

# Sectioned Detailed Format for Audit Compliance Verification

## 1. General Information

**Audit Title:** Sample Internal Process Audit

**Audit Date:** 2024-06-27

**Department:** Operations

**Auditor(s):** Jane Doe, John Smith

## 2. Scope & Objectives

**Scope:** Review of internal compliance for procurement processes.

**Objectives:**

- Evaluate compliance with procurement policy.
- Assess adequacy of internal controls.
- Identify areas for improvement.

## 3. Detailed Findings

#	Criteria	Observation	Compliance	Evidence
1	Purchase order approval	Several POs lacked escalation signatures.	Partial	PO logs, Approval records
2	Vendor selection process	Vendor assessments consistently documented.	Yes	Assessment forms
3	Invoice processing timeline	Delays observed above 5 days in 10% of cases.	No	Invoice register

## 4. Recommendations

- Ensure all purchase orders are escalated for approval per policy.
- Implement regular training for relevant staff.
- Establish a monitoring mechanism for invoice timelines.

## 5. Management Response

The management acknowledges the findings and commits to implementing corrective actions within 60 days. Regular follow-up will be conducted.

## 6. Conclusion

The audit identified areas of non-compliance and improvement opportunities. Corrective measures are recommended to enhance overall compliance.

### Important Notes

- This format helps structure audit findings clearly for both auditors and management.
- Each section should be filled out with objective and factual information.
- Evidence should always be referenced for any finding.
- Timely responses and documented corrective actions are crucial for audit effectiveness.

