

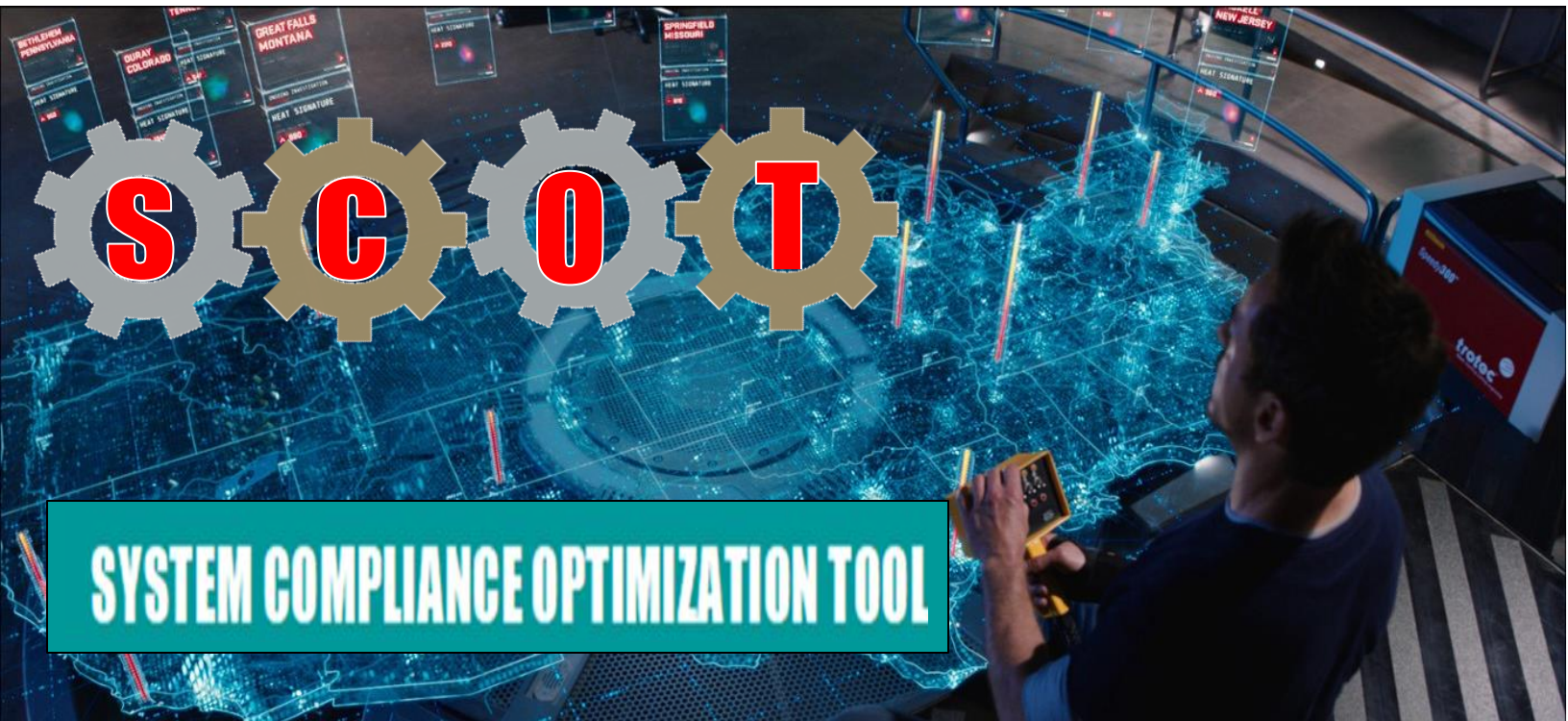
CLOUD BASED!
SYSTEM COMPLIANCE AUDITING TOOL
FOR INCREASING COMPLIANCE
INTEGRITY AND RESILIENCE FOR THE
ORGANIZATIONS, GLOBALLY

IRCBO™

Integrity Resilience Compliance Business Optimization

EMPOWERED by

BOOM™
Engine
BUSINESS
OPPORTUNITIES
OPTIMIZATION
MANAGEMENT



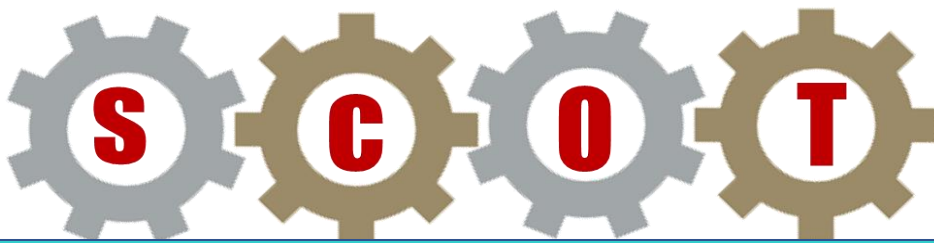
SYSTEM COMPLIANCE OPTIMIZATION TOOL

AUDIT PLANNING

- ✓ AUDITOR'S ONLINE TRAINING & QUALIFICATIONS
- ✓ SELECTING AUDIT CRITERIA
- ✓ AUDIT CHECKLIST PREPARATION AS PER CRITERIA
- ✓ AUDIT PLAN PREPARATION AND COMMUNICATION TO STAKEHOLDERS
- ✓ AUDIT REMINDERS

AUDIT EXECUTION

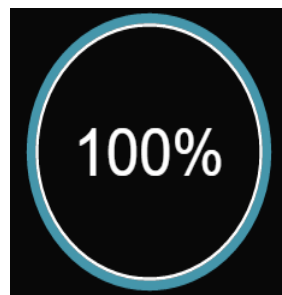
- ✓ ONSITE / REMOTE AUDIT - GLOBALLY
- ✓ AUDIT RECORDING OF EVIDENCES AND FINDINGS
- ✓ PLANNING & REVIEW OF PROPOSED / ACTUAL ACTIONS FOR FINDING CLOSE OUT
- ✓ PERFORMANCE EVALUATION OF SYSTEM BASED ON AUDIT FINDINGS



Internal Auditing is a mandate in any Management System Standard, as well as a Legal requirement. Authenticated Internal Audits reports are admissible in courts as well and hence it becomes very important Confidential and Valuable Information for an organization, in the journey of sustainability.

It has been observed that currently organizations are facing two challenges in performing Internal Audit activity, which is such a crucial from organization angle. These challenges are:

- Untrained Internal Auditors
- Insufficient Internal Auditors
- Manual driven documented audit management system having challenges
- Insufficient Information Security for such Valuable information of organizations
- Ineffective records management system depending on human memory
- Ineffective monitoring of audit finding timely closures



DEGREE OF COMPLIANCE !



Features:

Scope

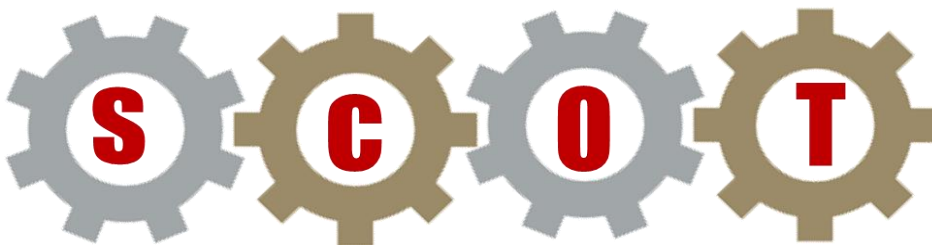
- Technical Scope > Can accommodate **UNLIMITED Standards / Criteria** for Integrated Audits;
- Territorial Scope > Applicable for **SINGLE** location and **GLOBAL UNLIMITED LOCATIONS – NO BAR**;
- Configuring to each site in line with Context to the Organization (External & Internal Parties for each Site);
- Utilization of **ISO 19011:2018 Audit Life Cycle**;

Training

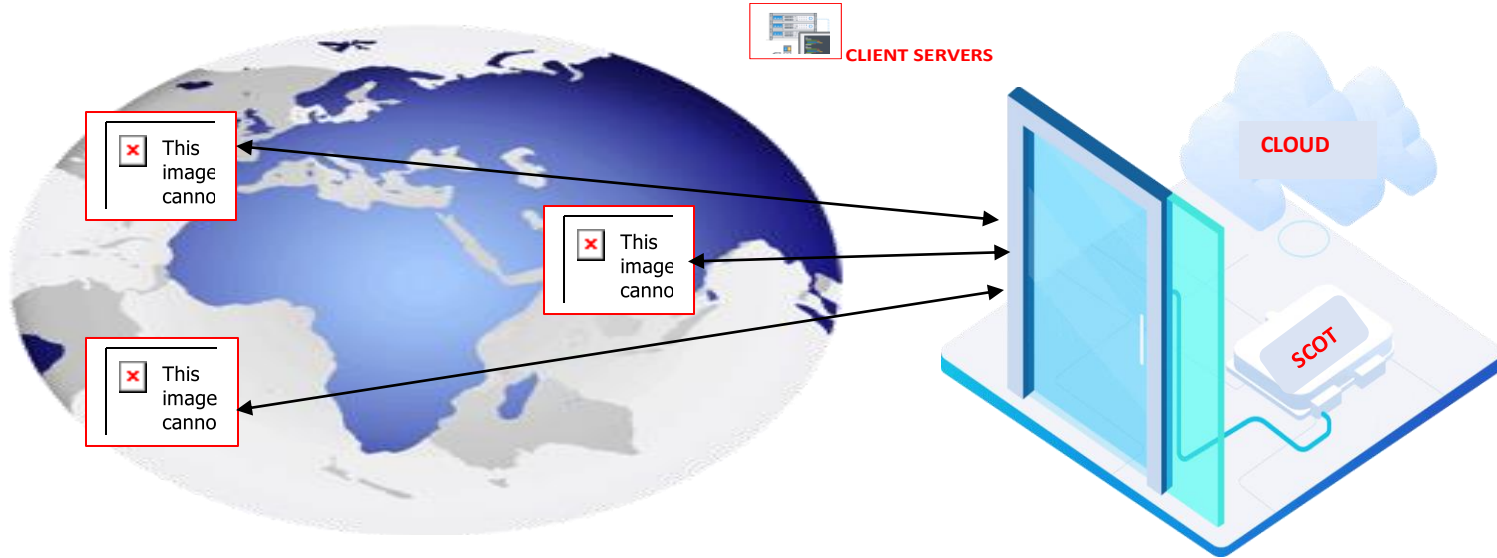
- **UNLIMITED INTERNAL AUDITING & QUALIFICATION** (Self Learning, Online Examination & Certificate) – **NO BAR**

Operational

- **Selecting Audit Criteria** for a specific audit;
- **Audit Checklist Finalization for each Audit as per scope**, using baseline Checklist Preparation as pr Criteria;
- **Audit Plan Preparation (including selection of Qualified Auditors)** & communication to all Stakeholders;
- **Audit Reminders**;
- **Auditing (Onsite / Remote)** – capturing audit notes and audit conclusions with audit findings;
- **Audit Finding Closure Life Cycle** – Proposed, Actual Actions and closure process;
- Reference to **Previous Audit Findings** (pending and closed);
- **Performance Monitoring Dashboards**



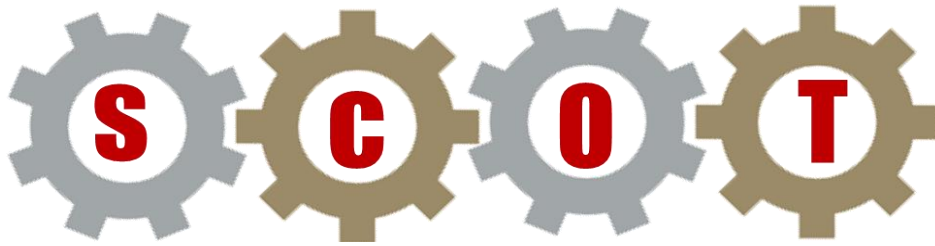
SCOT Tool is hosted in Cloud and each account user has to login to SCOT which in-turn shall access the data in your server - This means ***YOUR ENTIRE DATA REMAINS IN YOUR SERVER***



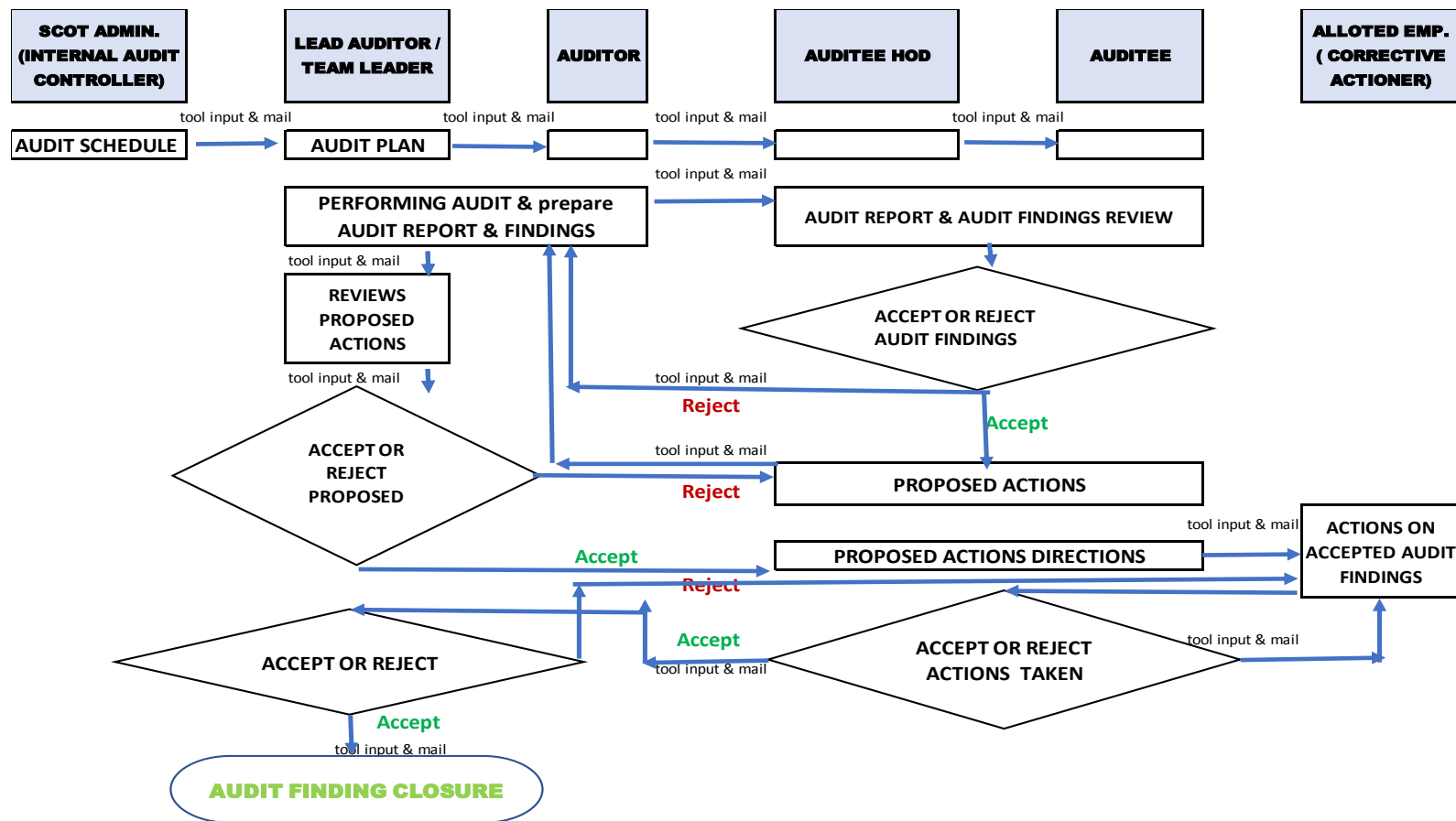
SCOT can be utilized in many ways:

- ✓ As part of complete consulting process given to **IRCBO**
- ✓ On Subscription based
- ✓ Organizations can outsource the Internal Audits Processes to **IRCBO**
- ✓

SCOT UTILIZATION OPTIONS FOR ORGANIZATIONS	
SUBSCRIPTION	OUTSOURCING
<ul style="list-style-type: none"> ➤ Based on # Locations & # People (Max In Slab Considered - If SCOT Slab is 100-200 people , Org. has 150 people, Org. can use it up to 200, incase Org. grows ➤ All Features Applicable, including all trainings: <ul style="list-style-type: none"> ✓ Induction for New Employees ✓ Regular Awareness for refreshing ✓ Internal Auditor Online Training 	<ul style="list-style-type: none"> > IRCBO undertakes complete responsibility and accountability of complete system (If organization wishes to Outsource this, Standard mandated activity of "Internal Audits" > IRCBO has panel of Ill party Certification Body Auditors with immense Industry Experience to contribute
SCOT ADVANTAGES - SUBSCRIPTION	SCOT ADVANTAGES - OUTSOURCING
<ul style="list-style-type: none"> ➤ Building Resilience by Qualifying additional Auditors through Self Learning Auditor Online Training & Qualification, at no extra cost; ➤ In case organization increases it's strength of people, up to max allowed, no extra cost; 	<ul style="list-style-type: none"> ➤ IRCBO Global Auditors can bring in experience which (we are sure) would generate many opportunities of Improvements to enhance the processes for better compliance- totally an unbiased approach. ➤ In case of Multi-Standard Systems, IRCBO Auditors are multiskilled (qualified in all Standards) and can perform Integrated Audits in more effective manner.

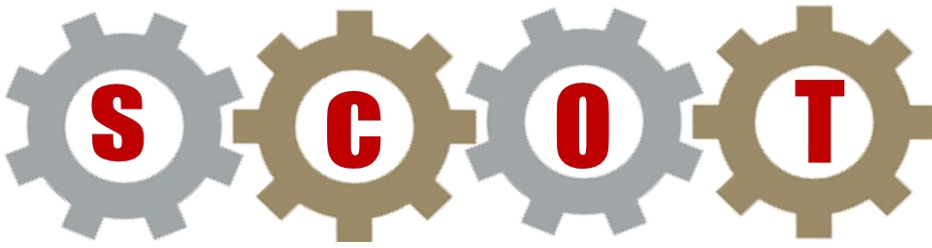


AUDIT PROCESS FLOW IN SCOT AS PER ISO 19011:2018



AUDITORS PERFORMANCE EVALUATION IS ALSO PART OF THIS APPLICATION, APART FROM SYSTEM PERFORMANCE
 After Every Audit Each Auditor Performance shall be evaluated on SWOT (Strengths, Weaknesses, Opportunities and Threats)

AUDITOR >					
PERIOD >					
HEAD IAD / NOMINATED PERSON BY HEAD IAD SHALL DO THE SWOT ON EACH AUDITOR [AT LEAST EVERY SIX MONTH]					
S.W.O.T [Drop Down]		AIM OF SWOT 1. TO CONVERT WEAKNESS INTO STRENGTHS 2. TO CONVERT THREATS INTO OPPORTUNITIES			
AUDITING STANDARD - ISO 19011:2014		STRENGTHS	WEAKNESS	OPPORTUNITIES	THREATS
A1	Considering past data in preparing Audit Program	#N/A	#N/A	#N/A	#N/A
A2	Competent in Auditing Specific Area of Audit	#N/A	#N/A	#N/A	#N/A
A3	Understands Clause 4 & 7.2.2 of ISO 19011 life cycle	#N/A	#N/A	#N/A	#N/A
A4	Arrives timely to Audit Area and Audit Time allotted	#N/A	#N/A	#N/A	#N/A
A5	Auditing Techniques and usage of Organizational knowledge base in auditing	#N/A	#N/A	#N/A	#N/A
A6	Maintains good reputation in auditing and creates friendly atmosphere to keep Auditee at ease and motivates in cooperation	#N/A	#N/A	#N/A	#N/A
A7	Audit Notes preparation with all evidences captured to avoid non-acceptance at later date - does not allow challenging situation	#N/A	#N/A	#N/A	#N/A
A8	Auditor's Quality in Audit Conclusion & Reporting Non-Compliances	#N/A	#N/A	#N/A	#N/A
A9	Auditor's Quality in Preparation of Audit	#N/A	#N/A	#N/A	#N/A
A10	Auditor's Quality In Audit Follow Up	#N/A	#N/A	#N/A	#N/A



SALEN FEATURES

1. All Industries - Single Site Or Multisite Operations – Globally

The SCOT IACA is Applicable for all Industry (Manufacturing , Service Sectors etc.), irrespective of Organization Size
Benefits of this feature

- SCOT IACA configuration for Single site operations as well as Global Multi-Site Operations – Geographical Boundaries not an issue as SCOT IACA is in Cloud

2. Audit LIFE CYCLE as per ISO 19011:2018 FOR MULTIPLE STANDARDS

Complete Audit Cycle as per ISO 19011:2018 – Right from Audit Scheduling to Closure of the Audit Finding
Benefits of this feature

- Audit Life Cycle is based on Standard and not on past Experience
- Audit Scheduling to Planning with Auditor Selection from Auditor's pool from the updated Qualified Auditor's List;
- No restrictions on Number of Audit Criteria (like ISMS, ITSM etc.)

This means SCOT can support multiple standards in Integrated mode.

3. DATA Management with CUSTOMER ONLY

The SCOT IACA Data remains in Client Environment
Benefits of this feature

- The existing Organizational DATA Security, shall apply for SCOT IACA DATA as well, thus the retaining the confidence level, in spite of New Data getting added

4. SCOT IACA DOCUMENT MANAGEMENT

Reference of Pertinent Documents (Policies, Processes etc.) during performing Audits

Benefits of this feature

- The Uploading of Pertinent Version and transferring obsolete ones to Achieve;
- Availability of the pertinent documents for reference during audit is a challenge, and this feature of referencing during audit is a great help to Auditors & Auditees

5. SCOT IACA Inhouse Systems INDUCTION & AWARENESS Online Trainings on self learning mode

UNLIMITED Induction and Awareness Training – to build up COMPETENCY RESILIENCE of Process Personnel

Benefits of this feature

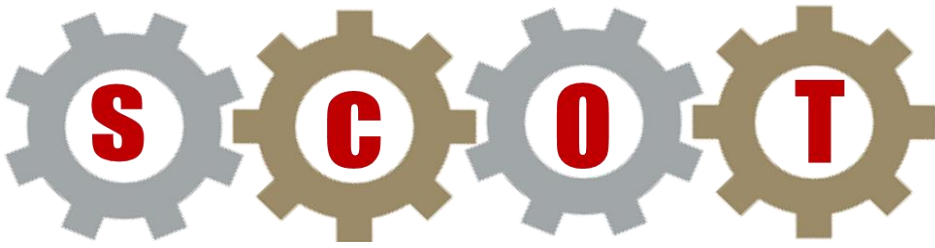
- Online Induction Training for New Joiners – with online Exam. and Certification
- Online Awareness Training for refreshing the respective Standard Knowledge – helps in effective Process Control & Compliance

6. SCOT IACA Inhouse INTERNAL AUDITOR TRAINING & QUALIFICATION

UNLIMITED Internal Auditor Training & Qualifications– to build up REDUNDANCIES of Internal Auditors

Benefits of this feature

- Online Self Learning Module for Training - Auditing Principles and Auditor behavior
- Online Examination for Qualifying Internal Auditors for the respective standard;
- Online Internal Auditor Certificate Issue



7. SCOT IACA Inhouse INTERNAL AUDITOR PERFORMANCE EVALUATION

Auditors also need to be evaluated for performance

Benefits of this feature

- For every Auditor (after every audit) Evaluation is done based on Audit Demonstration;
- Auditor's Performance Evaluation is done through – SWOT, which gives a better clarity on Improvement Domains of Auditing

8. SCOT IACA KEDB (Known Error Data Base)

Causes and Root Causes (back end & online update) – THE BIGGEST METHOD TO BUILD IN RESILIENCE

Benefits of this feature

- Based on past Experience, tool has info. on Issues with causes and root causes.
- During Corrective Actions on Audit Findings, these can be used as reference and also update the same, online – this builds Organizational Resilience

9. SCOT IACA System PERFORMANCE REPORTING

Different analysis of reporting Audit Findings impacting System Performance

Benefits of this feature

- Automated Audit Report in specific format to get a bird eye view of the Audit Outcome.
- Different Analysis after Audit Findings are reported in Audit Report, like SWOT etc. Additional Customized reporting can be made, if need be

10. SCOT INCIDENT MANAGEMENT

SCOT Inbuilt Incident Management in Main Menu

Benefits of this feature

- Any issue with SCOT, incident management can be activated through ticketing system.
- SCOT admin resolves each issue and closure status is updated.
- Each SCOT Admin user shall have 360 degrees of access to view closed and pending issues of SCOT application

11. SCOT in International Languages – Except Data

SCOT I A C A is in English but can be in INTERNATIONAL LANGUAGE FEASIBILITY – Including Training

Benefits of this feature

- SCOT I A C A can be released in any language, including MENU and other controllers of the application.
- Training & Qualification Modules can also be customized to International Languages

12. INVESTMENT ON SCOT IACA

Costing is based on # of Users and # of Sites

Benefits of this feature

- **MAXIMUM LIMIT of SCOT is CONSIDERED FOR CONTRACT**

Example – SCOT IACA SLAB is 1000 to 2000 People and number of People in an Organization is 1500, then SCOT licensing would be for 2000. This brings in resilience for the Organization, in spite of people increases beyond 1500 but limited to 2000, WITH NO EXTRA INVESTMENT

13. SCOT I A C A INDUSTRY SPECIFIC CUSTOMIZED CHECKLIST(S) FOR SINGLE AND MULTIPLE INTEGRATED STANDARDS

INDUSTRY SPECIFIC CHECKLISTS IN INTEGRATED STANDARDS

Benefits of this feature

- IRCBO Solutions research in globally audits and trainings have contributed, to creating standard industry specific audit checklists like manufacturing Sector, (chemical, automotive etc.) , Service Sector (BPO Services, Banks etc.) and IT Sector.
- In case of Multiple Standards, the online customizable checklists are provided in Integrated Mode.

14. SCOT I A C A POLICY KPI's RELATION WITH PERFORMANCE EVALUATION (Extension to Feature # 9) REALTION OF PERFORMANCE EVALUATION BASED ON KPI'S & OBJECTIVES OF DIFFERENT POLICIES

Benefits of this feature

- Information of the Policy KPI settings, are considered as Inputs to performance evaluation, which would give a bird's eye view of current base line for required path of improvement,

ISO 19011:2018

