Compliance Audit Documentation Sheet

AUDIT TITLE	Sample Compliance Audit 2024
AUDITED DEPARTMENT	Information Technology
DATE OF AUDIT	2024-06-18
LEAD AUDITOR	Jane Doe
AUDITEE(S)	IT Department Staff
COMPLIANCE STANDARD(S)	ISO 27001, Organization Policy

AUDIT OBJECTIVES

To assess adherence to company IT security policies and identify any gaps with respect to ISO 27001 compliance requirements.

AUDIT SCOPE

Review of IT security controls, access management procedures, and data protection practices within the department for the period Jan 2024 - Jun 2024.

SUMMARY OF FINDINGS

#	REQUIREMENT / CONTROL	FINDING	STATUS	EVIDENCE
1	User Access Review	Quarterly review was not performed in Q2	Non-Conformity	Access list, review records
2	Password Policy Implementation	Compliant with minimum requirements	Compliant	Password policy, system config
3	Data Backup Processes	Manual backups not regularly documented	Observation	Backup logs

RECOMMENDATIONS

- Implement an automated reminder for quarterly access reviews.
- Regularly update documentation of manual backup procedures.
- Conduct staff training on compliance requirements annually.

ACTION PLAN & RESPONSIBLE PARTIES

ACTION	RESPONSIBLE	TIMELINE	STATUS
Automate access review reminders	IT Manager	July 2024	Pending
Document backup procedures	Backup Admin	June 2024	In Progress

AUDIT CONCLUSION

The audit identified minor non-conformities and opportunities for improvement. The department is generally compliant, with action items to address observed issues.

Auditor Signature: _____

Date: _____

IMPORTANT NOTES

- Maintain audit documentation for accountability and future reference.
- Ensure objectivity and evidence-based findings during the audit.
- Clearly assign responsibility and timelines for corrective actions.
- Review and update audit procedures regularly to reflect changes in standards.