

Compliance Audit Procedures

Tabular Documentation Format

Procedure No.	Audit Procedure	Documentation Reference	Performed By	Date Performed	Reviewed By	Date Reviewed	Findings/Comments
1	Obtain and review applicable regulatory requirements for the audited process.	Regulations2024.pdf, Section 3.2	J. Smith	2024-05-17	L. Nguyen	2024-05-18	No exceptions noted.
2	Inspect sample transactions for compliance with approval protocols.	SampleLog_May2024.xlsx	J. Smith	2024-05-17	L. Nguyen	2024-05-18	2 transactions missing secondary approval.
3	Verify completion of annual employee compliance training.	TrainingRecords2024.csv	J. Smith	2024-05-18	L. Nguyen	2024-05-19	Training completed by all relevant staff.
4	Test adequacy of record retention practices.	RecordRetentionPolicy.pdf	J. Smith	2024-05-18	L. Nguyen	2024-05-19	Retention period matched compliance requirements.

Important Notes

- This format ensures a clear audit trail for all procedures performed.
- Each step must be signed and dated by both the performer and reviewer.
- Documentation references should be specific to enable easy follow-up and verification.
- Comments must capture all findings, including compliance exceptions or confirmations.
- Maintain this document securely for future audits and regulatory review.