Company: Click or tap here to enter text. Date: Click or tap to enter a date.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Audit Question No.** | **Audit Finding**  (list the details of the deficiency found during the audit) | **Risk Rating**  (low, medium, high) | **Recommended Corrective Action**  (specific, measurable, achievable, realistic, timely) | **Assigned to**  (single person only, not departments) | **Target Completion date**  (record a specific date) | **Actual Completion date**  (specify date) | **Verification**  **Name & Date**  (verify the recommended corrective action has been completed and is effective) |
|  |  | Choose an item. |  |  | Click or tap to enter a date. | Click or tap to enter a date. |  |
|  |  | Choose an item. |  |  | Click or tap to enter a date. | Click or tap to enter a date. |  |
|  |  | Choose an item. |  |  | Click or tap to enter a date. | Click or tap to enter a date. |  |
|  |  | Choose an item. |  |  | Click or tap to enter a date. | Click or tap to enter a date. |  |

**INSTRUCTIONS: Use the following risk matrix to assist you in determining the target date for the completion of the recommended corrective action.**

**How to Assign a Risk Rating**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  |  | **Probability** | | | |
|  |  | **Extremely Remote** | **Remote** | **Likely** | **Most likely** |
| **Severity** | | 1 | 2 | 3 | 4 |
| **Negligible** | 1 | 1 | 2 | 3 | 4 |
| **Minor** | 2 | 2 | 4 | 6 | 8 |
| **Serious** | 3 | 3 | 6 | 9 | 12 |
| **Fatality** | 4 | 4 | 8 | 12 | 16 |
|  |  |  |  |  |  |
| **Risk Ranking Definitions** | | | | | |
|  |  |  |  |  |  |
| **Severity:** How serious the audit deficiency (if not corrected) might be in terms of injury to workers, impact on health and safety, or affected operations. | | | | | |
| **Probability:** How likely is the audit deficiency (if not corrected) going to result in injury to workers, impact health and safety, or affect operations | | | | | |
|  |  |  |  |  |  |
| **Risk = Severity x Probability** | | | | | |
|  |  |  |  |  |  |
| **Low Risk:** 1 - 3 (Risk level acceptable and audit deficiency to be monitored) | | | | | |
| **Medium Risk:** 4 - 8 (Audit deficiency shall be addressed as soon as practicable to reduce risk) | | | | | |
| **High Risk:** 9 - 16 (Risk level is not acceptable, task must be stopped and audit deficiency must be corrected before continuing activities/tasks) | | | | | |

**How to complete the Corrective Action Plan**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Audit Question No.** | **Audit Finding**  (list the details of the deficiency found during the audit) | **Risk Rating**  (low, medium, high) | **Recommended Corrective Action**  (specific, measurable, achievable, realistic, timely) | **Assigned to**  (single person only, not departments) | **Target Completion date**  (record a specific date) | **Actual Completion date**  (specify date) | **Verification**  **Name & Date**  (verify the recommended corrective action has been completed and is effective) |
| Enter the audit question number. | Enter the general details of the deficiency noted.  E.g. No Health & Safety policy was found. | Assign a risk rating based on the deficiency found using the table above as a guide. | Enter the action/s recommended to correct the deficiencies noted. | Assigning responsibility can help gain traction when working towards completing action items. | Set a realistic timeline based on your assessment of the risk of the deficient item. | Enter the actual date this item was completed. | Enter the date this action was verified and by who.  This can help to track completed actions for next years audit. |