



Corrective Action Tracking Log Template

(Aligned with ISO/IEC 42001 & ISO 19011)

1. Audit Information

- **Audit Type:** (Internal / External / Certification / Surveillance)
- **Audit Scope:** _____
- **Audit Period:** _____
- **Lead Auditor:** _____
- **Report Reference No.:** _____

2. Corrective Action Tracking Table

Findi ng ID	Audit Finding / Nonconfor mity	Severity (Major/Minor/O F1*)	Correctiv e Action(s) Propose d	Responsi ble Person	Target Completi on Date	Actual Completi on Date	Verificati on Method	Status (Open / In Progre ss / Closed)	Auditor Verificati on Signatur e
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CA-001	Training dataset showed bias against minority groups	Major NC	Retrain model with balanced dataset & add fairness check	Data Science Lead	15/03/20 25	18/03/20 25	Re-test model accuracy & fairness	Closed	_____
CA-002	Inadequate logging of model changes	Minor NC	Implement change log with approvals	AI DevOps Manager	22/03/20 25	-	Review updated logging process	In Progress	_____
CA-003	No documented risk assessment for deployment	Major NC	Conduct AI risk assessment using ISO/IEC 23894 method	Risk Manager	30/03/20 25	-	Review documented RA & mitigation plan	Open	_____

* OFI = Opportunity for Improvement

3. Escalation Protocol

- **Overdue corrective actions (>15 days): Escalate to Top Management.**



- **Unresolved Major NCs:** Require **immediate management attention**.
- **Repeated NCs:** Escalated to **Audit Committee / Governance Board**.

4. Verification & Closure

- **Follow-Up Auditor:** _____
- **Date of Follow-Up Audit:** _____
- **Verification Notes:**
 - Action implemented? (Yes/No)
 - Action effective in preventing recurrence? (Yes/No)
 - Additional corrective/preventive action needed?
- **Final Closure Approved by:** _____
- **Date:** _____

With this log, organizations can **monitor progress**, ensure **accountability**, and maintain **traceable records** of how AI audit findings are addressed and closed.