

Exception and Non-Compliance Findings Log

#	Date Identified	Reference / Area	Description of Exception / Non-Compliance	Impact / Risk	Owner / Department	Status	Action Taken / Recommendation	Target Closure Date	Remarks
1	2024-04-15	Finance Department	Monthly report not submitted on due date as per policy	Delayed financial review	John Smith / Finance	Open	Reminder sent to responsible staff, process review recommended	2024-05-01	Follow-up required
2	2024-04-22	IT Security	Password complexity policy not enforced on all accounts	Potential unauthorized access	Mary Lee / IT	In Progress	Policy update and system upgrade planned	2024-05-10	Upgrading authentication system
3	2024-04-28	Procurement	Lack of supporting documents for vendor selection	Non-compliance with procurement guidelines	Priya Das / Procurement	Closed	Documentation procedures reinforced, staff trained	2024-05-04	Procedures updated

Important Notes:

- This log must be updated regularly to reflect the true status of all identified findings.
- Timely action and closure of exceptions/non-compliance items demonstrate effective governance.
- Each finding should have a designated owner responsible for its resolution.
- Details recorded in this log can be referenced in audits and compliance reviews.
- Retention and confidentiality of this document must be ensured according to organizational policies.