (to be printed)** | **SECTIONS** | | | |  |
|  | **At ISO Co-ordinator/MR section** | **At Auditor**  **Section** | **At Auditee Section** | **Top Mgt.** | **Dept. Head** |
| Non-conformance (NCR) - (if any)  **(Ref. Template)** | **Edit, Delete, Withdraw,** View / Print -button  **(All part)** | **Edit, Delete, Withdraw,** View / Print, – button  (He can  **‘Edit ”** **only his part** - such as Non-conformance, Verification & Effectiveness verification) | Edit, View/Print  **(He can “Edit”only his filling part - root cause, correction & corrective action only)** | View / Print – button  **(All dept.)** | View, Print – button **(Only his dept.).** | |

**Email communication for NCR with possibilities**

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| **ISO Co-ordinator/MR** | **Auditor** | **Auditee** | **Top Mgt.** | **Dept. Head** |
|  | **NON-CONFORMANCE (NCR) – If any** |  |  |  |
|  | 1. **Prepare NCR & immediately delete before submit, no problem (Same for OBS, IMP also),**   **Popup as : “Are you sure, It is considered as wrong entry” ? If Yes – Deleted from system.** |  |  |  |
|  | 1. **NCR submitted** |  |  |  |
| Email – CC |  | Each NCR (if any) -> Email: “waiting for auditee correction & corrective action” against NCR no.\_\_ raised by auditor \_\_\_\_. | Not required. | Email CC (to concern dept. head only – If he is not auditee) |
|  | **8a) After submit NCR, delete not possible, only withdrawal with reason.**  **(Withdrawal also not possible, if action taken by Auditee).** |  |  |  |
| Email – CC |  | Email: NCR no.\_\_ withdrawn (reason display). | Not required. | Email CC (to concern dept. head only – If he is not auditee) |
|  |  | 1. **Possibility A –**   **Step 1:**  **“Correction” planned or completed and “Corrective Action” planned for specific NCR**  Note: No mail will go to Auditor/MR if Corrective action not planned or completed, even Correction part planned / Completed. |  |  |
| Email - CC | Email:Waiting for auditor verification of NCR no.\_\_. |  |  | Email CC (to concern dept. head only – If he is not auditee) |
|  | 1. **Verification – Comment** |  |  |  |
| Email - CC |  | Comment received from Auditor \_\_\_ while verification of NCR no.\_\_\_’s actions. |  | Email CC (to concern dept. head only – If he is not auditee) |
|  |  | 1. **Response comment** |  |  |
| Email - CC | Email: Response comment received from Auditee for the NCR no.\_\_\_ |  |  | Email CC (to concern dept. head only – If he is not auditee) |
|  |  | 1. **Re-submit with amendment** |  |  |
| Email - CC | Email: **Re-submitted,** Waiting for auditor verification of NCR no.\_\_. |  |  | Email CC (to concern dept. head only – If he is not auditee) |
|  | 1. **Verification – completed** |  |  |  |
| Email - CC |  | Email : Verification action completed for NCR no.\_\_ & Effectiveness will be verified after planned actions completed only. |  | Email CC (to concern dept. head only – If he is not auditee) |
|  |  | 1. **Possibility A**   **–Step 2**  **Correction & corrective action (both) completed for specific NCR.** |  |  |
| Email - CC | Email:Waiting for auditor Effectiveness verification of NCR no.\_\_. |  |  | Email CC (to concern dept. head only – If he is not auditee) |
|  | **(Comment if any – same as previous loop)** |  |  |  |
|  | 1. **Effectiveness Verification – completed.** |  |  |  |
| Email - CC |  | Email: Effectiveness verification completed for the NCR no.\_\_ & Now NCR Closed. |  | Email CC (to concern dept. head only – If he is not auditee) |
|  |  | 1. **Possibility B:-Correction completed, corrective action completed for specific NCR (1st time itself)… (it mean BOTH COMPLETED WITHOUT ANY PLAN submission (so “verification & Effectiveness Verification” is combined here)** |  |  |
| Email - CC | Email:Waiting for auditor verification & effectiveness verification of NCR no.\_\_. |  |  | Email CC (to concern dept. head only – If he is not auditee) |
|  | 1. **Verification & Effectiveness verification completed.** |  |  |  |
|  | **(Comment if any – same as previous loop)** |  |  |  |
| Email - CC |  | Email: Verification & Effectiveness verification completed for the NCR no. \_\_ & Now NCR Closed. |  | Email CC (to concern dept. head only – If he is not auditee) |

**Observation template**

COMPANY LOGO

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| **DEPARTMENT /PROCESS OBSERVATION (OBS) REPORT** | | | | | | |
| **Audit Number** | | **IA-001**  **~~/~~**  **~~SA-001 / CA001/TA001~~** | **Department/Process /Location** |  | | |
| **OBS no.** | **Observation Description** | | **Proposed Action** | **Responsibility** | **Target** | **Status** |
| IA-001 / XXX / OBS-001  **~~OR~~**  ~~SA-001 / XXX / OBS-001~~ |  | |  |  |  | Waiting for Action / Action Planned / Completed. |
| IA-001 / XXX / OBS-002  **~~OR~~**  ~~SA-001 / XXX / OBS-002~~ |  | |  |  |  |  |
| Etc., |  | |  |  |  |  |
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**Button Action**

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| **Templates (to be printed)** | **SECTIONS** | | | |  |
|  | **At ISO Co-ordinator/MR section** | **At Auditor**  **Section** | **At Auditee Section** | **Top Mgt.** | **Dept. Head** |
| Observation (OBS)  - (if any)  **Ref. Template** | Edit, delete, Withdraw, view/print  **(he can edit anywhere)** | Edit, delete, withdraw, view/ print  **(He can edit only his filling part)** | Edit, View, Print  **But “Edit” – only his action filling part”** | View / Print – button  **(All dept.)** | View, Print – button **(Only his dept.).** |

**Email Communication**

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| **ISO Co-ordinator/MR** | **Auditor** | **Auditee** | **Top Mgt.** | **Dept. Head** |
|  | **OBSERVATION (OBS):-** |  |  |  |
|  | 1. **Observation (OBS) submitted** |  |  |  |
| Email - CC |  | Each OBS (if any) -> Email: “waiting for auditee action” against Observation (OBS) no.\_\_”. |  | Email CC (to concern dept. head only – If he is not auditee) |
|  | **19a) After submit OBS, delete not possible, only withdrawal.**  **(Withdrawal also not possible, if action taken by Auditee).** |  |  |  |
| Email - CC |  | Email: OBS no. \_\_ withdrawn. |  | Email CC (to concern dept. head only – If he is not auditee) |
|  |  | 1. **Action Planned.** |  |  |
| Email - CC | Email : OBS no. \_\_ Action Planned. |  |  | Email CC (to concern dept. head only – If he is not auditee) |
|  |  | 1. **Action completed.** |  |  |
| Email – CC | Email : OBS no. \_\_ Action Completed. |  |  |  |

Improvements Templates

COMPANY LOGO

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| **IMPROVEMENT (IMP) REPORT** | | | | | | |
| **Audit Number** | |  | **Department / Process / Location** |  | | |
| **IMP.No.** | **Improvement Description** | | **Proposed Action** | **Responsibility** | **Target** | **Status** |
| IA-001 / XXX / IMP-001  **~~OR~~**  ~~SA-001 / XXX / IMP-001~~  ~~Or CA…/TA…\_\_~~ |  | |  |  |  | Action Pending / Action Planned / Completed/ Dropped |
| IA-001 / XXX / IMP-002  **~~OR~~**  ~~SA-001 / XXX / IMP-002~~  ~~Or CA../TA\_\_~~ |  | |  |  |  |  |
| Etc., |  | |  |  |  |  |
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Button Action

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| **Templates (to be printed)** | **SECTIONS** | | | |  |
|  | **At ISO Co-ordinator/MR section** | **At Auditor**  **Section** | **At Auditee Section** | **Top Mgt.** | **Dept. Head** |
| Improvement -IMP (if any)  **Ref. Template** | Edit, delete, withdraw, view/print | Edit, delete, withdraw/ view/ print  **(Edit only his part)** | Edit, **Drop,** View, Print  **But “Edit” – only his filling part** | View / Print – button  **(All dept.)** | View, Print – button **(Only his dept.).** | |

Email communication

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| **ISO Co-ordinator/MR** | **Auditor** | **Auditee** | **Top Mgt.** | **Dept. Head** |
|  | **IMPROVEMENT (IMP)** |  |  |  |
|  | 1. **Improvement submitted.** |  |  |  |
| Email - CC |  | Each IMP (if any) -> Email: “waiting for auditee action” against Improvement (IMP) no.\_\_\_\_”. |  | Email CC (to concern dept. head only – If he is not auditee) |
|  | **21a) After submit IMP, delete not possible, only withdrawal.**  **(Withdrawal also not possible, if action taken by Auditee).** |  |  |  |
|  |  | 1. **Drop with reason** |  |  |
| Email : IMP no,\_\_ dropped. | Email CC |  |  | Email CC (to concern dept. head only – If he is not auditee) |
|  |  | **(OR)** |  |  |
|  |  | 1. **Action Planned.** |  |  |
| Email : IMP no. \_\_ Action Planned. | Email CC |  |  | Email CC (to concern dept. head only – If he is not auditee) |
|  |  | 1. **Action completed.** |  |  |
| Email : IMP no. \_\_ Action Completed. | Email CC |  |  | Email CC (to concern dept. head only – If he is not auditee) |

**General point:-**

**Always popup should come while delete, withdraw, drop etc., as “Are you Sure?” also “reason” box should open to fill. (ref. previous software)**

**Based on AUDIT PROGRAM**

**NOTE 1: Once Audit program approved & circulated, If any one dept. planned on the same month & Audit plan also not circulated within 1 week, reminder (email notification) will go weekly once to MR till Audit plan circulated. Email Notification as “Some dept./process has been planned in this month, hence pls. ensure complete “Audit Plan” is circulated well in advance.**

**OR**

**NOTE 2: Though Audit program circulated and NO dept./process planned for audit on the same month, reminder (email notification) should go to MR one month before (calculate date from dept. which is chosen in front). Another reminder 15 days before, Last reminder 1 week before. Email notification as “Pls. ensure complete “Audit Plan” is circulated well in advance”**

**Based on AUDIT PLAN:-**

**NOTE 1: Auditor & Auditee will get notification reminder 2 week before & 1 week before of audit plan scheduled date. Three Email Notification: “Alert - Audit has been planned to perform two weeks later” , “Alert - Audit has been planned to perform one weeks later”, “Alert - Audit has been planned to perform tomorrow. (CC email to MR & Concern Dept. Head only (if he is not auditee)}**

Consolidated Audit plan view

* All the process can be viewed and edited in a single page

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| * ***CONSOLIDATED INTERNAL~~/SUPPLIER/CLIENT/THIRD PARTY~~AUDIT REPORT*** | | | | | | |
| ***Audit No.*** |  | ***Standard Reference*** |  | | | |
|  |  |  |  | | | |
| ***Objective*** | To check the effectiveness on implementation of Management System which has been established by the organization in line with international standard (s). (editable) | | | | | |
| ***Scope*** |  | | | | | |
| ***Department/Process / Location*** | ***Auditor Name*** | ***Auditee Name*** | ***Date*** | ***Document Reference*** | | ***Relevant Clauses*** |
|  |  |  |  |  | |  |
| ***Audit Summary Brief:-*** | | | | | | |
|  | | | | | | |
| ***Conformance evidences / Checklist conformance*** | | | | | | |
| ***1.***  ***2.***  ***.***  ***.***  ***.*** | | | | | | |
| ***Non-Conformance Description (NCR) - If Any*** | | | | | ***Status*** | |
| ***1.***  ***2.***  ***.*** | | | | |  | |
| ***Observation (OBS) – If Any*** | | | | | ***Status*** | |
| ***1.*** | | | | |  | |
| ***Improvement (IMP) – If Any*** | | | | | ***Status*** | |
| ***1.***  ***2.***  ***.*** | | | | |  | |

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| --- | --- | --- | --- | --- | --- | --- | --- |
| ***Department/Process / Location*** | ***Auditor Name*** | ***Auditee Name*** | ***Date*** | ***Document Reference*** | | | ***Relevant Clauses*** |
|  |  |  |  |  | | |  |
| ***Audit Summary Brief:-*** | | | | | | | |
|  | | | | | | | |
| ***Conformance evidences / Checklist conformance*** | | | | | | | |
| ***1.***  ***2.***  ***.*** | | | | | | | |
| ***Non-Conformance Description (NCR) - If Any*** | | | | | ***Status*** | | |
| ***1.***  ***2.***  ***.*** | | | | | |  | |
| ***Observations (OBS) – If Any*** | | | | | | ***Status*** | |
| ***1.***  ***2.***  ***.*** | | | | | |  | |
| ***Improvement (IMP) – If Any*** | | | | | | ***Status*** | |
| ***1.***  ***2.***  ***.*** | | | | | |  | |

Button Action

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| **Templates (to be printed)** | **SECTIONS** | | | |  |
|  | **At ISO Co-ordinator/MR section** | **At Auditor**  **Section** | **At Auditee Section** | **Top Mgt.** | **Dept. Head** |
| CONSOLIDATED INTERNAL AUDIT REPORT (including all Dept./process for each audit cycle). **Ref. Template** | **Edit,** View, Print – button, Download template  **(All dept.)** | **NA** | **NA** | View / Print – button  **(All dept.)** | View, Print – button **(Only his dept.).** |

Consolidated view for NCR

Company logo

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| **CONSOLIDATED NON-CONFORMANCE (NCR) LOG** | | | | | | | | | | |
| Audit number | | |  | | | | | | | |
| Department/ process /Location | Date | NCR no. | Grade | Auditor | Auditee | **Correction** | **Root cause** | **Corrective Action** | **Verification** | **Effectiveness verification**: |
|  |  | *IA-001/XXX/NCR-001*  *~~Or~~*  *~~SA-001/XXX/NCR-001 0R~~*  *~~CA….~~*  *~~/TA…~~*  *(XXX – Department shot form)* |  |  |  | Correction:  Responsibility:  Target:  Status: | Root Cause: | Corrective Action:  Responsibility:  Target:  Status: | Verification:  Verified by :  Date:  Status: | Effectiveness  Verification:  Verified by :  Date:  Status: |
|  |  | *IA-001/XXX/NCR-002*  *~~Or~~*  *~~SA-001/XXX/NCR-002~~*  *~~0R CA…~~*  *~~/TA…~~* |  |  |  | -do- | -do- | -do- | -do- | -do- |
|  |  | Etc., |  |  |  |  |  |  |  |  |
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Button Action

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| **Templates (to be printed)** | **SECTIONS** | | | |  |
|  | **At ISO Co-ordinator/MR section** | **At Auditor**  **Section** | **At Auditee Section** | **Top Mgt.** | **Dept. Head** |
| CONSOLIDATED NCR LOG (including all Dept./process for each audit cycle). **Ref. Template** | **(All dept. NCRs )**  **Edit, Delete, Withdraw,** View / Print -button | **Only where he performed audit.**  **Edit, Delete, Withdraw,** View / Print, – button  (He can  **‘Edit ”** **only his part** - such as Non-conformance, Verification & Effectiveness verification) | **Only where he is auditee**  Edit, View/Print  **(He can “Edit”only his filling part - root cause, correction & corrective action only)** | View / Print – button  **(All dept.)** | View, Print – button **(Only his dept.).** |

Consolidated OBS

COMPANY LOGO

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| **CONSOLIDATED OBSERVATION (OBS) LOG** | | | | | | | |
| **Audit Number** | | **IA-001 ~~/ SA-001 / CA001/TA001~~** | | | | | |
| **Department/Process / Location** | **OBS no.** | | **Observation Description** | **Proposed Action** | **Responsibility** | **Target** | **Status** |
|  | IA-001 / XXX / OBS-001  **~~OR~~**  ~~SA-001 / XXX / OBS-001~~  ~~Or CA…./TA…~~ | |  |  |  |  | Waiting for Action / Action Planned / Completed. |
|  | IA-001 / XXX / OBS-002  **~~OR~~**  ~~SA-001 / XXX / OBS-002~~  ~~Or CA…/TA~~… | |  |  |  |  |  |
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Button Action

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| **Templates (to be printed)** | **SECTIONS** | | | |  |
|  | **At ISO Co-ordinator/MR section** | **At Auditor**  **Section** | **At Auditee Section** | **Top Mgt.** | **Dept. Head** |
| CONSOLIDATED OBSERVATION (OBS) LOG (including all Dept./process for each audit cycle). **Ref. Template** | Edit, delete, Withdraw, view/print  **(he can edit anywhere)** | Edit, delete, withdraw, view/ print  **(He can edit only his filling part)** | Edit, View, Print  **But “Edit” – only his action filling part”** | View / Print – button  **(All dept.)** | View, Print – button **(Only his dept.).** |

Consolidated Improvements page

COMPANY LOGO

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| **CONSOLIDATED IMPROVEMENT (IMP) LOG** | | | | | | | |
| **Audit Number** | | |  | | | | |
| **Department / Process / Location** | **IMP.No.** | **Improvement Description** | | **Proposed Action** | **Responsibility** | **Target** | **Status** |
|  | IA-001 / XXX / IMP-001  **~~OR~~**  ~~SA-001 / XXX / IMP-001~~  ~~Or CA…/TA..~~ |  | |  |  |  | Action Pending / Action Planned / Completed/ Dropped |
|  | IA-001 / XXX / IMP-002  **~~OR~~**  ~~SA-001 / XXX / IMP-002~~  ~~Or CA…/TA..\_\_~~ |  | |  |  |  |  |
|  | Etc., |  | |  |  |  |  |
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Button Action

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| **Templates (to be printed)** | **SECTIONS** | | | |  |
|  | **At ISO Co-ordinator/MR section** | **At Auditor**  **Section** | **At Auditee Section** | **Top Mgt.** | **Dept. Head** |
| CONSOLIDATED IMPROVEMENT (IMP) LOG (including all Dept./process for each audit cycle). **Ref. Template** | Edit, delete, withdraw, view/print | Edit, delete, withdraw/ view/ print  **(Edit only his part)** | Edit, **Drop,** View, Print  **But “Edit” – only his filling part** | View / Print – button  **(All dept.)** | View, Print – button **(Only his dept.).** |

General note

**Note 1 : ISO Co-ordinator/MR will view ALL the auditor & auditee information, but auditor & auditee will view only their relevant dept./process audit information only.**

**Note 2: One auditor will raise N number of Non-conformance (NCR) & Observation (OBS), Improvement (IMP) for each dept./process audit.**

**Note 3: Audit report Vs consolidated audit report (both interlinked, so it can be auto corrected when do correction in any place (vise vera), also same as NCR Vs NCR Log, OBS Vs OBS Log, IMP Vs IMP Log.**