Audit, Non-conformity and Risk Management

What is the challenge ?

There is increasing pressure for companies to evaluate and audit their supply chains for compliance to various regulations and standards, such as the California Transparency in Supply Chains Act.

Organizations need a way to efficiently assess their suppliers and factories, conduct audits and track the whole audit lifecycle from non-conformities to corrective/preventative action plan submissions and risk assessments.

Creating your own surveys, audit checklists and risk assessment criteria can be challenging without an automated system to drive these activities and help your supply chain participate.

How can Compliance Map help?

CMAP is designed as a flexible workflow system, allowing companies to design their own auditing, risk assessment, NC and survey processes or simply adopt existing standards such as the RBA VAP.

Users start by creating their own flexible surveys to query suppliers and factories for information, such as:

- Chemical management
- Weekly/Monthly KPI requests
- Factory social and environmental compliance
- Code of Conduct confirmations
- Supplier on-boarding

Users can also map the RBA Self-Assessment Questionnaire (SAQ) into the system to start driving risk assessments.

Audit Management

Companies wishing to conduct on-site audits of their suppliers and factories can use the CMAP platform to record checklists and enable 3rd party auditors to log in and participate in workflows for ISO, RBA and any custom defined audits.

Once risk assessments are conducted based on flexible criteria (such as CPI and Freedom Country Rating scores), audits can be automatically triggered and scheduled with available auditors.

Non-conformities along with findings are logged where suppliers and factories can log into the CMAP tool to provide CA Plans, evidences and any custom information defined in the CMAP flexible dictionary.

Finally, reports can be generated to determine the effectiveness of auditors, quality of audits and performance of suppliers/factories in responding to surveys and non-conformances.

1. Surveys	▶ Engage supply chain and collect SAQs and custom flexible surveys
2. Risks	▶ Automatically build annual risk assessments from available factory data
3. Audits	▶ Trigger on-site audits and record findings using custom checklists or RBA VAP
4. NCs	▶ Require your suppliers and factories to log in and provide CA Plan and evidences

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