

# Compliance Violation Incident Logging Format

## Incident ID

e.g. CVI-2024-001

## Reported By

Full Name

## Department

e.g. HR, IT, Finance

## Date of Incident

## Location

e.g. Office 3B, Remote

## Type of Violation

Select ▼

## Witnesses (if any)

Names, if applicable

## Incident Description

Describe what happened, including details and context

## Immediate Actions Taken

State immediate steps taken to address the situation

## Reported To (Name & Designation)

Person reported to

## Review & Comments (Compliance Team Only)

For compliance review and follow-up actions

## Important Notes

- All incidents must be reported promptly following the occurrence.

- Ensure all details are accurate and complete to facilitate proper investigation.
- This document should be treated with confidentiality and accessed only by authorized personnel.
- Supporting evidence (emails, screenshots, etc.) should be attached separately if available.
- Intentionally false reporting is itself a compliance violation.