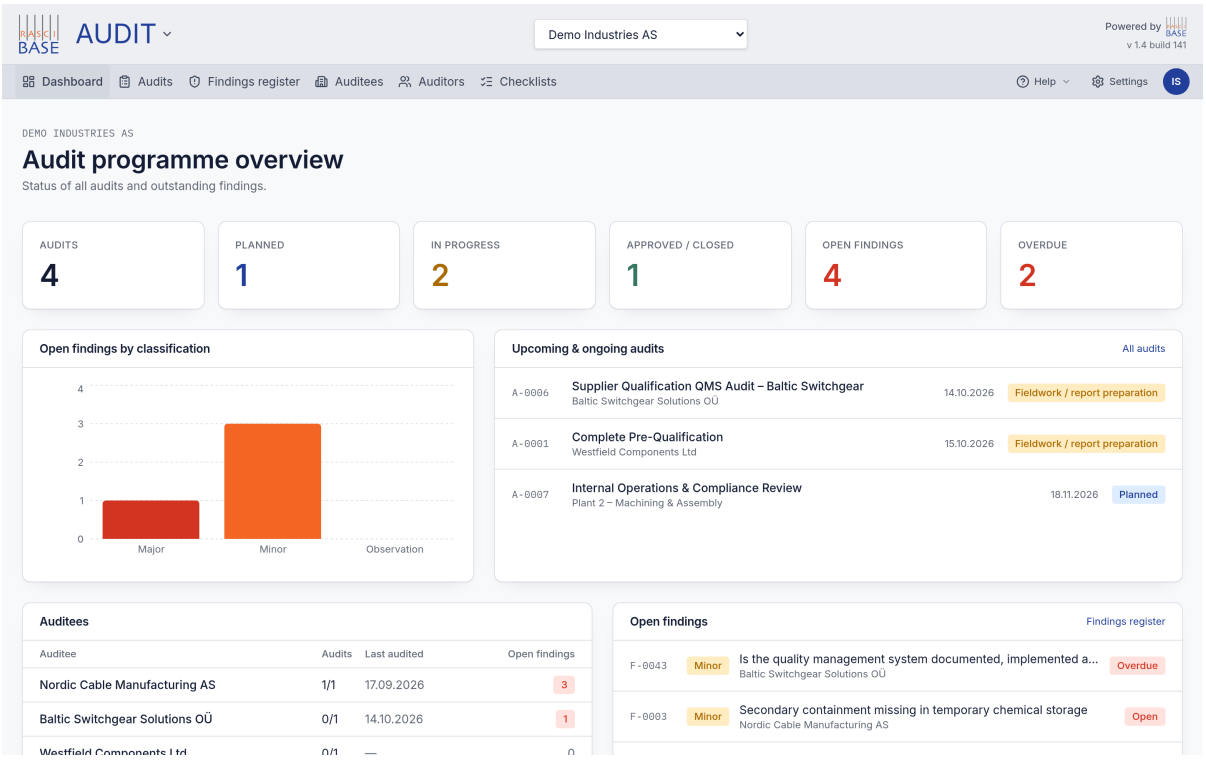
RASCIbase **AUDIT**

Audit management for internal and supplier audits

> How the module works, and how it gives a company control of its own audit programme — from the audit plan to verified corrective action.



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www.rascibase.com

Summary

RASCIbase AUDIT is a web application for planning, performing, reporting and following up audits. This description is written for companies that audit their own organisation and their supply chain — quality, HSE, compliance and procurement functions that run internal audits of departments, sites and processes, and audits of suppliers and subcontractors.

The module keeps the whole audit in one shared record: the Auditee, the audit team, the checklists, the answers and evidence, the findings, the report and its approval, and the follow-up afterwards. The report is produced from that record, so there is no separate assembly step. Because every audit has the same structure, the quality manager has a current view of the whole programme — what is planned, what is overdue, and which Auditees have open findings — without collecting status from anyone.

In short:

- One record per audit, from planning to closure.
- Internal and external audits in one programme, each clearly classified.
- Word and PDF reports generated directly from what was recorded.
- A Findings register that follows each nonconformity until it is verified and closed.
- Corrective actions followed up in RASCIbase ACTION, with the finding closing automatically when its Actions are closed.
- An overview per Auditee: number of audits, last audited and open findings.
- Interface and user guide in eight languages.

The challenge for a company running its own audits

Most management system standards — ISO 9001, ISO 14001 and ISO 45001 among them — require a planned internal audit programme, and customers and certification bodies expect suppliers to be evaluated and monitored. The audits themselves are usually carried out by people who have other jobs as well: quality engineers, HSE advisers, buyers and line managers. In many companies the work is still held together by spreadsheets, Word templates and e-mail:

- The audit programme lives in a spreadsheet, and audits that slip are noticed late.
- Checklists are copied from the previous audit, and different auditors use different versions.
- Field notes are typed up afterwards, and the report is assembled by hand.
- Findings are sent to the department or supplier by e-mail, and corrective actions are chased one by one.
- Before a management review or a certification audit, someone has to collect evidence that audits were done and findings were closed.
- There is no single answer to a simple question: when did we last audit this supplier, and is anything still open?

> RASCIbase AUDIT addresses these points by giving every audit the same structure, by keeping all of it in one place, and by linking findings to tracked corrective actions.

How the module is organised

AUDIT is built around three levels. The Company is the outer boundary; Auditees and audits sit inside it.

Level	What it is	Example
Company	Your own organisation. Its workspace holds users, settings, checklists and audit records, and is fully separated from every other Company.	Demo Industries AS
Auditee	The department, site, process owner, supplier or subcontractor being audited. Each Auditee is marked Internal or External, and both kinds share one register with location, scope and contact person.	Plant 2 – Machining & Assembly (internal); Westfield Components Ltd (external)
Audit	One audit of one Auditee, with its team, checklists, answers, findings and report. Its Audit Category (internal or external) follows the Auditee unless it is changed.	Supplier Qualification Audit – Westfield Components

Projects can optionally be used to group audits, for example supplier audits carried out for a particular customer project. The names in the examples and screenshots are fictional demo data.

Roles

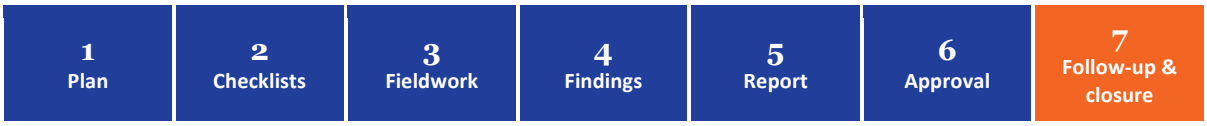
Each person has one account, with a role that decides what they can do:

Role	What the person can do
Administrator	Company settings, users and roles, checklists and the approval workflow; approves reports.
Auditor	Plans and performs audits, completes worksheets, raises findings, prepares reports and raises corrective actions.

Lead Auditor is a qualification held in the Auditors register, not a separate login. Only lead-qualified auditors can lead an audit, and auditors who leave the Company remain on their past audits, so the audit history stays complete.

The audit, step by step

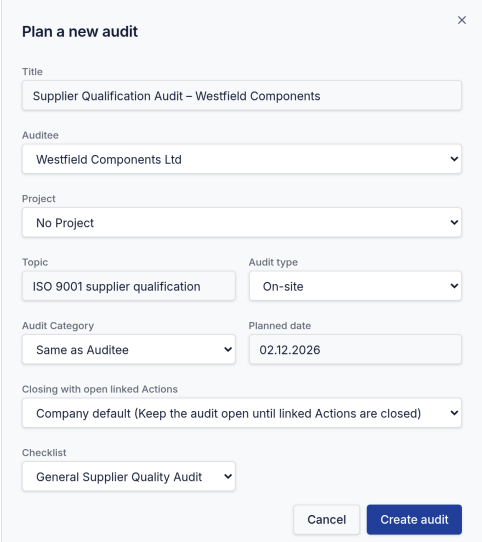
Every audit follows the same route, and its current stage is always visible on the audit itself and on the dashboard.



1. Planning the audit

A new audit is planned in a side panel: select the Auditee, and enter the title, topic, audit type (on-site, remote, desktop/questionnaire or hybrid) and planned date. The Audit Category follows the Auditee, so an audit of an internal department is internal and a supplier audit is external, unless you choose otherwise. A checklist from the Company library can be attached straight away, and the Project is optional.

The team is chosen from the Company's auditors. Because planned audits appear on the dashboard and in the Audits register with their dates, the audit plan for the year is simply the list of planned audits — there is no separate spreadsheet to keep in step.



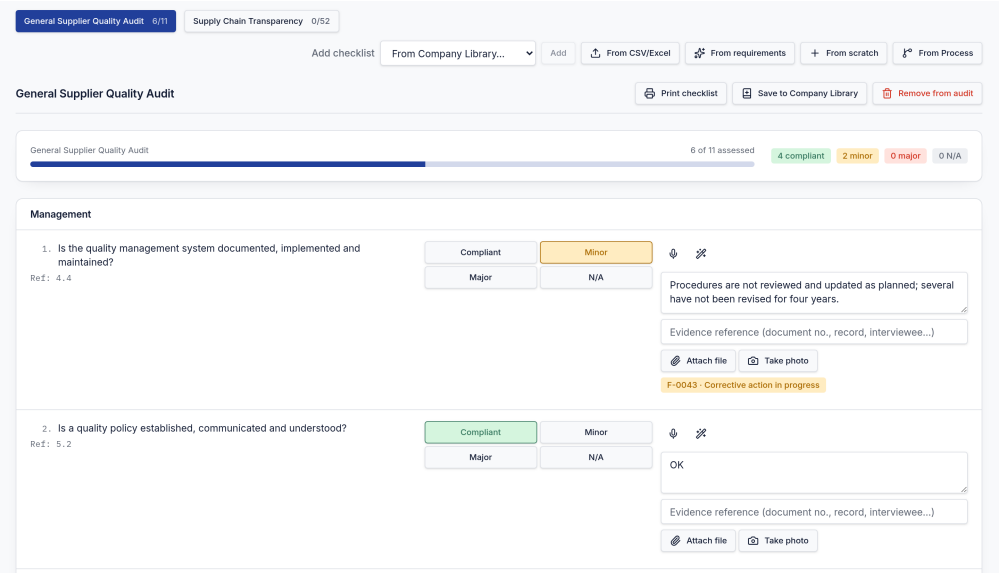
Planning a new audit: Auditee, topic, type, category, date, closing rule and checklist.

2. Checklists

A checklist can be added to an audit in five ways, without leaving the audit:

- **From the Company library:** your own maintained templates, or templates adopted from the shared Checklist Library.
- **From CSV or Excel:** import an existing workbook as it is. No AI is involved and your wording is preserved; up to 5,000 questions per file.
- **From requirements:** an optional AI add-on drafts questions from uploaded requirement documents, such as a standard, a customer specification or a supplier code of conduct, with source references. Every question is reviewed before it is saved.
- **From a Process:** where the Company also uses RASCIbase PROCESS, a checklist can be created from the tasks of a documented process. This makes it straightforward to audit whether a process is followed as it is described.
- **From scratch:** start an empty checklist and write the questions directly.

> When a checklist is applied, it is copied into the audit. Later changes to the template never alter an audit that has already started, so it is always clear which questions were actually used. A good checklist created during an audit can be saved back to the Company library for reuse.



The checklist bar and a worksheet in use: outcome, comment and evidence reference per question, with the linked finding shown.

3. Fieldwork

The auditor works through each worksheet question by question, recording the outcome — Compliant, Minor, Major or N/A — with a comment and an evidence reference. Some questions require a comment; guidance and the requirement reference are shown under each question, so the auditor knows what evidence to ask for. This also helps occasional auditors who do not audit every week.

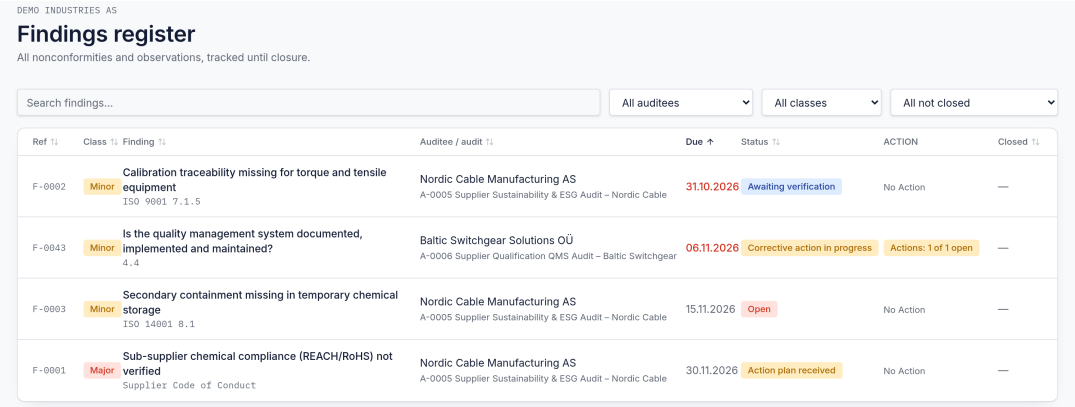
Photos and documents can be attached to a question during fieldwork (up to 25 MB each). On a tablet or phone the camera opens directly, so evidence is captured on the shop floor or at the supplier's premises rather than transferred afterwards. Each worksheet shows how many questions have been assessed.

Where paper is preferred, Print checklist produces a blank PDF worksheet. Where the Company has enabled it, voice notes let the auditor dictate a comment, which is transcribed into the field; the audio itself is not kept.

4. Findings

A finding is raised from the question it came from, so the reference stays linked. It is classified as Major, Minor or Observation and records the requirement, the objective evidence, the responsible party and the due date. The Auditee's root cause and corrective action are recorded on the same finding.

Follow-up moves through clear stages: Open, Action plan received, Corrective action in progress, Awaiting verification and Closed. The Findings register lists findings across all audits, with views for All not closed and Overdue, and can be filtered by Auditee and classification, so late follow-up is visible straight away.

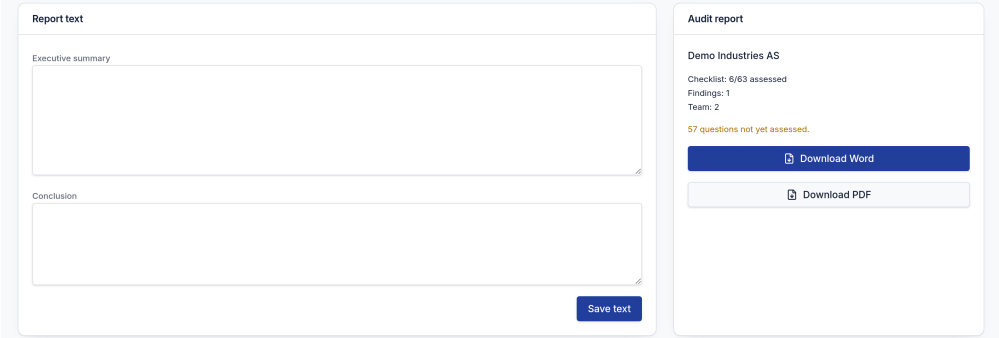


The Findings register across all audits, with due dates, follow-up status and linked Actions.

5. The report

On the Report tab the auditor writes the executive summary and conclusion. The app warns about unanswered questions or a missing Lead Auditor before a document is produced.

Download Word gives an editable file; Download PDF gives a fixed copy for distribution. Both are generated in the browser from the recorded audit — the text is not sent to an external conversion service. The cover carries the Company's logo, photos attached during fieldwork are listed in an appendix with their checklist and question references, and the Company's standard confidentiality footer is printed on every page. The report follows one standard layout today; Company-specific templates are planned.



The Report tab: summary and conclusion, assessment counts, and Word and PDF downloads.

6. Approval

Each Company chooses one of two workflows, which is copied to every new audit. Simple approval lets staff approve directly, and suits most internal and supplier audits. Full review adds a step: the team submits for review, and an Administrator approves. Submitting for review locks the content; if something needs correcting, it is returned to the team.

Once approved, the report shows the approver's name and the approval time. If an approved audit has to be reopened, the workflow history keeps every transition, so it is always possible to see who did what, and when.

7. Follow-up and closure

Closing an audit follows a rule the Company sets, and which can be changed for an individual audit: either keep the audit open until the Actions raised from its findings are closed (closing gives a warning, and the audit closes automatically when the last Action is closed), or treat the audit as complete when the report is issued. Findings without Actions never hold an audit open — a supplier pre-qualification can, for example, be closed with the result that the supplier is not qualified.

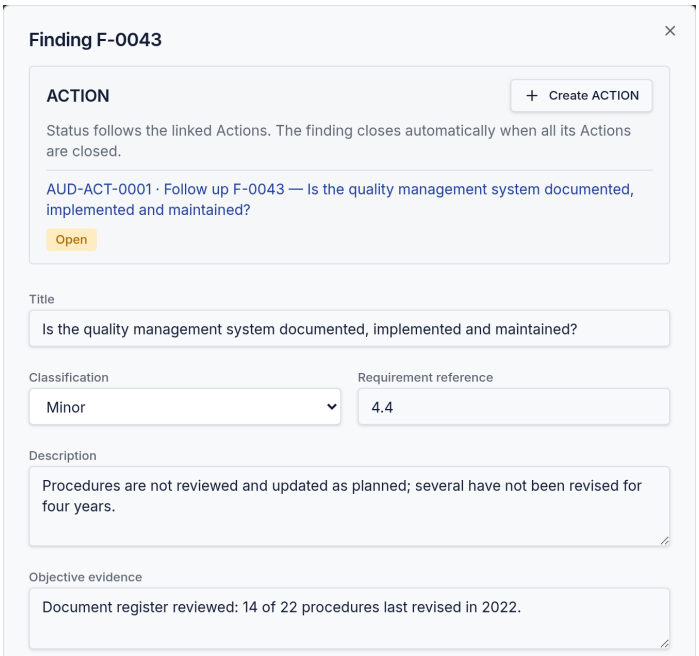
From finding to corrective action

For a company auditing itself and its suppliers, the audit is only worth as much as the corrective actions that follow it. Where the Company also uses RASCIbase ACTION, a finding can be handed over to tracked Actions — one or several — with a responsible person, a due date and verified closure.

- Create ACTION is available on every finding that is not closed, whatever stage the audit is in — also after the report has been approved. A manager reviewing the Findings register can raise an Action on a finding that has been left open too long.
- The Action is linked back to its finding, and the finding shows the status of its linked Actions, both on the audit and in the Findings register.
- ACTION can also include external participants — for example a contact person at a supplier — who see only the Actions assigned to them.

One simple rule decides who controls the finding:

The finding has…	What happens
No Actions	The finding is followed up on the finding itself, and the auditor verifies and closes it by hand.
One or more Actions	The Actions control the finding. Its status follows them — in progress while work is ongoing, awaiting verification when the Actions are ready to be verified — and it closes automatically when all its Actions are closed. A closed finding can be reopened if a new Action is needed.



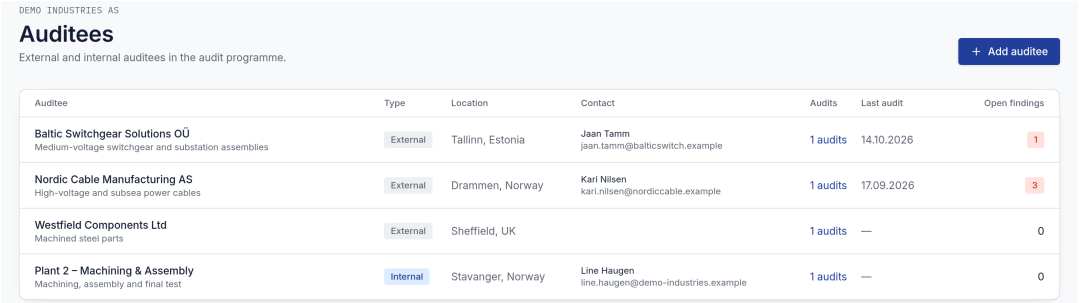
A finding controlled by its linked Action. The finding closes automatically when the Action is closed.

Overview and insight

The dashboard opens on the whole audit programme. A row of indicators shows the number of audits, planned, in progress and approved or closed, open findings and overdue findings. Below them are open findings by classification, upcoming and ongoing audits with their dates and stage, the Auditees with their

audits, last audit date and open findings, the latest open findings, and completed audits with their result (No findings or Follow-up required). Every figure links through to the underlying records.

The Auditees register gives the same picture per department or supplier, with Internal or External type, location and contact person. The Audits register can be filtered by Project, Auditee, internal or external, and status — for example to list all supplier audits awaiting closure, or every internal audit carried out this year.



The Auditees register: internal units and suppliers side by side, with last audit and open findings.

> Together these views give the input that a management review typically asks for — the status of the audit programme, the findings raised and how corrective actions are progressing — directly from the records, rather than from a separate summary.

Supporting management system requirements

AUDIT does not by itself make a management system compliant, but it helps produce and keep the records that standards and certification bodies ask for. The table refers to ISO 9001:2015; ISO 14001 and ISO 45001 have equivalent clauses.

Requirement	How AUDIT supports it
Internal audit (9.2)	Planned audits with dates, scope (topic), criteria (checklist and requirement references), auditors and results, all kept on the audit record.
Control of external providers (8.4)	Supplier audits and pre-qualifications recorded per Auditee, with the last audit date and open findings visible for each supplier.
Nonconformity and corrective action (10.2)	Each finding records requirement, evidence, root cause and corrective action, and is followed until verified closure, directly or through linked Actions.
Management review (9.3)	Programme status, open and overdue findings and audit results available on the dashboard and in the registers.
Documented information (7.5)	Approved reports with approver and time, a workflow history of every transition, and evidence attached to the question it supports.

Clause numbers are given for orientation only. Guidance on managing an audit programme is found in ISO 19011.

Where time is saved

The table compares common manual practice with how the same task is handled in AUDIT.

Activity	Typical manual approach	With RASCIbase AUDIT
Planning the programme	A spreadsheet maintained separately from the audits	Planned audits are the programme; dates and stages are visible on the dashboard
Preparing checklists	Copy and adapt the spreadsheet from the last audit	Adopt from the library, import the existing workbook, create from a Process, or draft from requirement documents; the version used is kept with the audit
Recording in the field	Notes on paper or laptop, typed up afterwards	Outcome, comment, evidence reference and photos recorded against each question, on a tablet if preferred
Writing the report	Copy findings, tables and photos into a Word template	Word and PDF generated from the record; the auditor writes the summary and conclusion
Corrective actions	Sent by e-mail and chased individually	Linked Actions with responsible person and due date; the finding closes when its Actions are closed
Supplier overview	Look through folders to find the last audit	Auditees register with last audit date and open findings per supplier
Management review	Collect status and statistics by hand	Dashboard and registers, always current

> We have deliberately not put numbers on these savings: they depend on how each organisation works today. Running a pilot with real audits is the most reliable way to measure them.

Access control and confidentiality

Audit records often contain sensitive information about the company's own weaknesses and about its suppliers. AUDIT is built so that each person sees only what their role allows.

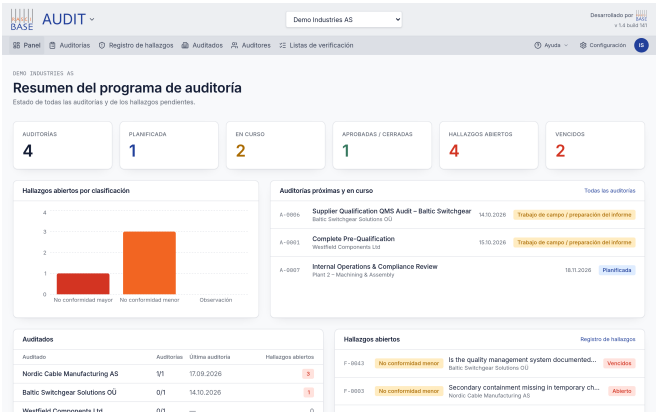
Safeguard	How it works
Company separation	Each Company's records are isolated from every other Company. This is enforced by the database itself, not only by what the screens show.
Roles	Administrators and Auditors have different rights, and the approval workflow decides who may approve a report.
Locked results	Audit results are locked once the audit is submitted for review or approved. Follow-up continues on the findings, and corrections go through the workflow and are recorded in its history.
Private attachments	Photos and documents are kept in private storage, available only to authorised users of the Company.

Safeguard	How it works
Optional AI	AI features are an optional add-on, enabled per Company and available to Company staff only. Every suggestion must be reviewed and accepted by a person. When used, the relevant text or audio is sent to the AI service for processing; we do not present this as a contractual guarantee on how the provider retains data, so organisations with specific requirements should raise them before AI features are switched on.
Sign-in	Accounts are created by invitation only. Single sign-on with Microsoft Entra ID / SAML is planned for enterprise use.

Eight languages

The interface and the user guide are available in English, Norwegian, Swedish, German, French, Italian, Spanish and Polish. The Company sets a standard language for everyone; each user can choose their own; and before sign-in the app follows the browser's language. Dates are shown as dd.mm.yyyy or yyyy-mm-dd.

This matters for companies with sites and suppliers in several countries: local auditors and process owners can work in the same audit programme, each in their own language. English and Norwegian are complete; the other six languages are first versions currently being reviewed by native speakers. Generated reports and e-mails are in English today.



The same dashboard in Spanish. Each user can choose their own language.

Getting started

- A trial can be requested at www.rascibase.com. New Companies are set up after a short review, and users are added by invitation.
- An onboarding guide is available at app.rascibase.com/onboarding, and the full user guide and an assistant are built into the app.
- A sensible order is: invite users, confirm auditor qualifications, register your internal Auditees and key suppliers, adopt or import checklists, choose the approval workflow and closing rule, and then run one audit end to end — plan, fieldwork, findings, report, approval and an Action — before real work depends on it.
- AUDIT runs in a web browser on PC, tablet and phone; nothing needs to be installed.

Current scope

To set the right expectations, these are the main things AUDIT does not do yet:

- AUDIT does not yet send workflow e-mails; people are not notified automatically when an audit moves to the next stage.
- Auditees do not log in to AUDIT. Their response is recorded on the finding by the Company's staff, or followed up through Actions in RASCIbase ACTION.
- Audits are planned one by one; there is no automatic scheduling of recurring audits.
- The Findings register can be searched, filtered and sorted, but not yet exported to a spreadsheet; documents are produced per audit.
- Reports follow one standard layout; Company-specific templates are planned.
- Single sign-on is planned; today sign-in is by e-mail and password.

> To discuss a pilot or arrange a demonstration, visit www.rascibase.com.