

SAP Software for Audit Management:

The audit management functionality offered within SAP software is a fully integrated, flexible, and comprehensive tool. It is based on the SAP Netweaver technology platform.

The audit management application is highly flexible and configurable and supports various types of audits and related standards. For example, it can be used by:

- Quality auditors, including those certifying processes are consistent with International Standards Organization (ISO) standards
- Internal audit departments
- Environmental, health, and safety auditors
- Financial compliance auditors (for example, teams testing internal control over financial reporting for Sarbanes-Oxley certification or similar regulations)
- Vendor audit teams
- License compliance functions

The audit management application covers the entire auditing process from planning and executing audits to defining corrective and preventive actions to reporting the audit results.

GlobalNest Auditing Process:

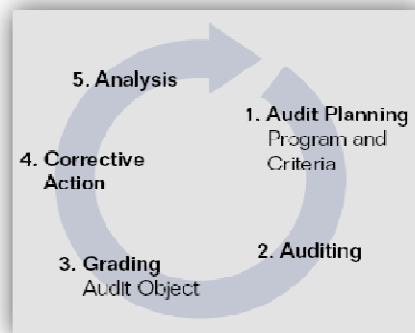
A typical process can include the following phases and tasks.

1. Audit planning (program and criteria):

- Developing the overall audit schedule or plan for the period – Typically, it would include all the individual audit projects that will be performed, so that each can be individually planned
- Building and using standard audit programs or activities – The audit management application allows users to build a catalog of audit activities or questions that can be used to populate the work program for a specific audit project. For example, these may be specific to a type of audit or a particular regulation or include activities (such as risk assessment) that are included in every audit
- Developing the scope and program of work for individual audits
- Assigning individuals to the audit team

2. Auditing:

- Initiating the audit and notifying the participants
- Completing the program of work for the audit
- Recording the findings (including any statements and documents)
- The audit management solution supports all phases of auditing, beginning with defining the individual audits developing a comprehensive audit schedule or plan (for example, an annual program of internal or environmental compliance audits) and defining the individual audits
- It extends through building individual audit programs with specific activities to be performed or questions to be asked, and to the actual execution of the audits and the assessment of the audit results



3. Grading:

- Assessing the results of the audit
- Using specific criteria to evaluate and rate the results of audit activities
- Developing the audit report (draft and final report and signature)

4. Corrective action:

- Determining corrective actions and the persons responsible
- Monitoring the subsequent steps and verifying the effectiveness of all actions
- Determining whether a subsequent audit is required

5. Analysis:

- The SAP audit management application enables reviewing the status of the overall plan as well as of individual audits and corrective actions
- If a hard copy audit file is necessary, the relevant sections can be printed

Function in Audit Management:

Audit Management Cockpit:

The audit management application can be opened from the user menu via the transaction PLMD_AUDIT or via the path Cross Application Components → Audit Management as well as via the path Logistics → Quality Management → Audit Management (available with SAP enhancement package 3 for SAP ERP 6.0). On the accessed audit management cockpit, all required processing functions can be seen.

Audit Security:

Access to the audit management application and the ability to perform activities is limited based on each user's role and business needs.

Audit Authorization:

Users can view the date of creation and creator of the data record, references to super ordinate or original data objects, authorization to view or process the data record, and original language in which the data record was created.

Business Benefits:

- It Simplify communication with partners in each phase by attaching official documents and private notes
- Use the solution offline, since it supports the exporting and importing of audit data and audit question lists and in this way enables offline and mobile auditing (even though it is designed for online, paperless application)

GlobalNest SAP Offering

- Implementation
- Functional and Technical Support
- Rollouts
- Testing
- System and Data Migration
- Upgrade

