

Audit Findings Table

External Compliance Review

Audit Findings Summary

No.	Observation / Finding	Criteria / Requirement	Impact / Risk	Recommendation	Responsible Party	Target Date
1	Data retention policy is not fully implemented for archived documents.	Company Policy Section 4.2; ISO 27001:2013 A.18.1.3	Potential regulatory fines; increased risk of data breaches.	Ensure full implementation of retention policy and conduct regular audits.	Records Management Lead	2024-07-15
2	Lack of periodic access reviews for user accounts.	ISO 27001:2013 A.9.2.1	Unauthorized access to sensitive information.	Establish quarterly access review procedures and document results.	IT Security Manager	2024-08-01
3	Inadequate documentation of vendor risk assessments.	GDPR Article 28; Company SOP Vendor Management	Compliance risk; incomplete third-party oversight.	Develop checklist for vendor risk assessments, update existing records.	Procurement Officer	2024-08-20

Important Notes

- This table should be updated after each external review and shared with relevant stakeholders.
- Recommendations should be specific, actionable, and assignable.
- Follow up on target dates and track remediation progress in subsequent audits.
- Ensure findings are linked to relevant compliance requirements and standards for traceability.