Action Management Checklist

A practical checklist for closing out audit findings, incidents, and compliance gaps

ISO 9001 · ISO 14001 · ISO 45001 · ISO 27001

An action that is raised but never closed is worse than no action at all — it creates a false sense that the issue is being handled. This checklist sets out a practical sequence for capturing, assigning, tracking, and verifying actions raised from audits, incidents, inspections, and risk assessments so nothing is left open by default.

A Capturing the Action

- [ ] Log the action at the point it is raised — audit finding, incident, inspection, or risk review
- [ ] Record the source of the action so it can always be traced back
- [ ] Describe the required outcome, not just the task
- [ ] Classify the action by type and priority
- [ ] Link the action directly to the finding, risk, or nonconformity it addresses

B Assignment & Ownership

- [ ] Assign a single named owner accountable for the action
- [ ] Set a realistic due date agreed with the owner, not imposed arbitrarily
- [ ] Confirm the owner has the resources and authority to complete it
- [ ] Notify the owner and their manager when the action is assigned

C Progress Tracking

- [ ] Require owners to update status at defined intervals
- [ ] Flag actions approaching their due date automatically
- [ ] Escalate overdue actions to management without manual chasing
- [ ] Allow owners to request extensions with documented justification

D Verification of Closure

- [ ] Verify that the completed action actually addresses the root cause
- [ ] Require evidence of completion before closing the action
- [ ] Separate the person who completes the action from the person who verifies it, where practical
- [ ] Reject closure and reassign if the evidence is insufficient

E Closing the Loop

- ☐ Confirm the originating audit finding, incident, or risk is updated once the action is closed
- ☐ Check whether the closed action reduces the associated risk rating
- ☐ Communicate closure back to the person or team that raised the issue
- ☐ Archive evidence and closure records for audit purposes

F Cross-Source Visibility

- ☐ Maintain one action register across audits, incidents, inspections, and compliance
- ☐ Identify duplicate or overlapping actions raised from different sources
- ☐ Report on total open actions by source, owner, and age
- ☐ Give management a single view of every open action regardless of where it originated

G Reporting & Continuous Improvement

- ☐ Track average time to close by action type and severity
- ☐ Report recurring root causes across closed actions
- ☐ Review chronically overdue owners or departments with management
- ☐ Use closure trends to inform future audit and risk priorities