📄 AI Audit Report Template

(Aligned with ISO/IEC 42001 & ISO 19011)

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1. Cover Page

- **Organization:** _____

- **Audit Type:** (Internal / External / Certification / Surveillance)

- **Audit Scope:** _____

- **Audit Objectives:** _____

- **Audit Criteria / Standards:** (ISO/IEC 42001, internal policies, regulations)

- **Audit Date(s):** _____

- **Audit Team:** _____

- **Lead Auditor:** _____

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2. Executive Summary

Provide a **high-level overview** of the audit, including:

- Purpose of the audit

- Key strengths observed

- Major nonconformities identified

- Overall level of compliance

- General recommendations for improvement

(Keep concise – 1–2 paragraphs for senior management.)

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3. Audit Scope and Methodology

- **Scope of Audit:** (Processes, departments, AI lifecycle phases covered)

- **Audit Criteria:** (Standards, regulations, internal AI governance policies)

- **Audit Methodology:** (Interviews, document review, system testing, observation)

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4. Detailed Findings

Clause / Requirement	Observation	Evidence Reviewed	Finding Type (C/NC/OFI)	Grading *(Major NC / Minor NC / Conformity / Opportunity for Improvement)*	Responsible Party	Timeline for Action
Example: ISO/IEC 42001 – 6.1 Risk Management	AI risk register incomplete for bias risks	Risk Register v2.0	NC	Major Nonconformity	Risk Manager	30 days
Example: ISO/IEC 42001 – 7.2 Competence	Training records up-to-date	HR Training Logs	C	Conformity	HR Manager	N/A

Legend:

- **C** = Conformity
- **NC** = Nonconformity
- **OFI** = Opportunity for Improvement

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5. Audit Grading Summary

Category	Number of Findings	Remarks
Major Nonconformities		
Minor Nonconformities		
Opportunities for Improvement		
Conformities		

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6. Recommendations

Provide clear, prioritized, and actionable recommendations.

- **High Priority:** Immediate corrective actions (e.g., major risks, legal noncompliance).
- **Medium Priority:** Important improvements that enhance compliance and governance.
- **Low Priority:** Opportunities for efficiency, best practices, or long-term adoption.

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7. Conclusion

- Overall assessment of compliance with ISO/IEC 42001

- Confidence level in AI governance, ethics, and risk management processes

- Closing remarks for management review

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8. Annexes

- Audit plan / checklist

- Attendance sheet of audit opening & closing meetings

- Evidence samples (if applicable)

- Risk assessment outputs

- Photos / diagrams (if relevant)

✅ **This structure ensures:**

- Executive-level clarity (summary + grading).

- Traceability of findings (evidence-based).

- Compliance with **ISO 19011 audit reporting principles**.

- Actionable outputs for **continuous improvement**.