

Exception Register for Audit Non-Compliance

S. No.	Date	Department / Process	Audit Reference	Nature of Exception / Non-Compliance	Impact / Risk	Person Responsible	Corrective Action Planned	Status (Open/Closed)	Remarks
1	2024-05-14	Finance	AUD/2024/FIN/02	Delay in monthly reconciliation	High	John Doe	Review and update SOP	Open	Under review
2	2024-05-22	HR	AUD/2024/HR/04	Missing employee training records	Medium	Jane Smith	Arrange mandatory training	Closed	Completed 2024-06-01
3	2024-06-05	IT	AUD/2024/IT/07	System access not reviewed	High	Alex Kim	Quarterly review to be implemented	Open	In progress

Important Notes:

- This register should be updated regularly to reflect the status of each non-compliance exception.
- Documentation must be thorough and factual for audit trail and accountability.
- Corrective actions should have clear owners and deadlines for closure.
- The register supports monitoring, follow-up, and continuous improvement in compliance.