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*This sample chapter begins with setting up the required master data you need to in place for audit management. Then it covers the business processes of audit management, and then moves on to cover audit monitoring and evaluation, as well as available productivity enhancement tools. It then evaluates the possibility of using the specific inspection type available in the QM area to manage vendor audits. Finally, the chapter covers the configuration basics of audit management.*



**“Audit Management”**



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**The Author**

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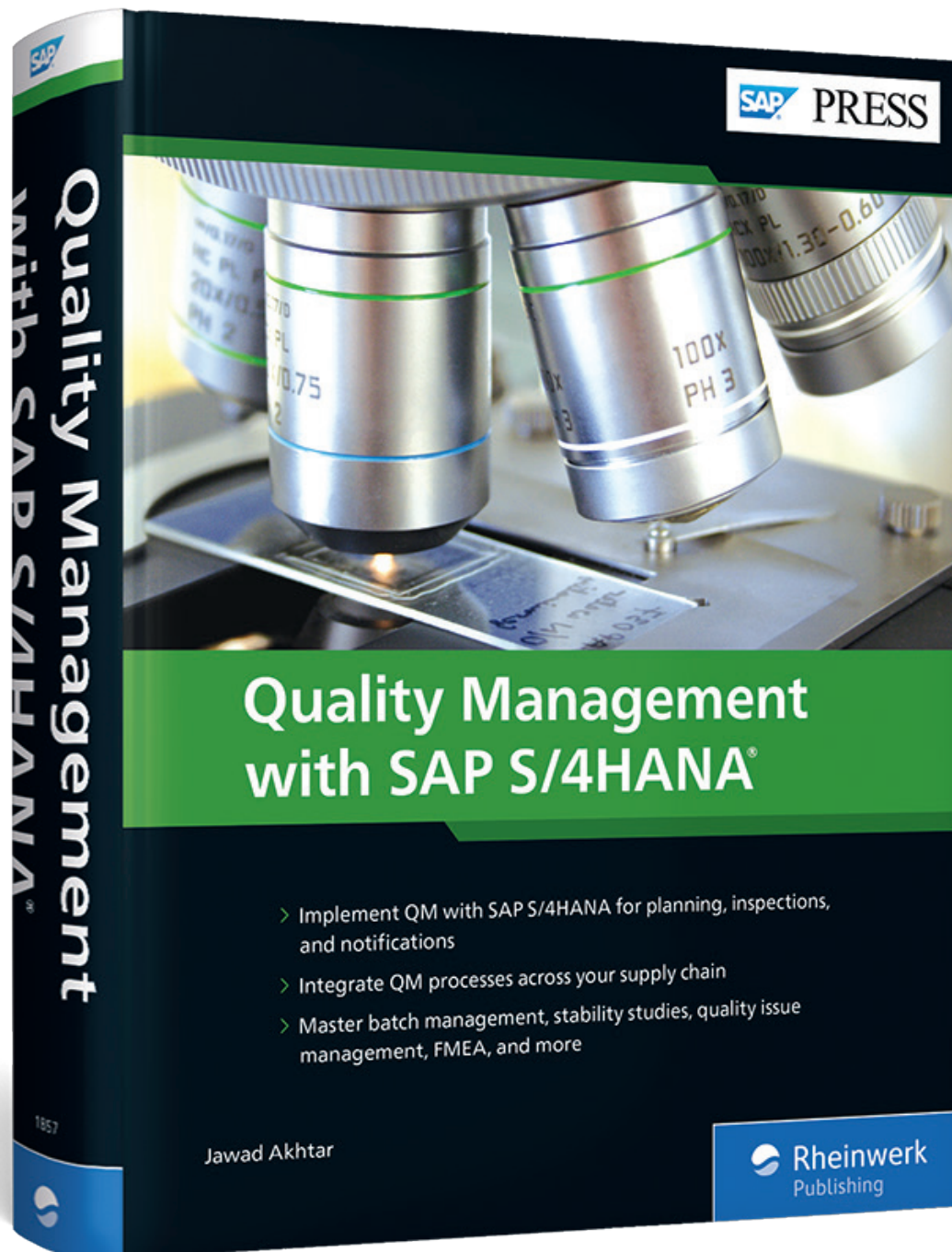
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## Chapter 14

# Audit Management

*Audit management helps companies comprehensively attend to various external and internal audits and ensure legal, regulatory, and environmental compliance.*

An *audit* is a systematic examination that a company undertakes to determine to what extent an object meets previously specified criteria. Audits are usually performed using question lists that represent the criteria. Audit management is an effective cross-application component that can support different audit types, such as supplier audits, customer audits, internal audits, and environmental audits, as well as other kinds of assessments, examinations, inspections, or revisions. It helps companies comply with legal requirements or industry standards. It supports all phases of auditing, from the planning of a comprehensive audit program and the individual audits to the definition of the audit criteria or question lists to the actual auditing process and assessment of the audit object in the audit report. It also supports defining and monitoring corrective and preventive actions were based on the audit findings. It's an effective tool for the evaluation of all audit-related data.

This chapter begins with setting up the required master data you need to in place for audit management. Then it covers the business processes of audit management, and then moves on to cover audit monitoring and evaluation, as well as available productivity enhancement tools. It then evaluates the possibility of using the specific inspection type available in the QM area to manage vendor audits. Finally, the chapter covers the configuration basics of audit management.

### 14.1 Overview

Figure 14.1 shows an overview of the steps involved in audit management.

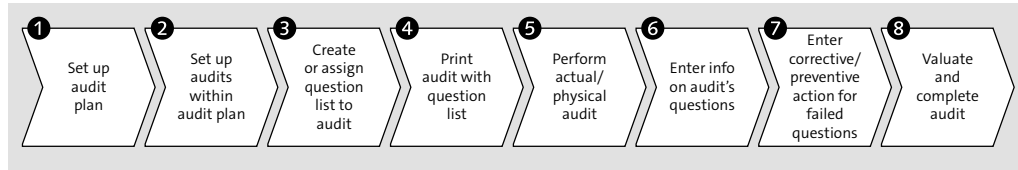


Figure 14.1 Audit Management

During the audit planning stage, you prepare the necessary question lists and audit criteria, depending on the relevant standards, regulations, or rules of the auditable area. You can set up an audit plan and define the periodic schedule, taking into consideration the scope, audit object, and dates of the audits. When the audit is part of a program, you need to set up the audit plan and any relevant audit subplans. The subplans should contain information about the plan, a general description, and a validity period. This is often the case for obligatory audits, in which case we recommend that you use the audit program. The audit program allows you to plan the type, scope, and frequency of audits, as well as the resource requirements. You can create an audit program by hierarchically structuring audit plans ❶, which also allows you to combine certain types of audits. From a business perspective, it makes sense to group together an environment audit and health and safety audit, for example.

During an actual audit, you collect evidence and record the findings. Prepare or set up the individual audits ❷ by determining the question lists ❸, identifying the partners involved, and preparing the required documents. This step involves the following actions: releasing the audit in the system, inviting the participants, providing the documents, and examining the audit object with regard to the criteria, or performing interviews with the relevant stakeholders.

Although audit management is designed for online, paperless applications, SAP supports exporting and importing audit data and audit question lists ❹ to allow for offline and mobile auditing through a standard XML interface. The XML file can then be transferred to an Excel file and loaded onto the auditor's laptop so that the auditor can perform the actual audit ❺ on this data. The auditor can then upload the file via the standard XML interface into audit management, where the auditor can process the remaining steps or complete the audit process.

Based on the evidence entered in the previous step ❻, the system valuates the questions based on the question configuration settings (set up to meet your company's business rules), so the system rates and automatically grades an audit object. Because you're valuating the audit object, this stage is sometimes referred to as a *grade audit*

or a *grade object*. The overall assessment and grading for the audit object is determined on the basis of the valuations of all items that have actually been assessed. To consolidate the valuations across several hierarchy levels of the question list, the system uses the degrees of fulfillment or deviation from each hierarchy level for calculation in the standard SAP S/4HANA system. The valuation on the supreme hierarchy level is then used to grade the audit object.

In the rating profile, you determine the degrees of fulfillment that must be achieved for separate audit objects.

In this step, you create an audit report, which contains all important administrative data related to the audit, including comments, results, and the corrective/preventive actions taken ❼. The audit report is an official document.

After the assessment, you can create a preliminary audit report, which you can then use to discuss the findings, corrective actions, and overall results of the audit. The audit can then be signed (physically or using a digital signature), created, and distributed. The system represents the signature by the status of the audit. If the signature itself must be documented and verified, you can scan the signed report into the system and attach it to the audit ❽.

During an audit, if the auditors detect that there are inadmissible deviations, dangers, or room for improvement, they can note their findings and make recommendations, determine the need for a subsequent audit, or create corrective or preventive actions for the relevant items of the audit question list.

The last step of audit management focuses on monitoring the outstanding actions and finalizing the audit report.

#### Note

We recommend that you also read Chapter 16 on FMEA, which highly overlaps with the functionality and basics of audit management. In fact, FMEA is a specialized form of audit that finds greater application in the automotive industry.

## 14.2 Setting Up Audit Objects

The following audit objects are used within audit management:

- Audit plan
- Question list
- Audit
- Question



### 14.2.1 Set Up Audit Plan

An *audit plan* is used to keep an overview of the audits that the company undertakes and have them organized in a logical way. An audit plan is also known as an *audit program*. In the audit plan, you define the schema in the form of an annual schedule by taking into consideration the scope, object, and date of the audits. An audit plan can contain several subordinate audit plans and links to audits.

You can access the audit management work area from Transaction PLMD\_Audit or menu path **Logistics • Quality Management • Audit Management • Audit Management**. The resulting screen, shown in Figure 14.2, divides the entire audit management work area into three distinct sections. In the top-left-hand work area (known as the structure tree), the system provides options to create new objects, such as an audit plan, audit, or question list. You can also copy one audit item to another, delete an item within audit management, or even look up specific information. All these options are available via the icons' texts available at the top-left-hand side of Figure 14.2.

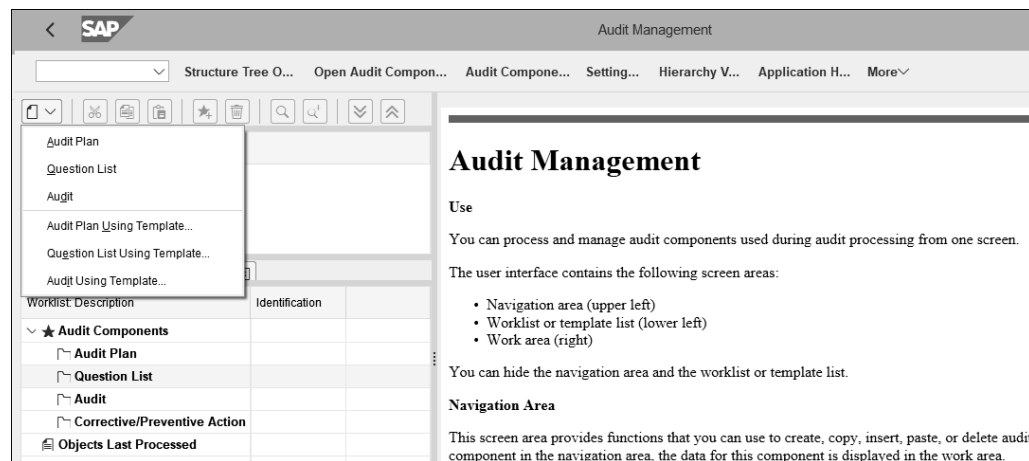


Figure 14.2 Audit Management Workbench

The right-hand side of the screen (known as the detail screen) is blank unless you're already working on a specific audit object. The bottom left-hand side (known as the worklist/template area) shows the audits or other objects that you've worked on in the recent past and is available in the work area's history. To make more space in the work area, you can hide the details shown on the lower-left-hand side of the screen by clicking **Close** (the blue cross—hidden behind the dropdown).

Choose **New** in Figure 14.2 to create a new audit plan, question list, or audit either from scratch or using a template. Choose **Audit Plan**, and the system brings up the screen shown in Figure 14.3.

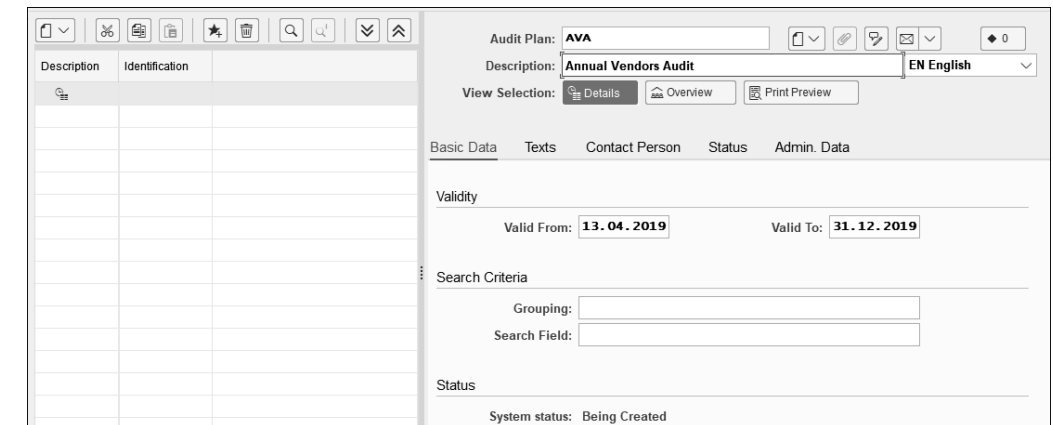


Figure 14.3 Audit Plan

Here, you see the basic data view of an audit plan. On the right-hand side of the screen, enter “AVA” in the **Audit Plan** field (for the rest of this chapter, we'll be using the audit plan AVA as an example to denote *annual vendors' audits*) and enter its description. Notice the additional icons right next to the **Audit Plan** field that enable you to add additional notes, attachments, or even web links for reference and records purposes. The option to attach documents or notes is also generally available while you're creating all items of audit management. Similarly, you can keep an eye on the alerts and messages that are available at the top-right-hand side.

Double-click the message icon, and details of the message appear at the bottom of the same screen. We suggest that you take time out to explore the tools and menus. Enter the valid from and valid to dates of your audit plan. At this time, the system status of the audit plan is **Being Created**. You need to release the audit plan before you can actually begin working with it.

In the **Texts** tab, you can incorporate more details about the audit plan, including adding a description and notes. You can even upload (and download) the content from some other data source, such as another drive on your laptop, and incorporate it in either the description or note areas of the audit plan. This is possible when you choose the relevant upload or download options.



### Note

The option to enter various types of texts is generally available in the **Texts** tab of all items of audit management.

Choose the **Contact Person** tab in Figure 14.3, and the system brings up the screen shown in Figure 14.4 ❶. Here, you enter the roles and names of the people who will be part of the audit plan team. You can assign responsibilities to the relevant persons, and then in all subsequent status updates or reporting, information on participants helps in finding whose tasks are pending or overdue, or even which resource/participant is assigned to what task(s).

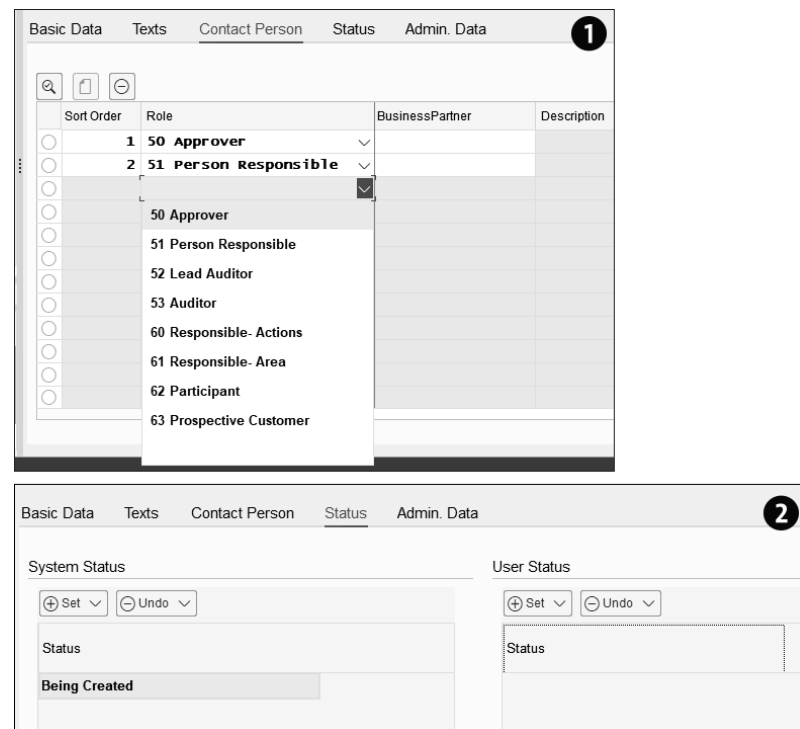


Figure 14.4 Contact Person and Status in Audit Plan

### Tips and Tricks

Use Transaction BP to create or amend business partners (team members) who will be part of the audit management initiative.

Choose the **Status** tab in Figure 14.4 ❷. Here, the current status of the audit plan is still in the creation phase. Save your audit plan. The next step is to create an audit.

### 14.2.2 Set Up Audit

The audit (also known as an audit plan within ISO 19011, whereas an audit plan is known as an audit program) describes the audit type and audit triggers, as well as the audit object. The definition of audit objects makes it possible to analyze similar audits to determine best practices or trends. The structure of an audit consists of the following elements:

- **Audit plan**  
This is an optional element for reoccurring audits.
- **Audit**  
This is the object being audited, such as the product or process, audit team, audit type and cause, deadlines, texts, valuation rule, result, or status.
- **Audit question list**  
The question and/or question list gets assigned to the audit. As soon as you use a question list or create a question list or additional questions, these all are specific to the audit and contain both the question list header and items.
- **Corrective/preventive actions**  
This is related to audit questions, which contain follow-up actions such as an additional audit, or preventive, corrective, or improvement actions.

To set up an audit, right-click audit plan **AVA** so that the system brings up the option to create an audit (see Figure 14.5 ❶). Choose **Create** and then choose **Audit** (Figure 14.5 ❷). Enter the name of the audit, together with its short description. The system prompts you to select the **Audit Type**, which can be a system, product, or process audit type available according to your configured objects. Refer to Section 14.6.2 on configuration objects for audit types.

Choose **System Audit at Vendor's Site** as the audit type, and then choose **Annual Audit Plan** as the audit trigger. Enter business partner 1000 and QM system 1. Then enter

the planned start and end dates of the audit in the lower half of the screen. You can update the actual start and end dates of your audit in the bottom half of the screen when you actually start and then complete the audit. Choose the **Texts** tab in Figure 14.5 **2** so that you can incorporate more details about the audit, including adding its detailed description and notes **1**.

Figure 14.5 Audit Setup

Choose the **Result** tab in Figure 14.6, and notice that since you're creating a new audit, the **Audit Result** area reflects that the system hasn't assessed the audit yet, nor the audit's degree of fulfillment, so the fields are all blank. Later, you'll see how the system automatically fills up these fields after it calculates the audit results.

In the lower half of the screen (the **Valuation Specifications** area), select the procedure that you want to use as the valuation specification for the audit. For this example, set the valuation **Procedure** to **Valuation Acc. to Fulfillment**.

Figure 14.6 Valuation Specification of Audit

Before the system calculates the audit results, it asks the business process owner to assign a rating profile. A *rating profile* refers to predefined segregation to valuate whether the audit results should valuate the vendor as, for example, low risk, high risk, or no risk at all. Also, it's important to note that you have to define the minimum result that the audit must achieve as 90.0. In other words, it acts a benchmark to compare actual audit findings with minimum results and enable the system to conduct **Overall Asses.** (assessment) to declare findings from the audit as a success or failure. Save your entries.

The next step is to create an audit question list or questions.

### 14.2.3 Set Up Question List/Question

A question list (also referred to as audit criteria) is usually required to execute an audit, and it stores the criteria against which the audit objects are assessed. Question lists contain the expertise of the auditor regarding the audit area. A question list can be created as an independent master data object with the purpose of reusing its contents. After you create an audit, you can assign this question list into the audit, which makes it part of the audit. This, however, is optional; you can also create the question list specifically for a particular audit.

In Figure 14.7 **1**, right-click **Audit** on the left-hand side of the screen. The system brings up the option to create an audit question list/question. Choose **Audit Question**

List/Question, and Figure 14.7 ② appears. The **Hierarchy Prof.** (profile) controls different levels of audit question lists or questions. For example, a question list or a question may have further parts or elements that form its overall structure. With hierarchy control, you can control this, as well as which question, part, or element the system should value during an audit valuation. Choose **Question**; Figure 14.8 shows the valuation details of the question.

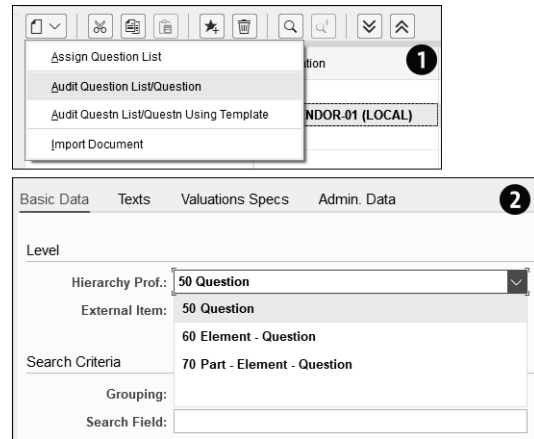


Figure 14.7 Question List

Figure 14.8 shows **View Selection**, which offers the option to maintain details of the question, whereas the **Valuation** view is the option that you use in the business process of audit management. At this time, you're maintaining the setup for audit management, so maintain the question's details, such as texts and valuation specifications. Choose **Valuations Specs.** to go to the screen in Figure 14.9.

Figure 14.9 ① consists of the calculation procedure, as well as the valuation of the question that you saw while creating the audit. Here again, the **Minimum Result** for this question should be 90.0. You can control the weighting that this question can have. For example, a weighting of 2 enables the system to give twice the weight or importance to this question during audit calculation (valuation). The **Valuation Profile** controls whether you can enter the result of the question as a percentage, quantity, or code (which also contains either a percentage or valuation on a scale of 1 to 100). A **ValuatnProposal** (valuation proposal) of 90.0 automatically brings this value up for the business user as a default value, which may deviate from the actual audit finding/assessment of this question. Figure 14.9 also shows the dropdown options available for **Procedures** ② and **ValuatnProfile** ③.

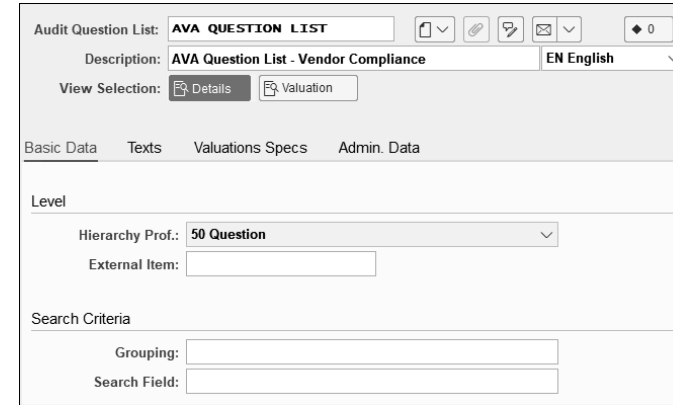


Figure 14.8 Basic Data of Question

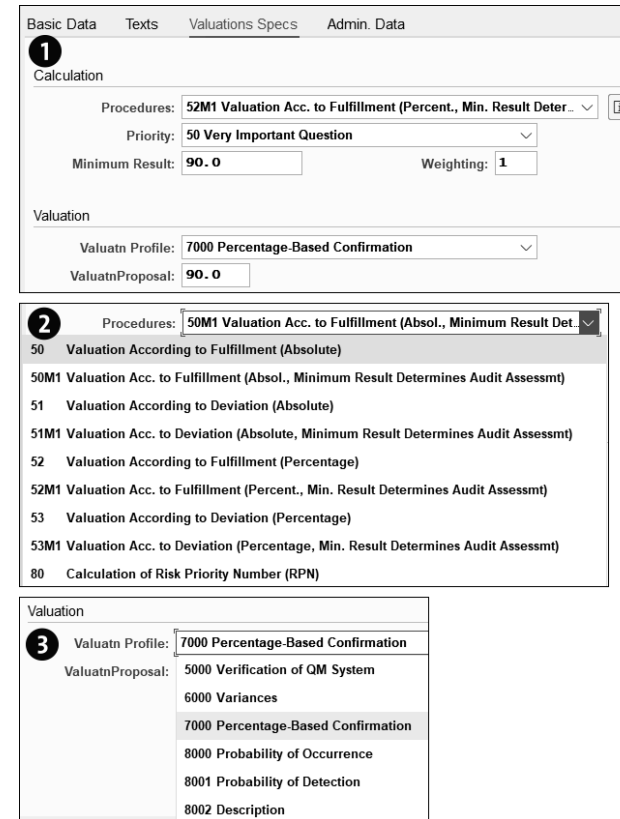


Figure 14.9 Valuation Specifications for Question

**Note**

The configuration details of procedures and the valuation profile are explained in Chapter 16.

**Tips and Tricks**

If you have a business need to print the audit question list at the time of conducting an actual or physical audit, then while in the audit, choose **Print Preview**. The system shows the print preview of the entire audit and enables you to print it directly or save it as a PDF file that you can print later. Refer to Figure 14.5 ❶ to check out the **Print Preview** option available for an audit.

You can also create a question list in advance and then assign it when the actual audit is conducted so that the latest and most updated question list applies to the audit. The option to create a question list is available when you first create an audit plan or an audit. To assign an already created question list to an audit, refer to Figure 14.7 ❶ and choose **Assign Question List**.

## 14.3 Business Processes

Audit management is suitable for a variety of audit usages, and you can easily combine audits where this is possible. The following are some examples in which you can use audit management:

- ISO 9000 (quality management) is a group of standards developed by the International Organization for Standardization (ISO), which provides guidance and tools for companies and organizations that want to ensure that their products and services consistently meet customer requirements and that quality consistently improves. It includes audit management, in which organizations must perform internal audits to check how its quality management system is working. Audits can be related to systems, processes, or products, as well as FMEA.
- Good Manufacturing Practice (GMP) is a production and testing practice that helps to ensure a quality product. Many countries have legislations covering GMP procedures and guidelines specifically for pharmaceutical and medical device companies to safeguard the health of the patient, as well as produce good quality medicine, medical devices, or active pharmaceutical products.

- ISO 14000 (environmental management) is another group of standards from ISO that provides practical tools for companies and organizations looking to identify and control their environmental impact and constantly improve their environmental performance.
- ISO 19000 (safety and security management) is a group of standards for geographic information, including concepts, principles of quality, quality assessment, specifications, and metadata standards. ISO 19011 provides guidance on auditing management systems, the principles of auditing, management of an audit program, and the evaluation of competence of the individuals involved in the audit process.

**Example**

Textile, garments, and home furnishing buyers (such as Walmart, JC Penney, and the Gap) often require manufacturers to undergo rigorous rounds of multiple audits to ensure the safety and security of textile workers and to meet fire and safety hazard prevention requirements. These buyer-specific audits can be managed in audit management.



The business processes in audit management begin with releasing the audit plan for all stakeholders to sign their consent to all elements of the audit plan. This is followed by releasing individual audits as and when they near. On releasing the audit, the auditor can actually start attending to each audit question and let the system value each audit question to see if it meets the audit standards or not. If not, then corrective/preventive actions are put in place and their progress monitored. The audit is then valued to see if it complies with the predefined audit clearance/passing criteria or not. All stakeholders sign off on the audit, which signals its completion, and finally an audit report is generated. We will look at each of these steps in the following sections.

### 14.3.1 Release Audit Plan

Referring back to Figure 14.3, first the default or current system status of an audit plan is created. Figure 14.10 shows the **Status** tab, in which you choose **Set** to set the status of the audit plan to **Release**. If you choose **Set Approval Requirement**, then the system offers options to either approve or reject the audit plan. Once the audit plan is approved, you then have to release it. Save your entries.



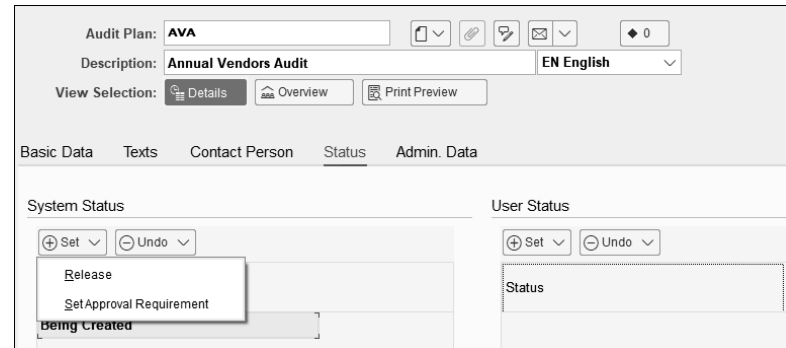


Figure 14.10 Releasing Audit Plan

### 14.3.2 Release Audit

Similar to releasing the audit plan, you perform the same steps to release the audit in the **Status** tab of the audit. When you release the audit plan as well as the audit, the system enables more options via which you can maintain further details of the audit.

With an audit released for further working—that is, the actual audit—you can valueate a question or question list.

### 14.3.3 Valuate Question

Figure 14.11 shows the **Valuation** view of a question. In the **Valuation** area, selecting the **Not Relevant** checkbox makes this question irrelevant for valuation during audit calculation. To valueate a question, enter **No. of Points** as “50” and choose **Valuation Entered** to confirm that you want to valueate the question. Remember that you set that the minimum number of points that this question must have is 90.0. The system automatically marks the question as **Action Required**. You can also add different texts about the action by choosing **ID** from the dropdown and then entering the long text in the provided text box. You can also see the **Corrective and Preventive Action** icon right below the question.

At this time, the system only updates the status of the question as either valuated or not valuated. This is shown in Figure 14.12 with a red or a green icon to denote that the system has completed the valuation of the question.

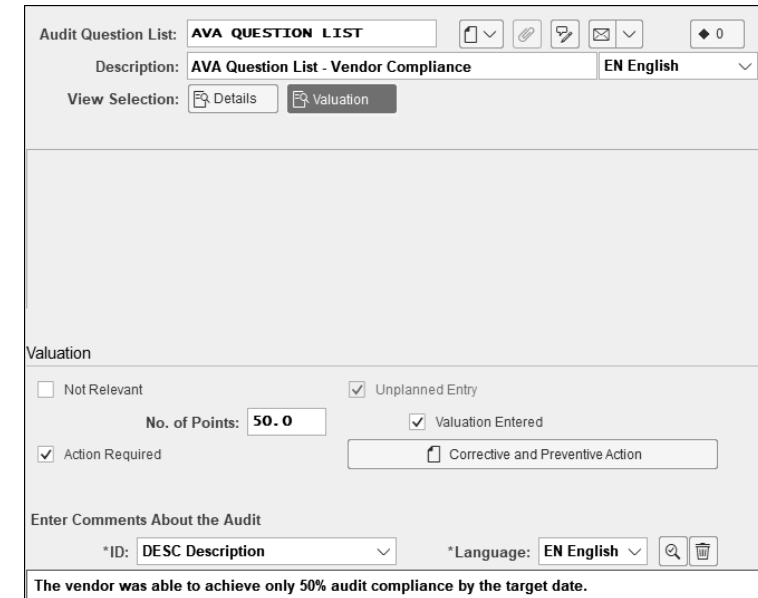


Figure 14.11 Question Valuation

Description	Identification
> AVA-Vendor-01 (Local)	AVA2
> AVA-Vendor-01 (Local)	AVA-VENDOR-01 (LOCAL)
▼ AVA Question List - Vendor Compliance	AVA QUESTION LIST
● First Audit - First Question	AUDIT QUESTION-01
⚠ Vendor01_NOT_OK_Corr_Action/Prevent. Question (Below Minimum Result)	VENDOR01-CORR. ACTION
▼ AVA	AVA-SECOND AUDIT
> ● Second Audit Round	SECOND AUDIT ROUND

Figure 14.12 Question Valuated

After you valueate a question, and depending on the company’s business process, you can create a corrective or preventive action to attend to the failed audit question and provide another opportunity to valueate the question. If you have more audit questions, then you need to valueate each and every individual audit question so that during audit valuation, the system valueates the entire questions list, too.

### 14.3.4 Create Corrective and Preventive Action

During an audit, you can determine follow-up activities based on the results of an audit, including actions to determine the necessity of a subsequent audit, or corrective, preventive, and improvement actions. You can assign persons responsible, monitor the subsequent steps, and verify the effectiveness of all actions by recording and reporting on the progress data. A corrective and preventive action defines the preventive measure that the audit team will put in place to ensure reduction or elimination of the cause of the defect and also prevent it from happening in the future.

In the screen in Figure 14.12, click **Corrective and Preventive Action** for a question so that the screen in Figure 14.13 appears.

The screenshot shows the 'Basic Data' tab of a corrective/preventive action form. At the top, there are fields for 'Action' (VENDOR01-CORR. ACTION), 'Description' (Vendor01-NOT OK - Corr. Action/Prevent.), and 'View Selection' (Details, Print Preview). Below this is a 'Dates' section with 'Planned Start Date' (14.04.2019), 'Actual Start Date' (14.04.2019), 'To Be Completed By' (20.04.2019), and 'Actual Finish Date' (17.04.2019). There is also a 'Level of Completion' field. A 'Search Criteria' section includes 'Grouping' and 'Search Field' fields. At the bottom, the 'Status' section shows 'System status: Created'.

Figure 14.13 Corrective/Preventive Action

Here, enter the action identification and its description of the correction/preventive action. In the **Basic Data** tab, enter the planned start date and the to be completed date. At this time, the system status of the action is **Created**. You need to continue updating the status of the action so that the system can evaluate the question and, eventually, the question list. You do this in the next step by choosing **Status**, and the screen in Figure 14.14 appears.

Figure 14.14 ① shows the **Status** tab of the action, in which you choose **Set**, and then from the dropdown that appears, choose **Open**. The system sets the action's status to **Outstanding** ②.

The figure consists of three sequential screenshots of the 'Status' tab in the system. Screenshot 1 shows the 'System Status' section with a '+ Set' button and a '- Undo' button. A dropdown menu is open, showing 'Open' as the selected option. Screenshot 2 shows the same screen, but the status has changed to 'Outstanding'. Screenshot 3 shows the same screen, but the status has changed to 'Complete'.

Figure 14.14 Statuses Updates for Corrective/Preventive Action

In the **Basic Data** tab, enter the actual start date and actual end date, as well as the level of completion as a percentage (%). Then, in the next step, choose **Status**, and first confirm the status, then set the status as **Complete** ③.

When you or the person assigned to complete the corrective/preventive action performs the correction/preventive action, you can update this information accordingly in the system. You update the information by adding relevant details in the different texts available for a corrective/preventive action.

#### Note

You can integrate a digital signature in either or both steps of corrective/preventive action—that is, at the time of confirming an action or on its completion. Chapter 3 discusses digital signatures.

### 14.3.5 Valuate Audit

Choose **Valuate** in the screen in Figure 14.15 for the **Audit**, and the system updates all fields in the **Audit Result** area. The system calculates the **Deg. of Fulfill** (degree of fulfillment) at 50%. This is because you valuated the audit question with 50 points. Notice that the system assigns the **Rating** as **02 Medium Risk** and assigns the **Overall Assesst.** (assessment) as **0 Failed**. Because the overall assessment of the audit has failed, the system automatically selects the **Subsequent Audit Required** checkbox, which you can manually override. If you choose not to override this, then you can enter the date of the next audit.

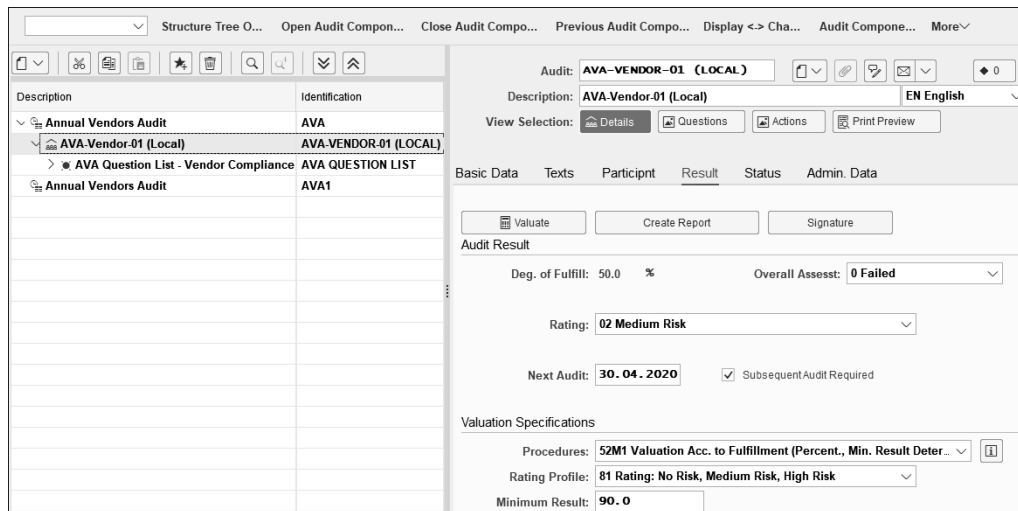


Figure 14.15 Audit Valuation

Figure 14.16 shows more audit questions on the left-hand side, with audit question **AVA—Second Audit**. Notice the red traffic light that denotes the question **Overall Vendor’s Compliance Assessment** failing to meet the minimum result. In the same context, see the green traffic light for the question **AVA—SECOND AUDIT**, which has passed the minimum result during valuation.



**Note**

You can integrate digital signatures in the **Signature** step in Figure 14.17. Choose **Signature**; because there is no digital signature in audit management, the system locks all fields from further changes.

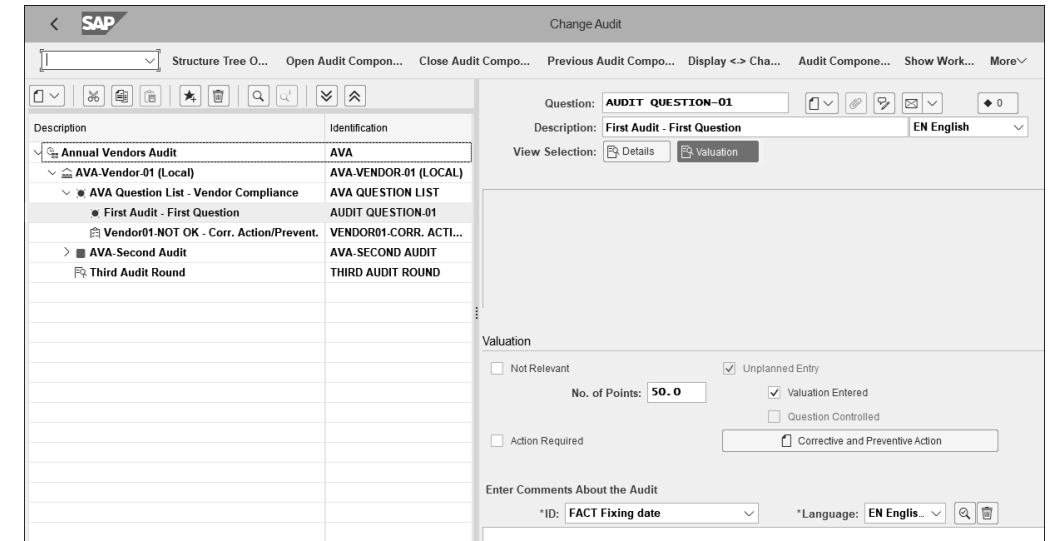


Figure 14.16 Audit Valuation with More Questions

Figure 14.17 shows that **Deg. of Fulfill** does indeed improve to 62.0%, but it still has the **Overall Assesst.** status as **Failed** (see the **Minimum Result** field, where you maintained 90%). Figure 14.18 shows the audit results of a third audit with an overall score of 74.7%.

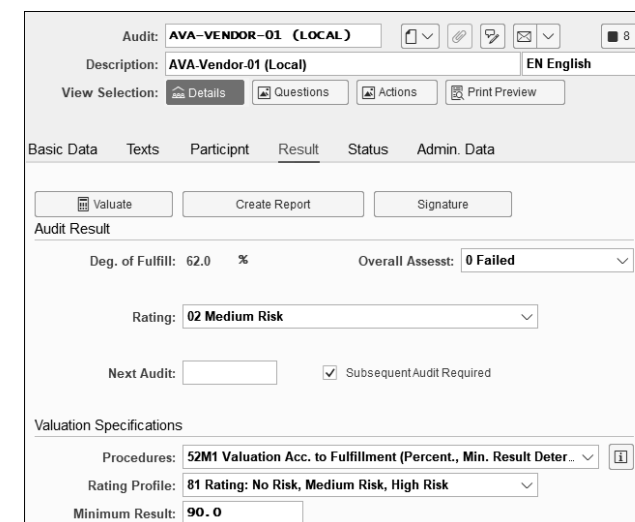


Figure 14.17 Second Audit Valuation

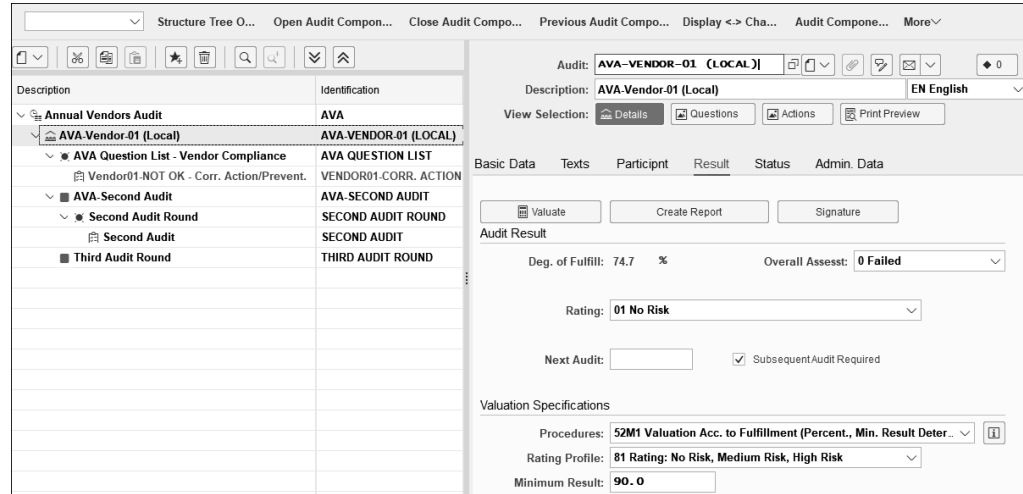


Figure 14.18 Third Audit Valuation

With your audit valuation complete, you can now create or sign the audit report.

### 14.3.6 Audit Report

In Figure 14.18, choose **Create Report**, and a pop-up appears to confirm that you want to print the audit report. Choose **Yes**, and Figure 14.19 appears, showing the standard audit form that contains all the relevant details of the audit after its valuation. You can engage an ABAP resource to custom-develop the audit report to meet your company's business needs.

Scroll down or press **Page Down**, and the screen in Figure 14.20 appears, showing more details about the question list or question. It also contains the valuation and the corrective/preventive action that you need to take to ensure compliance with audit requirements.

Finally, when you complete the audit, you can set the audit's status to **Complete**, and the system disables all fields to prevent any further changes or updates to it.

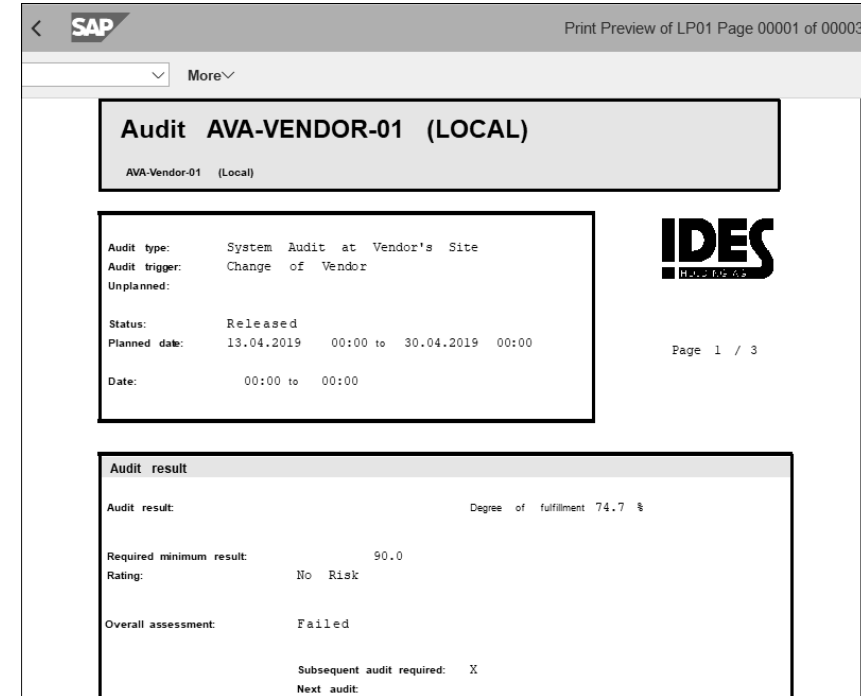


Figure 14.19 Audit Report

Audit questions			
Question	Description	Determination	Valuation Corrective action required
AVA Question List - Vendor Compliance			Valuation: 50.0
The vendor was able to achieve only 50% audit compliance by the target date.			X
AVA-Second Audit			Valuation: 0.0
Second Audit Round			Valuation: 74.0

Figure 14.20 Audit Questions in Audit Report

## 14.4 Productivity Tools and Audit Monitor

Managing and maintaining the enormous amount of audit data can be a herculean task. To support with planning, scheduling, monitoring, and data entry efforts, audit management provides several productivity tools and an audit monitor.

### 14.4.1 Audit Plan in MS Project

Audit management facilitates the planning and data entry efforts required to manage large amounts of information, especially when there are several different audit types scheduled and you need complete and overall scheduling visibility of some or all of them. Audit management integrates with MS Project, so you can leverage a large number of MS Project's planning tools to optimize your audits.

In the screen in Figure 14.21 ❶, choose an **Audit Plan** and then click **Graphical Time Scheduling**. This triggers the system to open MS Project and then display the scheduling details of the audit plan in MS Project ❷. You can make changes to your audit plan in MS Project, and on saving, the system automatically updates all scheduling information in audit management.

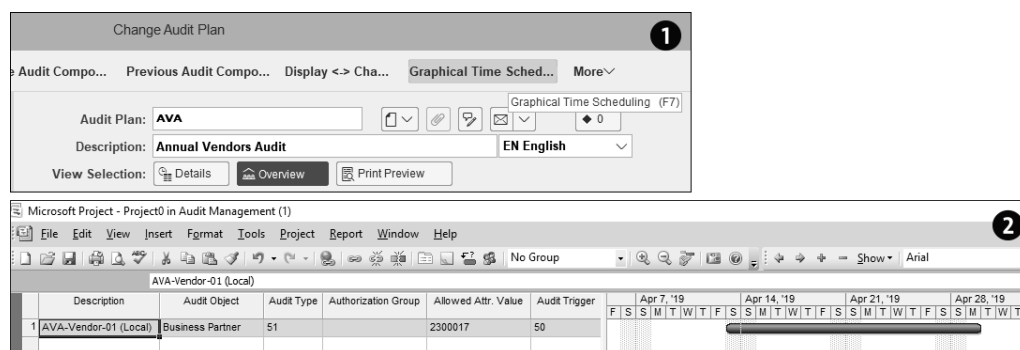


Figure 14.21 Audit Plan in MS Project



#### Configuration Tip

You can completely map the fields between audit management and MS Project so that during upload or download, the system is able to place the correct data in the relevant fields. For field mapping between the programs, follow menu path **SAP IMG • Cross-Application Components • Audit Management • Audit Definition • System Adjustment • Microsoft Project Interface**.

### 14.4.2 Import and Export Audits

You can import (upload) or export (download) your audits using XML format, which eventually saves you from redundant data entry efforts. To import or upload an audit, use menu path **More • Audit Component • Import...** To export or download your audit to your local drive, use menu path **More • Audit Component • Export...**

#### Tips and Tricks

When you export the XML file, you can use Excel to open it. On completing data entry and all tasks for audit in Excel, you save the file in the XML format, which you can then import again into the SAP system.

### 14.4.3 Audit Monitor

The audit monitor provides different search possibilities for all audit components on the basis of various search criteria. In the audit monitor, you can, for example, determine the number of outstanding corrective or preventive actions, display all audits or question lists, and determine which audit plans exist for a certain time period. The audit monitor accesses all data that was created in the system in the context of audit management.

Access the audit monitor using Transaction PLM\_AUDITMONITOR or follow menu path **Logistics • Quality Management • Audit Management • Start Audit Monitor**. Figure 14.22 shows the initial screen of the audit monitor, wherein you can enter the information as selection criteria so that the system brings up only the relevant results.

You can search for relevant audits, audit plans, or their items from a large number of search criteria, such as the status of audit items or the person(s) who created or changed the audit items. Select the **Detailed Search (Show and consider specific search criteria)** checkbox so that the system brings up even more selection options, such as dates and audit types, for you to choose from. Entering relevant dates is also helpful when you want to know which audits are due within the specified dates.



Figure 14.22 Audit Monitor

Select the **Audits** radio button, and then enter “\*AVA\*” as the **Identification**. Click **Execute** (not shown, but located on the bottom-right-hand side of the screen) or press **F8**, which brings up Figure 14.23. This screen consists of all the previously entered (or calculated) details, including the audit results, the audit type, and the dates when it was first created and then subsequently changed. With many evaluation tools available, you can add new fields, change layouts, get graphical presentations of audit objects, or even get a printout of the audit report.

Audit Component	Audit Plan	Description	Valid From	Valid To	Released By	Created By	Status
<input checked="" type="checkbox"/>	AVA	Annual Vendors Audit	13.04.2019	31.12.2019	JAKHTAR	JAKHTAR	Released

Figure 14.23 Audit Monitor Worklist

### 14.5 Audit Inspection: Inspection Type 07

Audit management has its own advantages, especially its application in managing diverse and different types of audits, which cater to almost all types of businesses. However, it doesn't integrate with vendor evaluation for quality scoring. To attend to the business processes in which vendor audit scoring also forms an integral part of vendor evaluation *vis-à-vis* the quality scores from the usage decision, you can leverage inspection type 07 with inspection origin 07 (vendor audit). Your inspection plan for the inspection lot can consist of master inspection characteristics that you use to record audit results, just as you use questions in audit management. The inspection plan's usage should be set to 3 (universal). Finally, the usage decision for the inspection lot updates the quality scores. Inspection type 07 is not stock-relevant.

**Note**

Refer to Chapter 19 to see how you can influence the quality score of the usage decision of inspection type 07 in the vendor evaluation.

Access the screen shown in Figure 14.24 through Transaction QA01, and on the initial screen, enter material 56, plant 1100, and inspection lot origin 07 (**Vendor Audit**). Here, you can enter the vendor, and with the complete QM master data already in place, the system should be able to calculate the sample size. An important aspect to note here is that the system doesn't ask for or have the option to enter an inspection



quantity for inspection type 07, whereas during normal manual inspection creation (inspection type 89), the system does ask for the inspection quantity's information. Similarly, because this inspection type is specific to vendor audit only, the **Vendor** field is available for input, not **Customer**.

Figure 14.24 Audit Inspection: Inspection Type 07

The remaining steps of this manually created inspection lot are the same—that is, results recording, defects recording (if any), and usage decision.



**Tips and Tricks**

You can configure the system to make the **Vendor** field mandatory during inspection lot creation. This trick applies to just about any field that you want to control, such as display, input, mandatory, or highlight.

Follow menu path **SAP IMG • Quality Management • Environment • Tools • System Modification • Adapt Field Selection**. In the **Module Pool** field, enter “SAPLQPL1”, choose **Change**, and then choose **Inspection Lot**. Make the **QALS-LIFNR** field a mandatory (**Required**) entry by selecting the radio button available next to the field.

If you aren't sure which module pool or program to use or the technical name or details of a field, then place the cursor on the specific field, press **F1**, and then choose **Technical Information**. The system displays both the **Program Name** (which is the module pool) and the **Screen Field**, which is the technical name of that specific field.

## 14.6 Configuration Basics

Now that you're familiar with how to set up master data and run the business processes in audit management, the following are the configuration objects that are specific to audit management. As mentioned earlier, we recommend that you also read the configuration basics of FMEA in Chapter 16; FMEA's configuration basics highly overlap with those of audit management.

### 14.6.1 Audit Usage

An audit usage logically separates various types of audits in the company. These can be safety audits, environmental audits, or data security audits. Configuring the relevant audit usages that meet the company's business needs eventually helps in reporting. When you configure an audit type, the system prompts you to enter its audit usage.

To create an audit usage, follow menu path **SAP IMG • Cross-Application Components • Audit Management • Audit Definition • Audit Usage**. Figure 14.25 consists of several audit usages already available that you can use, or you can create a new one by choosing **New Entries** and entering the usage and the description of the audit usage.

Audit Usage	
Usage	Description of Audit Usage
<input type="checkbox"/> 50	Quality Audit
<input type="checkbox"/> 60	Environmental Audit
<input type="checkbox"/> 80	Risk Analysis
<input type="checkbox"/>	

Figure 14.25 Audit Usage

### 14.6.2 Audit Type

At the time of setting up an audit, some of the first information that the system requires from the business user is audit type. An *audit type* can be a system, product, or process, or other. You can also define an audit type to meet your company’s business needs. However, note that with every audit type, you also have to assign it an audit usage.

To set up an audit type, follow menu path **SAP IMG • Cross-Application Components • Audit Management • Audit Definition • Audit Type**. Figure 14.26 shows an audit type consisting of several audit types. Notice audit type 51, audit usage 50 (quality audit), and the audit category system. This is the same audit type you used while setting up master data for audit management, as well as covering its business processes. Choose audit type 51 and then choose **Details** so that the screen in Figure 14.27 appears.

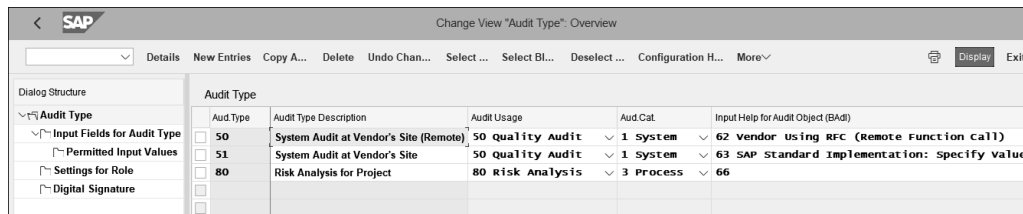


Figure 14.26 Audit Types Overview

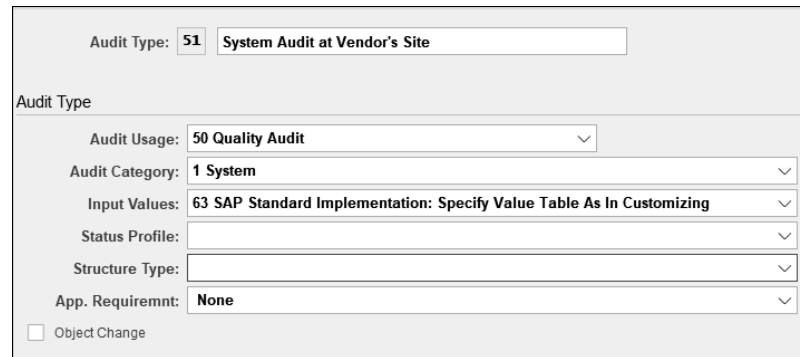


Figure 14.27 Detailed Screen of Audit Type 51

Figure 14.27 shows the FMEA type 51, audit usage 50 (quality audit), and audit category 1 system.

Here, you can also control whether an audit must first go through an approval process (through a system status) before the business user can release it by selecting the **Approval Requirement** checkbox. Choose **Input Fields for Audit Type** (on the left-hand side of Figure 14.26), and the screen in Figure 14.28 appears. The audit usage is the same as you previously configured in Section 14.6.1.

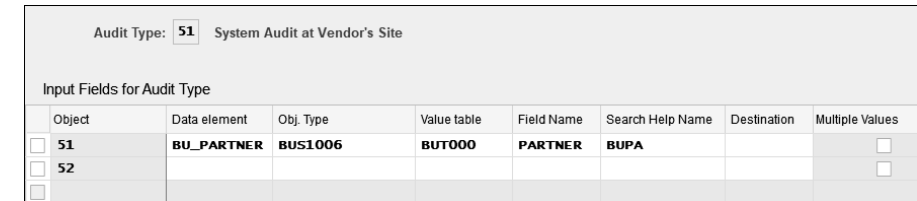


Figure 14.28 Input Fields Control for Audit Type

In Figure 14.26, choose **Input Fields for Audit Type**, and then in Figure 14.28, you can assign the table and field name within the table so that these are available at the time of creating an audit. Choose **Settings for Roles** in Figure 14.28, and the screen in Figure 14.29 appears.

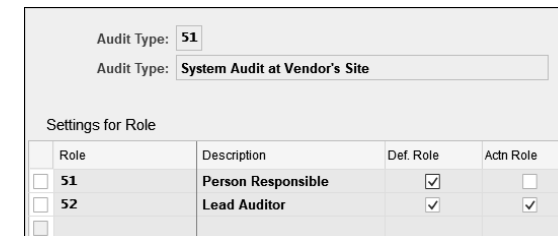


Figure 14.29 Settings for Roles in Audit Type

In Figure 14.29, you define the roles that will let you have control over who can be part of the audit team. The roles that you assign here are then available in the **Participants(s)** tab of an audit.

### 14.6.3 Digital Signature

You can integrate digital signatures into several steps in audit management, including while evaluating an audit, completing an audit, confirming action, and completing preventive/corrective action.



In Figure 14.26, choose **Audit Type** 51 and then **Digital Signature** from the left-hand side of the screen. Here, you assign one or more already configured digital signature strategies in some or all of the following four areas:

1. **Evaluate Audit**  
Individual signature
2. **Complete Audit**  
Multiple signatures strategy
3. **Confirm Corrective Action**  
Multiple signatures strategy
4. **Complete Corrective Action**  
Individual signature

#### 14.6.4 Audit Trigger

The option to enter an audit trigger is available at the time of creating an audit. An audit trigger provides the business user with the option to define why an audit is necessary. An audit trigger can be a regular annual or quarterly audit, or a process improvement initiative. To create an audit trigger, follow menu path **SAP IMG • Cross-Application Components • Audit Management • Audit Definition • Audit Trigger**. In the screen that appears, evaluate whether the already available audit triggers meet your company's business needs. If not, create a new one, which then becomes available at the time of creating an audit.

### 14.7 Summary

In this chapter, we showed you how to map and implement actual audit processes and integrate them in the QM area of an SAP S/4HANA system. You can also take advantage of the system to calculate audit results, as well as have a question list to help you with your audit management initiative. The audit monitor is a powerful tool to monitor and keep track of your various audit objects. Inspection types for vendor audits help you integrate the results from the usage decision with the vendor evaluation. The productivity tools enable you to leverage MS Office products that completely integrate with audit management.

The next chapter discusses stability studies.

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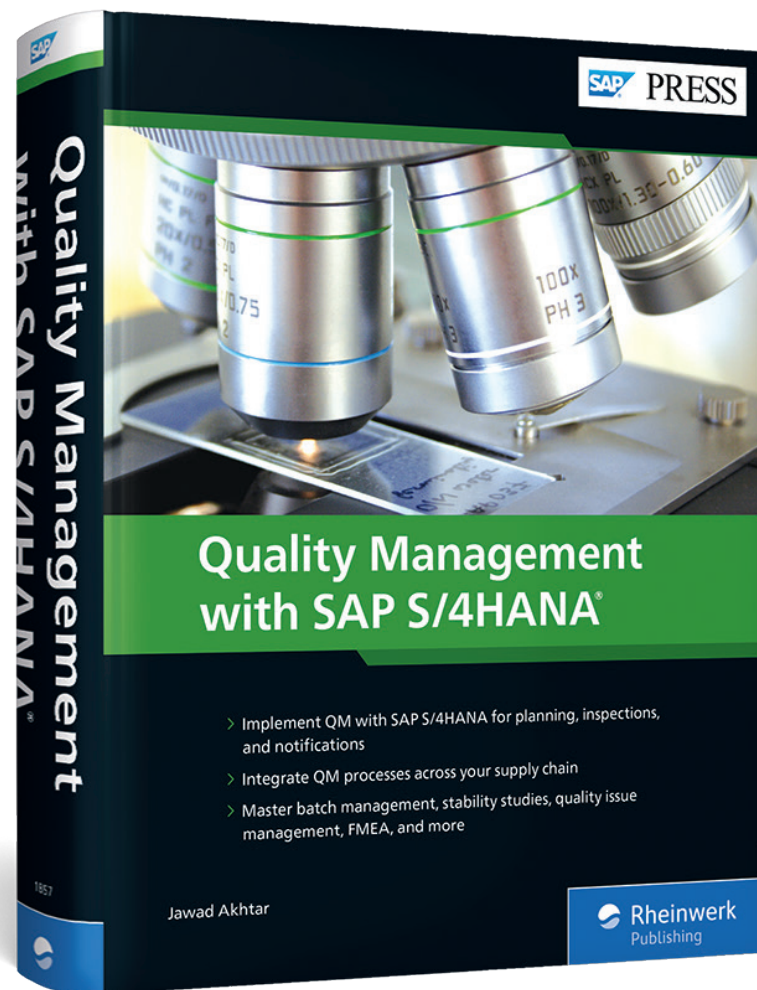
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