

Exception Tracking Register

Audit Findings Documentation

| # | Audit Reference | Description of Finding | Risk/Impact | Responsible Person/Dept. | Action Plan | Target Date | Status | Remarks |
|---|-----------------|--|-------------------------------------|--------------------------|--|-------------|-------------|---------------------------|
| 1 | AF-2024-001 | Missing approval signatures on expense reports | Potential for unauthorized payments | Finance Dept. | Implement mandatory digital approvals | 2024-07-01 | Open | Awaiting system update |
| 2 | AF-2024-002 | Outdated software on workstations | Security vulnerabilities | IT Dept. | Initiate software updates company-wide | 2024-06-15 | In Progress | Phase 1 completed |
| 3 | AF-2024-003 | Lack of periodic asset verification | Risk of asset misappropriation | Admin Dept. | Schedule quarterly asset audits | 2024-09-30 | Open | Policy draft under review |

Important Notes

- The Exception Tracking Register must be updated regularly to reflect progress and resolution.
- All findings require a designated responsible person or department for follow-up.
- Clear documentation of action plans and expected completion dates is critical.
- Status should be continuously monitored and overdue actions escalated if necessary.
- Accurate remarks provide context and assist in future audits and compliance checks.