Audit Planning & Reporting System Workflow

Rev. 0

January 2024

General Data Entry:

1. Department names
2. Department managers
3. Department General managers
4. Procedures (Enter name, code and related department)
5. Approved Internal auditors list
6. Recommended procedures to be audited by each approved internal auditor (using check box)
7. Assigned quality email for receiving notifications about any update in the data entered
8. Authority to set annual audit plan
9. Authority to approve annual audit plan
10. Authority to issue corrective action requests (referred to as CAR later in this document)
11. Authority to approve CAR (before launching)
12. Authority to accept or reject CAR responses
13. Authority to issue "Improvement Opportunity Notification"
14. Authority to Approve "Improvement Opportunity Notification" (before launching)
15. Authority to accept or reject response to "Improvement Opportunity Notification"
16. Authority to issue "Customer Complaint Notification"
17. Authority to approve "Customer Complaint Notification" (before launching)
18. Authority to accept or reject "Customer Complaint Notification "responses.

Templates:

1. Annual Internal & External Audit plan (Gantt chart)
2. Internal Audit Announcement, issued automatically by the system
3. External Audit Announcement, issued automatically by the system
4. Internal Audit report,
5. Improvement opportunity notification
6. Corrective Action Request
7. Customer Complaint notification

Annual Internal & External Audit plan

The plan includes the following items:

1. Type of Audit: either Internal or External
2. Procedure Code
3. Procedure name
4. Department Name
5. Expected audit week
6. Actual audit week
7. Status of audit: Either Done or not Done
8. Expected Internal Auditors names from the approved list

This plan should be in a time table (Verticals being the week of year) while rows being the procedures codes, names and department names.

The plan is to be set by the assigned quality users.

Internal Audit Announcement:

- An email to be sent from the platform to the department general manager, and department manager before each audit by 10 days to announce the audit coming up and asking them to select a specific day and hour for the audit.
- The quality team email will be in CC of the above mentioned email.
- Each procedure to be audited will be scheduled to consume 2 hours. This will be mentioned within the email body.
- The quality team will record the response of the department to be audited manually on the platform (Exact day & time).
- One of the quality users has to respond to the email confirming the requested dates or commenting on the email if needed.
- Any notification related to any transaction related to this process has to be sent to the quality users and related department manager and general manager.

Internal Audit Report:

1. During the internal audit, the audit finding and evidence will be recorded directly on the platform by the internal auditor in charge of the audit.
2. The audit report template includes the following information:
   Section 1 (Data automatically inserted by the system based on audit plan):
   o Procedure code
   o Procedure name
   o Related department

o   Audit date

Section 2: (Initial Data entered manually by the auditor in charge):
   o   Internal auditors names
   o   Department representative names

Section 3 (Audit findings in the form of a table)

The table columns are titled as follows and their formats are as mentioned in *Italic*:
   o   Serial Number (Automatically inserted) - *Numeric*
   o   Item to be checked - *Text*
   o   Evidence - *Text*
   o   Related standard clause - *Alphanumeric*
   o   Status – *Pull down menu for Complying, not complying, observation*

3. Audit report submission: The auditor will submit the report for review & approval by the quality manager after audit ending.

4. Non Compliant items: For any item status set as "Non compliant" the system will initiate a CAR document. The CAR document has to be completed by the authorized quality member and submitted for manager approval within 5 working days from the audit report submission.

5. Related document preparation: For any item status set as "Observation" the system will notify the authorized quality member. The decision to initiate (or not to initiate) an "Improvement Opportunity Notification" is taken manually by the authorized quality member.

6. Audit report approval: The audit report and related documents (CAR, Improvement Opportunity notification) must be approved by the authorized manager and submitted with related documents to the audited department within a maximum of 10 working days from the internal audit execution.

7. A notification to the quality manager will be sent by the platform to indicate the presence of a report & its related documents that needs approval.

8. The quality manager will either approve the report and related documents, or return them back with comments for updating (through the platform).

9. After 5 working days from the audit, and if the audit report with related documents are not submitted to the manager, the platform will send a notification to the quality users about these documents not being submitted.

10. After 2 working days from the documents submission, if the quality manager does not respond to the submitted report (Approve or return for review), the platform will send a notification that the report is pending approval.

11. Upon documents approval, the platform will notify the related department manager and general manager that the audit report and corrective action requests and improvement opportunity requests have been launched and ready for review and feedback.

12. The department manager and general manager will have needed access to the above documents. This access will allow them to provide the feedback as text and dates in the designated sections within the template.

13. The feedback from the department manager or general manager should be within 5 working days from the notification.

14. After 3 working days from the notification and if the feedback is not submitted, the platform will send another notification to the same users that they have to submit their response.

15. Once finalized their feedback, they will submit their feedback (Using submit button).

16. The quality users will be notified of the feedback and will have access to review and either approve or send back if the feedback is not satisfactory.

17. If the feedback is not satisfactory, the quality users will have to provide reason for rejecting the feedback (free text).

Corrective action request template:

Template includes the following sections (In addition to the title):

Data recorded automatically by the system:
1. Issuance date (first submission date)
2. Request number (Auto generated and fixed)
3. Department name (From the audit report)
4. Procedure name (From the audit report)
5. Procedure code (From the audit report)
6. Related audit date (From the audit report)
7. Item (From the audit report)
8. Evidence (From the audit report)
9. Related standard clause number (From the audit report)
10. Clarification: text box edited by the quality user who issued the request.

Data recorded by the request receiver (Department manager or general manager)
11. Clarification for the root cause of the complaint
12. Short term action proposed by the receiver
13. Planned date for short term action implementation
14. Long term action proposed by the receiver
15. Planned date for long term action implementation.

The receiver will submit his responses using the "Submit Response" button.

The system will notify the quality users that the response has been submitted.

The quality user will have the right to select the status of the response received as either:

- Accepted (Action to be followed up on the set dates)
- Rejected (To be returned to department for update)

Then the quality user will submit his selection and the platform will notify the department manager and general manager of the type of response selected (Accepted or rejected)

If the quality user selects "rejected", then a text box will be opened for providing the reason(s) for rejection.

For accepted responses:
1. Before the set date for short term and long term action by 1 week, the platform will notify the quality users, the department manager and general manager that the date for reviewing the submitted short term or long term actions is close, and that they have to be ready for reviewing its effectiveness.
2. The quality users will be requested to report the status of the short term and long term actions within 1 week from the proposed dates. The status will be either:
   a. Accepted (Action closed)
   b. Not Accepted (Requires further action and review).

Improvement Opportunity announcement template:
The same workflow as for the CAR but with the title being different, and the source being "Observation" in the audit report instead of "Non Compliant".

In addition to the above, it is possible for any platform user to request issuing an "Improvement Opportunity Notification" without being related to an internal audit, in such a case, the sections for audit report date will not be requested.

Customer Complaint Notification template:

1. This template is initiated by any quality user and is not related to the audit process.
2. Upon receiving a customer complaint, any platform user has the right to issue a "Customer Complaint"
3. The customer complaint will include the following data:
   a) Request date (Auto generated)

b) Customer name (text edited by issuer)

c) Customer code (Alphanumeric edited by user), this is optional

d) Issuer name (Auto generated)

e) Issuer email (Auto generated)

f) Product concerned (Text edited by issuer)

g) Complaint content (Text edited by issuer)

h) Assigned department for studying and responding to the complaint (Selected from the list of departments).

i) Attachments (Can include emails, documents, photos)

Upon submitting the complaint, the related department and quality users will be notified of the complaint.

The assigned department manager and general manager will have access to the following sections in the complaint for providing their feedback:

1. Clarification for the root cause of the complaint
2. Short term action proposed
3. Short term action implementation date
4. Long term action proposed
5. Long term action implementation date

Once the assigned department manager or general manager submits the response above, the platform will notify the complaint issuer and quality user of the reponse.

The process for approval or rejection is the same as for the CAR.

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