# aira

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# Leveraging ISO Document Control with Compliance Requirements

## Synopsis

In a regulated business operational space, ISO standards mandates for every product and service industry to provide evidence of an intuitive Aira Enterprise Document and Workflow Management System (DWMS) in order to prove conformity within the prerequisites of ISO specifications for certification and registration.

In this case study, we will discuss about one of our client who is a foreign bank (Client) closely working with Regulatory bodies to implement and achieve ISO Quality Certification. To follow through the ISO defined standards and policies in managing the organisation's documentation and its process, Macro Global's DWMS solutioning experts made it evident from planning, redefining document management control procedures to maintain the quality with a strong prominence and emphasis around implementation and continual process improvement.

## Business Background

ISO standards mandates an organisation to:

Maintain documented information to the extent necessary to support the operation of processes and retain documented information to the extent necessary to have confidence that the processes are being carried out as planned.

The stringent regulations are evolving and so is the business world and there can be no doubt that almost everything around us have revolutionised, documents/reports are replaced in computer folders and every data is transferred from manual to digital. Eventually, Regulations for compliance have also influenced the business more than ever. Organisations are relentlessly watched and observed and authorities need compliance and there's no rejection.

Businesses are explicitly affected in terms of storing and sharing the documents, and it can lead to a breach of agreements and face serious trouble if fail to comply with ISO demands. ISO compliance is one of the most used standards for quality assurance of the product globally. The bigger the enterprise is the more they need to pay attention to Document Management Compliance.
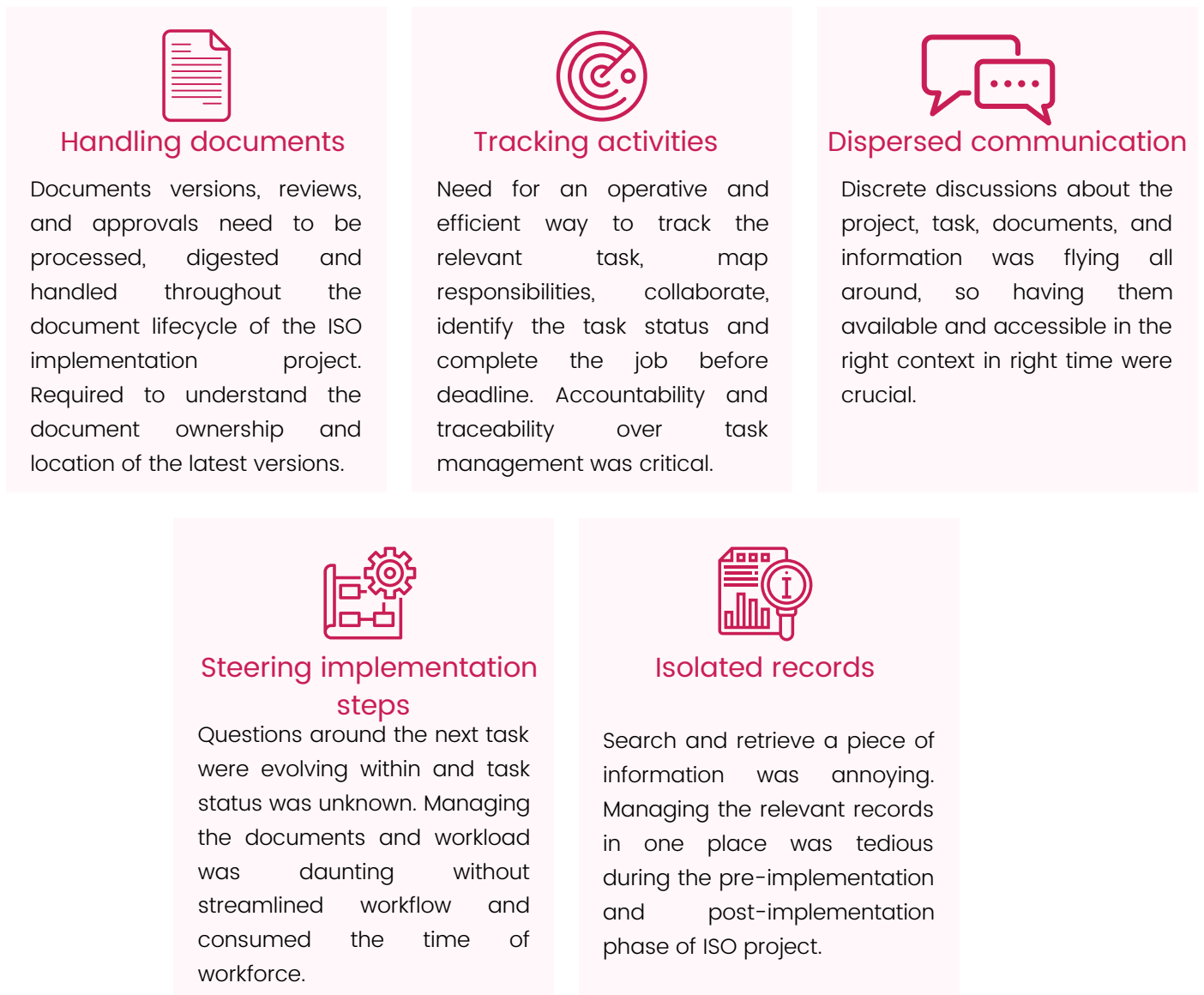
## Challenges – A Closer Look

Document control may seem like a tedious and tiresome task, but it's sensible to maintain a high standard of quality and improve business efficiency. Upon an internal audit, our client knew that they needed to improve the quality practices to meet regulatory guidelines for identifying and correcting the hazard which was the business challenge. They found that they were not meeting their commitments and the failure to meet regulatory compliance and standards was one of the greatest roadblocks for the organisation's innovation and growth. In some situations, compliance is a nightmare for the organisation. Obsolete documents and improper document management cascades into negative consequence in terms of quality.

Part of ISO standard deals, the system could not track the documents throughout the process with a complete version history and the basic requirement to search and retrieve the documents manipulating specific data (word or text) was tough within a stringent time-bound. Foreseeing the complexities in documenting processes, our client was more concerned over document control because incorrect move could ruin the organisation's reputation in the marketplace. Compliance risk puts the entire business operation in risk and fears of fines are driving the compliance change. Lot of efforts went behind in ISO compliance and a single flaw in the system resulted in adverse circumstances.

After performing a thorough assessment, the team identified below shortfalls in their process:

Lack of an intuitive tool with standards for prioritisation.

Extensive time and effort for reporting because of the difficult user interface.

Lack of connectivity between processes resulting in delinquencies and non-compliance.

## Complexities and key issues faced by our client during ISO project implementation

### Handling documents

Documents versions, reviews, and approvals need to be processed, digested and handled throughout the document lifecycle of the ISO implementation project. Required to understand the document ownership and location of the latest versions.

### Tracking activities

Need for an operative and efficient way to track the relevant task, map responsibilities, collaborate, identify the task status and complete the job before deadline. Accountability and traceability over task management was critical.

### Dispersed communication

Discrete discussions about the project, task, documents, and information was flying all around, so having them available and accessible in the right context in right time were crucial.

### Steering implementation steps

Questions around the next task were evolving within and task status was unknown. Managing the documents and workload was daunting without streamlined workflow and consumed the time of workforce.

### Isolated records

Search and retrieve a piece of information was annoying. Managing the relevant records in one place was tedious during the pre-implementation and post-implementation phase of ISO project.

A good place is to start by fixing the disorganised document-centric processes with streamlined workflow process. To comply with regulatory requirements, the client looked upon for an appropriate technology solution that automates control, security and performs the tasks required for ISO implementation.

# What we did – The Fear of being out of Compliance

❞Document management and control is a cornerstone for ISO compliance.❞

Our Macro Global's **Aira Enterprise Document and Workflow Management System** helps achieve record management and improves information security, increase transparency, and reduce business continuity risk. Our solution is a cloud-based **Aira Enterprise document and workflow management system** designed to manage various documents and templates within the business operation by indexing, searching, retrieving, and sharing documents in the cloud at its ease. Migrate the organisation's documents and business process to minimise the risks and internal breaches with advanced intrusion prevention systems and firewalls.

Our Macro Global SME's and professionals conducted an operational assessment and analysed the organisational's objective to integrate the right solution to implement the ISO project. The primary goals were to address the issues that would increase the organisation efficiency and productivity, meet ISO requirements and give a competitive advantage.

**Macro Global's Aira Enterprise DWMS was the ideal choice because with our robust solution the organisation can**

- Access the ISO procedure documents from anywhere and anytime.

- Create unique document classification or sub-classification to store ISO procedure documents.

- Grant user rights (Role-based Access Control) to ensure only the authorised individual have the rights to view, print or download the documents.

- Assign group of custom index fields 'Tagging' for document classification/sub-classification and fast retrieval.

- Automatic versioning of documents with built-in-version mechanism.

- Audit trail to ensure the integrity of information and complete history of document lifecycle is retained.

- Create Workflow and assign the task for document approval to make sure documents are reviewed within defined timelines.

- Notification to the designated user group when an individual responds to a task.

Let's find out in detail how Macro Global's **DWMS** helped to achieve ISO compliance through its document control process packed with a diverse set of modules and features.

**SECURITY & RIGHTS MANAGEMENT**

**WORKFLOW MANAGEMENT**

**AUDIT MANAGEMENT**

**DOCUMENT MANAGEMENT**

## Security and Rights Management

**Access Rights** – Only authorised individuals can access the information and role-based security features to protect data from unauthorised document deletion.

**Data Security** – Secured and controlled access to documents with Microsoft Enterprise Grade Security, robust 256-bits SSL Encryption, Malware Protection, Firewall and Secure Customer Authentication to ensure compliance and meet the most demanding data security requirements.

## Workflow Management

**Approval** – Workflow process facilitates submission, review and approval processes of documents and ensures the task are followed in a sequential manner. The right approach to document simplifies the processes for individuals at every level by offering streamlined workflows and transparency.
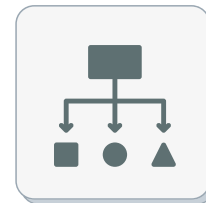
## Audit Management

**Robust Audit Trails and Compliance Process** - Consolidate the business processes to ensure the documents/reports are ready for audit purposes and reduce the regulatory risk. Automate and log the internal processes to ensure quality procedures are being adhered to meet regulatory compliance requirements and remove the risk of human error.

**Policy Enforcement and Application Maintenance** - Mitigate the risk of compliance by easily circulating and recording enforcement of ISO procedure documents. Eliminate misperception and ensure only the right version is available and maintain version control of the documentation.

## Document Management

**Access:** Restrict document access by selecting who can view, print, upload, and download the document.

**Search:** Retrieval achieved by comprehensive search mechanism with predefined search criteria provided including indexing.

**Storage:** Documents are stored on Azure and document preservation is guaranteed by our SLA as the data backup is managed in two dimensions,

- **Product Driven** is automated by our platform.
- **Customer Driven** where customer can back up at any time manually to their preferred location or a scheduled SFTP to their external storage account.

**Version Tracking:** Control of changes, the version code is increased by +1 when the document is updated.

**Retention:** Document retained in the system until it is replaced or erased from the system.

**Disposition:** Digital file removed when the document is deleted.

## Manifestation of Compliance

Regulatory compliance being so vital, organisation need a secure and efficient system for document control and management. Macro Global's Aira Enterprise DWMS offers a solution that would meet the organisation's need to maintain and demonstrate ISO compliance with many changing and challenging requirements and succoured in achieving continuous improvement goals for the future. Our solution creates the opportunity in improving productivity by complying ISO standards.

- Automate procedures to comply with Regulatory requirements.

- Establish review and approval processes for adequacy prior to issue.

- Record and log actions in an audit trail and prevent the use of obsolete documents.

- Identify external documents and control their distribution.

- Categorise documents based on sensitive information and Role-based permission rights to control access.

- Create and establish defined records policies and analyse reporting data.

- Capture history of document versions; identify changes and the current task status.

## Our Success Story

Macro Global's Aira Enterprise DWMS drives through a strategic approach to streamline the document lifecycle and regulatory reporting by reinforcing accountability through workflow and task management and dashboards and minimise the risk of complaint management.

- Our solution adapts to any industry requiring significant control on complaint standards handling with prolonged traceability and line up with the organisation's need in both operational and profitable stages.

- Steered workflow-driven process navigates users through the right record and reporting from document intake to closure.

- Instant access to the real-time analytics and insights and our solution provides visibility over task status.

- Predefined rules, notifications and escalations drives an effective and efficient path to handle the documents.

- Streamline the entire document life cycle by combining the related process and increase processing consistency by reducing human errors.

- Ability to retrieve documents on a single click, compliant audit trail, security and accountability with greater productivity and control.

Macro Global's DWMS sets the benchmark of success and a sign of continuous improvement in implementing ISO quality standards and proves the commitment towards higher customer satisfaction.

# We are here to help you

If you want to learn more about our products or services or just have a question?

If you need advise from our expert team who understand your business better than our peers?

If you want to know how we transformed businesses using our unparalleled industry and domain expertise?

Please click on the web link below to access our sales desk telephone numbers and email and we will be in touch straight back to you.

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