Compliance Audit Program Recording

1. General Information

Audit Title

Enter audit title

Audit Date

Auditors

List names of auditors

Department / Unit

Department or unit audited

2. Objectives & Scope

Audit Objectives

State the objectives of the audit

Scope of Audit

Describe the coverage and boundaries

3. Reference Standards

Applicable Standards / Regulations

List referenced standards, laws or policies

4. Program Steps & Observations

#	Audit Step / Procedure	Criteria / Reference	Status	Findings / Remarks
1.			Planned ▾	

#	Audit Step / Procedure	Criteria / Reference	Status	Findings / Remarks
2.			Planned ▼	
3.			Planned ▼	

5. Summary & Recommendations

Audit Summary

Summarize significant findings and outcomes

Recommendations

List recommendations for improvement or correction

6. Approval

Auditor(s) Signature & Date

Type name(s) / e-signature / date

Supervisor/Manager Approval & Date

Type name / e-signature / date

Important Notes:

- This template ensures consistent recording and tracking of compliance audit activities and findings.
- Documenting standards, procedures, and observations supports audit transparency and accountability.
- Regularly update findings and status to reflect current audit progress.
- Records should be securely stored for future review, legal, or regulatory requirements.
- Customize the template as necessary to fit specific organizational or regulatory needs.