

Compliance Findings

Report Details

Report ID	CF-2024-001
Date	2024-06-15
Auditor	John Doe
Department	Finance

Summary

This document outlines the findings identified during the compliance review conducted on the Finance department. The purpose of this review is to ensure adherence to company policies and regulatory requirements.

Findings

ID	Description	Severity	Recommendation	Status
F-01	Incomplete expense reports found for Q1 2024.	High	Implement stricter submission deadlines and review process.	Open
F-02	Lack of dual authorization for payments over \$10,000.	Medium	Enforce dual authorization for all large payments.	In Progress
F-03	Employee training not documented for compliance procedures.	Low	Maintain records of all compliance training sessions.	Closed

Comments

Additional Comments:

Sign-off

Auditor Name:

Date: