

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.