

Exception Register Form: Audit Findings Summary

Audit Report Title

Enter the audit report title

Audit Period

e.g. Jan 2024 - Mar 2024

Date of Report

Audited Department/Area

Enter department or area audited

Prepared By

Name of auditor/preparer

Summary of Audit Exceptions

#	Exception Reference	Exception Description	Risk Rating	Management Response	Action Owner	Target Date	Status
1	EX2024-01	Missing approval signatures on key financial documents.	High	Review and reinforce approval processes.	Finance Manager	2024-07-15	Open
2	EX2024-02	Records not retained for required period.	Medium	Implement document retention policy.	Records Supervisor	2024-08-01	In Progress

Overall Comments & Recommendations

Summary of key audit findings and recommendations...

Follow-up Actions

List any planned follow-ups or monitoring procedures...

Important Notes

- This form is used to systematically record and summarize exceptions noted during audit reviews.
- Exception details should be accurate and actionable, with clear ownership and deadlines for remediation.
- Supporting documentation should be retained for reference and follow-up audits.
- Regular updates to the register help ensure timely resolution of outstanding issues.
- Confidentiality must be maintained for sensitive findings and responses.