



## Master Audit Evidence Tracker Template

**Organisation Name:** \_\_\_\_\_

**Audit Type:**  Initial Certification  Surveillance  Recertification

**Audit Dates:** \_\_\_\_\_

**Lead Auditor:** \_\_\_\_\_

**Audit Reference Number:** \_\_\_\_\_

### How to Use This Tracker

This document is the single working record of all evidence collected across the full audit. Every piece of evidence — documents reviewed, interviews conducted, observations made, and records tested — is logged here against its clause reference and linked to any finding raised. It is used to support the audit report, demonstrate audit rigour, and respond to evidence challenges from the organisation or certification body.

**Evidence Status Key:** **R** — Received and reviewed | **P** — Partial — incomplete or further evidence needed | **NP** — Not provided | **NA** — Not applicable

**Finding Reference Key:** **C** — Conforming | **OBS** — Observation | **OFI** — Opportunity for Improvement | **MNC** — Minor Nonconformity | **MJC** — Major Nonconformity

### PART 1 — AUDIT TEAM AND SCOPE RECORD

#### 1.1 Audit Team

Name	Role	Areas Assigned	Qualifications
	Lead Auditor		
	Auditor		
	Technical Expert		
	Observer		



## 1.2 Audit Scope Confirmation

Defined PIMS Scope (as stated by organisation):

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Scope Confirmed as Accurate:  Yes  No  Partially

Scope Discrepancies Noted:

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## 1.3 Organisational Role Confirmation

Processing Activity	Role Confirmed	Table Applied
	<input type="checkbox"/> Controller <input type="checkbox"/> Processor <input type="checkbox"/> Both	<input type="checkbox"/> A.1 <input type="checkbox"/> A.2 <input type="checkbox"/> A.3
	<input type="checkbox"/> Controller <input type="checkbox"/> Processor <input type="checkbox"/> Both	<input type="checkbox"/> A.1 <input type="checkbox"/> A.2 <input type="checkbox"/> A.3
	<input type="checkbox"/> Controller <input type="checkbox"/> Processor <input type="checkbox"/> Both	<input type="checkbox"/> A.1 <input type="checkbox"/> A.2 <input type="checkbox"/> A.3

## PART 2 — EVIDENCE LOG BY CLAUSE

### CLAUSE 4 — Context of the Organisation

Ref	Evidence Item	Document Title / Description	Version / Date	Provided By	Status	Finding Ref	Notes
4.1	Internal and external issues register						
4.2	Interested parties register						



4.3	Interested party requirements documentation						
4.4	PIMS scope document						
4.5	Scope exclusion justifications						
4.6	Context review records						

**Clause 4 Interview Records:**

**Interviewee Role Date Topics Covered Key Responses**

**Clause 4 Finding Summary:**

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**CLAUSE 5 — Leadership**

Ref	Evidence Item	Document Title / Description	Version / Date	Provided By	Status	Finding Ref	Notes
5.1	Privacy policy						
5.2	Evidence of top management endorsement						
5.3	Roles and responsibilities documentation						
5.4	Organisation chart						



5.5	Resource allocation records						
5.6	Management communication on privacy						

**Clause 5 Interview Records:**

**Interviewee Role Date Topics Covered Key Responses**

**Clause 5 Finding Summary:**

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**CLAUSE 6 — Planning**

Ref	Evidence Item	Document Title / Description	Version / Date	Provided By	Status	Finding Ref	Notes
6.1	Risk and opportunity log						
6.2	Privacy risk assessment methodology						
6.3	Completed risk assessments — current and historical						
6.4	Risk register with owners, likelihood, consequence						
6.5	PII principal impact evidence						



6.6	Statement of Applicability						
6.7	Risk treatment plan						
6.8	Risk owner approval records						
6.9	Privacy objectives register						
6.10	Objectives monitoring records						
6.11	PIMS change log						
6.12	Change impact assessment records						

**Clause 6 Interview Records:**

**Interviewee Role Date Topics Covered Key Responses**

**Clause 6 Finding Summary:**

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**CLAUSE 7 — Support**

Ref	Evidence Item	Document Title / Description	Version / Date	Provided By	Status	Finding Ref	Notes
7.1	Resource allocation records						
7.2	Competence framework / requirements matrix						



7.3	Staff training records — sample						
7.4	Competence evaluation records						
7.5	Privacy awareness programme materials						
7.6	Awareness completion records						
7.7	Staff interview responses — awareness testing						
7.8	Communication plan						
7.9	Internal communication records						
7.10	External communication records						
7.11	Document register						
7.12	Document control procedure						
7.13	Sample of controlled documents — version check						

**Clause 7 Interview Records:**

**Interviewee Role Date Topics Covered Key Responses**

**Clause 7 Finding Summary:**



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## CLAUSE 8 — Operation

Ref	Evidence Item	Document Title / Description	Version / Date	Provided By	Status	Finding Ref	Notes
8.1	Record of Processing Activities						
8.2	Process criteria documentation						
8.3	Operational records — processing activity sample						
8.4	Data Processing Agreements — third parties						
8.5	Third-party oversight records						
8.6	Planned change management records						
8.7	Unintended change review records						
8.8	Risk assessment records — operational execution						



8.9	Risk assessment schedule and trigger records						
8.10	Risk treatment plan – current status						
8.11	Control implementation evidence – sample						
8.12	Control effectiveness testing records						
8.13	Residual risk acceptance records						

**Clause 8 Interview Records:**

**Interviewee Role Date Topics Covered Key Responses**

**Clause 8 Finding Summary:**

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**CLAUSE 9 — Performance Evaluation**

Ref	Evidence Item	Document Title / Description	Version / Date	Provided By	Status	Finding Ref	Notes
9.1	Monitoring and measurement framework						
9.2	Performance data and dashboards						



9.3	Analysis and evaluation records						
9.4	Internal audit programme						
9.5	Individual audit plans — sample						
9.6	Internal audit reports — sample						
9.7	Auditor independence and competence records						
9.8	Management review minutes — current and previous						
9.9	Management review attendance records						
9.10	Management review input evidence						
9.11	Management review action log						
9.12	Prior management review action closure evidence						

**Clause 9 Interview Records:**

**Interviewee Role Date Topics Covered Key Responses**

**Clause 9 Finding Summary:**



**CLAUSE 10 — Improvement**

Ref	Evidence Item	Document Title / Description	Version / Date	Provided By	Status	Finding Ref	Notes
10.1	Improvement log or register						
10.2	Before-and-after improvement evidence						
10.3	Improvement source linkage records						
10.4	Nonconformity and corrective action log						
10.5	Root cause analysis records — sample						
10.6	Corrective action plans — sample						
10.7	Effectiveness review records — sample						
10.8	Recurrence analysis records						
10.9	PIMS update records linked to corrective actions						

**Clause 10 Interview Records:**



**Interviewee Role Date Topics Covered Key Responses**

**Clause 10 Finding Summary:**

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**ANNEX A — Control Evidence Log**

Ref	Control Area	Table	Evidence Item	Status	Finding Ref	Notes
A.1	Conditions for collection and processing	A.1				
A.2	Lawful basis documentation	A.1				
A.3	Consent records	A.1				
A.4	Data subject rights procedures	A.1				
A.5	DSAR records — sample	A.1				
A.6	Erasure request records — sample	A.1				
A.7	Privacy notice — current version	A.1				
A.8	DPIA records — high-risk activities	A.1				
A.9	Cross-border transfer safeguards	A.1				
A.10	Controller agreement — sample	A.2				
A.11	Sub-processor list and authorisations	A.2				
A.12	Sub-processor contracts	A.2				
A.13	Breach notification records — to controllers	A.2				
A.14	End-of-contract deletion records	A.2				



A.15	Data minimisation assessment	A.3				
A.16	Retention schedule and deletion logs	A.3				
A.17	Accuracy and correction records	A.3				
A.18	Technical and organisational measures evidence	A.3				

**Annex A Finding Summary:**

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**PART 3 — EVIDENCE NOT PROVIDED REGISTER**

*Record all requested evidence that was not provided during the audit — with the reason given and the impact on findings.*

**Ref Evidence Requested Clause / Control Reason Given Impact on Finding**

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**PART 4 — MASTER FINDING REGISTER**

*All findings raised across the full audit — indexed for cross-reference with the audit report.*

Finding Ref	Clause / Control	Finding Description	Classification	Evidence Reference	Corrective Action Required	Target Date
F-001						
F-002						
F-003						
F-004						
F-005						
F-006						



F-007						
F-008						
F-009						
F-010						

### PART 5 — FINDING CLASSIFICATION SUMMARY

Classification	Count	Finding References
Conforming Areas		
Observations		
Opportunities for Improvement		
Minor Nonconformities		
Major Nonconformities		
<b>Total Findings</b>		

### PART 6 — OVERALL AUDIT CONCLUSION

#### Audit Coverage Confirmation

Clause	Audited	Evidence Sufficient	Finding Raised
Clause 4 — Context	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> Partial	<input type="checkbox"/> Yes <input type="checkbox"/> No
Clause 5 — Leadership	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> Partial	<input type="checkbox"/> Yes <input type="checkbox"/> No
Clause 6 — Planning	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> Partial	<input type="checkbox"/> Yes <input type="checkbox"/> No
Clause 7 — Support	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> Partial	<input type="checkbox"/> Yes <input type="checkbox"/> No
Clause 8 — Operation	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> Partial	<input type="checkbox"/> Yes <input type="checkbox"/> No
Clause 9 — Performance Evaluation	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> Partial	<input type="checkbox"/> Yes <input type="checkbox"/> No



...global validation

Clause 10 — Improvement	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> Partial	<input type="checkbox"/> Yes <input type="checkbox"/> No
Annex A Controls	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> Partial	<input type="checkbox"/> Yes <input type="checkbox"/> No

**Overall Audit Conclusion**

**Recommend Certification / Continued Certification** — No major nonconformities. Minor nonconformities and OFIs to be addressed within agreed timeframe.

**Conditional Recommendation** — Major nonconformity raised. Corrective action required and must be verified before certification decision is confirmed.

**Do Not Recommend Certification** — Multiple major nonconformities. Significant remediation required before re-audit.

**Conclusion Narrative:**

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**Auditor Sign-Off**

**Lead Auditor Name:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

**Date of Audit Completion:** \_\_\_\_\_

**Audit Report Reference:** \_\_\_\_\_

**Next Audit Due:** \_\_\_\_\_