

# Internal Compliance Audit Observation Document

Audit Title	_____	Date of Audit	_____
Department	_____	Auditor(s)	_____
Location	_____	Report Number	_____

## Observation Details

#	Observation Description	Category/Type	Risk Level	Reference (Clause/Policy/Standard)	Auditor's Comments
1	Example: Incomplete employee records found during review.	Documentation	Medium	Policy 2.1	Incomplete files may impact regulatory compliance.
2	Example: Unauthorized software detected on two workstations.	IT Security	High	IT Policy 4.3	May increase risk of data breach.

## Recommendations & Corrective Actions

#	Recommendation	Responsible Person	Timeline	Status
1	Update and complete all employee records.	HR Manager	30 days	Open
2	Remove unauthorized software and enhance monitoring.	IT Supervisor	15 days	In Progress

## Auditor's Signature

Name	_____	Date	_____
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## Important Notes:

- This document captures findings during an internal compliance audit for continuous improvement.
- Observations should be described factually and supported by evidence or references.
- Risk levels should be assessed based on potential impact and likelihood.
- Recommendations must be actionable, clear, and assigned to responsible persons for follow-up.
- All corrective actions should be tracked to closure and verified in subsequent audits.