Audit Management Module

Scope Document

Crafted for Alfa Team on 28th Jan. 2024

Document status: Under review ▾

Version 1.0

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Audit Management Module

"A module from the Alfa Product Management (APM) Project"

Overview

This document outlines the business requirements for a new Auditing System module within the existing Alfa product management software. This module will streamline internal and external audit processes, enhance communication, and improve overall audit effectiveness.

Scope —Roadmap.

1. **Web App:** PHP team.

2. **Language:** English and Arabic.

Goals of the project

1. Manage internal and external auditing requests, including adding, editing, and deleting audits.
2. Facilitate the creation and tracking of corrective action requests (CARs) arising from audits.
3. Handle customer complaint filing and tracking within the context of audits.
4. Generate comprehensive reports on audit results, CAR logs, internal auditors, and external documents.
5. Define and manage annual audit plans with event and calendar integration.

My Users —user persona

I. **Internal Auditor:** who wants a system that simplifies planning, reporting, and tracking corrective actions for annual audits across multiple departments. They need clear notifications and deadlines for actions and easy access to audit reports and relevant documents.

II. **Department Head:**
   - Who leads the department and prioritizes efficiency and productivity.
   - They get overwhelmed by audit requests and need a clear overview of their department's performance and areas for improvement.
   - They require user-friendly tools to track corrective actions assigned to their team and ensure timely completion.
   - They want visibility into audit results and findings related to his department to address concerns proactively.

III. **Management Representative**:
   - Who provides strategic direction and oversees the entire audit process across the organization.
   - They need comprehensive reports and data analysis to identify trends, assess overall audit effectiveness, and make informed decisions.
   - They value clear communication and want timely notifications about critical audit progress and issues requiring their attention.
   - They expect the system to support data-driven decision-making and continuous audit process improvement.

Web app users —User types

- **Internal Auditors:** Responsible for initiating, conducting, and reporting on audits.

- **Department Heads:** Involved in receiving and responding to audit findings, approvals, and corrective actions.

- **Management:** Oversees the entire audit process and receives summary reports.

Web app features Summary

User	Features
1. **Internal Auditor**	• Audit Planning & Management • Notifications & Communication • Findings & Reporting • Corrective Action Request (CAR) Management • External Audit Integration • Form Management
2. **Department Heads**	• Audit Engagement & Visibility • Actionable Insights & Communication • Continuous Improvement
3. **Management**	• Strategic Oversight & Decision Making • Reporting & Data Analysis • System Administration & Governance

Internal Auditor

Functional Requirements

1. **Audit Planning & Management:**

   a. Create, edit, and delete internal and external audit plans.

   b. Define scope, objectives, and timeline and assign personnel.

   c. Track the progress of ongoing audits and manage resources.

   Note: planning an audit can be done regularly such as annual auditing or occasionally such as receiving a customer Complaint.

2. **Notifications & Communication:**

   a. Send pre-audit reminders and other dynamic notifications with confirmation options.
   Note: Confirmation is enabled when we need the receiver to manually confirm that they receive the notification.

   b. Communicate with department heads and stakeholders within the system.
   Note: Communication can be done through tickets, Messages, ..etc.

   c. Access communication history for each audit engagement.

3. **Findings & Reporting:**

   a. Record and manage audit findings and observations with categorization and tagging.
   Note: This report includes the Audit Summary and Audit results such as the revised section, Proof, Audit Results, ISO Ref, and Category.

b. Generate various report formats with detailed information on findings, recommendations, and action plans.

Note: These reports include CAR logs, Internal Auditors list, External documents& their renewal date.

c. Analyze audit data and identify trends for ongoing improvement.

4. **Corrective Action Request (CAR) Management:**

a. Initiate CARs directly from audit findings or independently.

Note: the CARs can be initiated by different departments the Quality department checks and approves it.

b. Assign responsibility and ask department heads for deadlines, and short/long-term action plans.

c. Track CAR progress through approval workflows and reminders.

d. Manage escalation processes for critical or overdue actions.

Question: Who can do this escalation (Internally from dept the user management settings, Quality dept, or another managerial level)?

5. **External Audit Integration:**

a. Access and manage CARs, documents, and surveys related to external audits.

b. Collaborate with external auditors through the system.

c. Export needed reports and documentation.

Note: This needs to be discussed in detail.

6. **Form management:** Create, organize, store, and distribute custom forms and checklists.

Department Head

Functional Requirements

1. **Audit Engagement & Visibility:**
   a. View assigned audit schedules and action items for their department.
   b. Track progress on department-specific CARs and provide updates to internal auditors.
   c. Access and analyze department performance reports.

2. **Actionable Insights & Communication:**
   a. Receive and respond to notifications about audit findings and action items.
   b. Participate in CAR approval workflow for actions assigned to their department.
   c. Provide deadlines and short/long-term action plans.
   d. Communicate directly with internal auditors for clarifications and feedback.

3. **Continuous Improvement:**
   a. Implement corrective actions and monitor their effectiveness within the system.
   b. Identify areas for improvement based on audit findings and reports.
   c. Contribute to internal improvement suggestions through dedicated modules.

Management

Functional Requirements

1. **Strategic Oversight & Decision Making:**
   a. Monitor overall audit performance across the organization through dashboards and reports.
   b. Analyze audit data to identify trends, risks, and areas for strategic focus.
   c. Receive critical notifications and prioritize urgent action items.

2. **Reporting & Data Analysis:**
   a. Generate customized reports on specific audit aspects, departments, or timeframes.
   b. Utilize data analysis tools to identify patterns and inform decision-making.
   c. Track progress on organizational improvement initiatives based on audit insights.

3. **System Administration & Governance:**
   a. Define user roles and access permissions for different stakeholders.
   b. Establish escalations for the decision-makers or approvers.
   c. Monitor system usage and maintain audit logs for system activity.
   d. Configure notifications and reminders for various triggers and deadlines.

Inspirations

1. **AuditBoard:** transforms how audit, risk, and compliance professionals manage today's risk landscape with a modern, connected platform.
2. **DataSnipper:** is an Intelligent Automation Platform within Excel that accelerates Audit and Finance teams' productivity.
3. **Resolver:** Resolver's internal audit software empowers agile, risk-based audits and improves client interactivity to stay ahead of emerging risks.
4. **Onspring:** Onspring's Audit software puts you in control of the entire IA process. User-friendly, easy setup & flexible to fit custom processes.