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Opening meeting VIDEO · 8 MIN · REQUIRED

Conducting the audit VIDEO · 10 MIN · REQUIRED

Closing meeting VIDEO · 4 MIN · REQUIRED

Drafting the audit report VIDEO · 10 MIN · REQUIRED

Certificate decisions VIDEO · 7 MIN · REQUIRED

Quiz #5 QUIZ · 5 QUESTIONS · REQUIRED

Final Exam 0/2 ○

Module 5 | Lesson A

Opening meeting

- First, formal interaction between the audit team and the auditee organization
 - Confirm audit objectives and scope
 - Align stakeholders on what to expect
 - Emphasize scope and criteria
 - Audit schedule, safety procedures, and contingency plans
 - Audit team roles and responsibilities
 - Communication protocols
 - Opportunity for the auditee to ask questions

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Opening meeting

Module 5 | Lesson A

Opening Meeting [cont'd]

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3:43

- **Lead Auditor:** facilitates the meeting, explains requirements, and addresses auditee questions
- **Audit Team:** introduces themselves and may assist with questions in their areas of expertise
- Observers & Witness Assessors
- Key stakeholders (e.g., Top Management, ISMS Owner, process/control owners, department heads) should be present

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Opening meeting

Module 5 | Lesson A

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The Basics 6/6 ✓

Understanding the ISMS 6/6 ✓

Implementing the Management System 6/6 ✓

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Executing the Audit 0/6 ○

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Drafting the audit report VIDEO · 10 MIN · REQUIRED

Certificate decisions VIDEO · 7 MIN · REQUIRED

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Agenda

- Audit team introductions and roles
- Confirmation of audit objectives, scope, audit criteria
- Sampling, control testing, evidence collection
- Audit schedule preview:** Daily meetings, breaks, and end-of-day wrap-up
- Logistics:** Communication protocols, evidence collection processes, and onsite visits
- Discussion of nonconformity identification and severity evaluation
- Open Q&A

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II 5:10

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Opening meeting

Module 5 | Lesson A

Opening Meeting [cont'd]

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- Establish multiple communication channels early (phone, email, video conferencing, etc.)
- Encourage open, frequent communication and feedback
- Be clear, concise, and follow a checklist to ensure all items are addressed
- Allocate sufficient time for agenda coverage and Q&A
- Confirm mutual understanding and agreement concerning the audit plan

II 6:45

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Conducting the audit

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Drafting the audit report VIDEO · 10 MIN · REQUIRED

Certificate decisions VIDEO · 7 MIN · REQUIRED

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Final Exam 0/2

Module 5

A. Opening Meeting

B. **Conducting the Audit**

C. Closing Meeting

D. Drafting the Audit Report

E. Certificate Decisions

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0:03

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Conducting the audit

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Module 5 | Lesson B

Conducting the Audit

Conducting the audit is the primary activity for assessing the conformity of a management system to an ISO standard

- Conducting interviews, collecting and inspecting evidence, and observing walkthroughs

Outputs

- Nonconformities, opportunities for improvement, positive findings, conformity determination, and, potentially, certification

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Conducting the audit

Module 5 | Lesson B

Conducting the Audit [cont'd]

1:43

- **Lead Auditor**
 - Oversees the entire audit process, manages timelines, approves findings, and ensures evidence appropriateness
- **Auditor**
 - Conducts interviews, reviews evidence, and identifies potential gaps
- **Technical Expert**
 - Provides specialized knowledge (e.g., for technical controls or language translation) to ensure thorough and accurate audits

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Conducting the audit

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Module 5 | Lesson B

Conducting the Audit [cont'd]

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what we talked about in earlier lessons. But once again, conduct an audit. It starts

- **Phase 1: Preparation & Planning**
 - Includes the application process, building the audit program, and developing the audit plan
- **Phase 2: Collecting Evidence**
 - Gather evidence through interviews, document reviews, and process observations

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Conducting the audit

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Module 5 | Lesson B

Conducting the Audit [cont'd]

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understand what we're seeing correctly, and we're not going to ever get findings

- **Phase 3: Analysis & Evaluation**
 - Review collected evidence to determine conformity based on ISO requirements
- **Phase 4: Findings & Feedback**
 - Resulting from the analysis, auditors will document their findings (both positive and negative) they have for continual improvement of the management system

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Conducting the audit

Module 5 | Lesson B

Conducting the Audit [cont'd]

VIDEO • 8 MIN • REQUIRED

Conducting the audit

VIDEO • 10 MIN • REQUIRED

Closing meeting

VIDEO • 4 MIN • REQUIRED

Drafting the audit report

VIDEO • 10 MIN • REQUIRED

Certificate decisions

VIDEO • 7 MIN • REQUIRED

Quiz #5

QUIZ • 5 QUESTIONS • REQUIRED

Final Exam 0/2

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to actually break down some of these words we're using probably a little bit interchange

- **Inspection:** detailed review of electronic records, policies, or screenshots to verify controls
- **Observation:** direct, in-person inspection observation of processes, controls, or physical environments (e.g., badge readers or CCTV placement)
- **Inquiry:** interviews with stakeholders to understand processes and controls
 - Weak as standalone evidence since inquiry relies on verbal accounts
- **Reperformance:** Recreating a process to ensure it aligns with documented procedures

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Conducting the audit

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Module 5 | Lesson B

Conducting the Audit [cont'd]

Tips for Conducting an Effective Audit

- **Objectivity:** Ensure evidence is unbiased and findings are supported by facts
- **Consistency:** Maintain reliability in the approach to build trust and efficiency
- **Flexibility:** Adapt to contingencies to keep the audit on track
- **Confidentiality:** Protect sensitive data and trade secrets encountered during the audit
- **Respect:** Approach the auditee professionally to foster a positive working relationship

with helpful tips. But the objective be consistent, have good communication for me. 34 less

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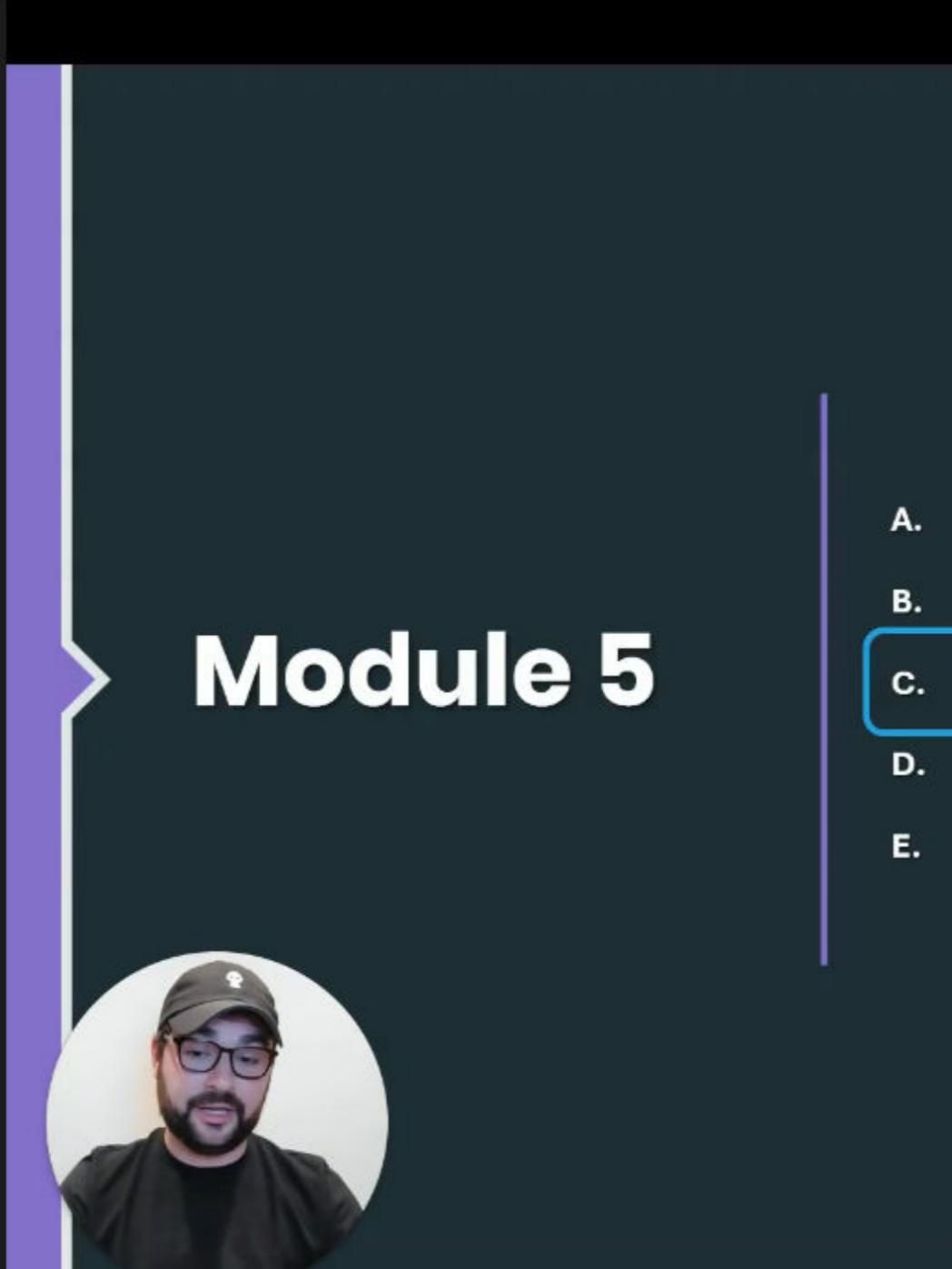
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Closing meeting

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Closing meeting

Module 5



0:02

A. Opening Meeting
B. Conducting the Audit
C. Closing Meeting
D. Drafting the Audit Report
E. Certificate Decisions

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protections related to the audit inquiries and evidence that we're sharing

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Closing meeting

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Module 5 | Lesson C

Closing Meeting



0:40

opening and closing. That's our examination period. Think of it that way. This is a form

- Marks the formal conclusion of the **audit duration**, including all audit sessions and evidence collection
 - Summarize audit findings
 - Lead Auditor recommendation
 - Provide a platform for Q&A with the auditee
 - Discuss next steps, such as report delivery and corrective actions
- **Importance:** Ensures all stakeholders leave the audit process with a shared understanding of results and expectations

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Closing meeting

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Module 5 | Lesson C

Closing Meeting [cont'd]



- **Lead Auditor:** facilitates the meeting, presents audit results, and explains findings
- **Audit Team:** supports the lead auditor by taking notes and answering detailed questions on their audit tasks
- Observers or Other Stakeholders
- **Auditee Representatives:** include ISMS owners and key stakeholders, with top management often present to hear results and ask questions

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II 2:13

here to some other roles and responsibilities similar to the open meeting

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Closing meeting

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Module 5 | Lesson C

Closing Meeting [cont'd]



Agenda

- **Audit Summary:** summarize scope, criteria, and specific focus areas
- **Findings:** classification of findings (e.g., major/minor nonconformities, opportunities for improvement)
- Next Steps
 - Timeline for delivering the audit report and certification
 - Establish communication channels for any interim questions or clarifications
 - **Q&A:** Open forum for clarifying talking points and corrective actions

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areas are covered. I call it just procedures performed to recap of that, as well as a classification of any

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Closing meeting

Module 5 | Lesson C

Closing Meeting [cont'd]



3:54

here, but I do always like to wrap up with tips and tricks and be spec

Tips for a Successful Closing Meeting

- Ensure Findings are Specific
- **Maintain Thoroughness:** Use a checklist to ensure all agenda items and findings are covered.
- Allow Ample Time
- **Achieve Consensus:** Secure agreement on findings from all participants, or, if needed, attempt to resolve diverging opinions
- Stay Professional

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Drafting the audit report

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Closing meeting VIDEO · 4 MIN · REQUIRED

Drafting the audit report VIDEO · 10 MIN · REQUIRED

Certificate decisions VIDEO · 7 MIN · REQUIRED

Quiz #5 QUIZ · 5 QUESTIONS · REQUIRED

Module 5

A. Opening Meeting

B. Conducting the Audit

c. Closing Meeting

D. Drafting the Audit Report

E. Certificate Decisions

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0:03

and allow for some more free form discussion at the end mo

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Mastermind Assurance

Drafting the audit report

Module 5 | Lesson D

Drafting the Audit Report

- A formal record of the audit summarizing what was inspected and identified
 - Officially documents audit findings
 - Draws conclusions on evidence inspected and procedures performed
 - Acts as an executive briefing for decision-making
- Reports should be clear, concise, and tailored to the audience per accreditation requirements

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0:32

sometimes there are multiple work products but ultimately report deliverable somewhere that we can

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Drafting the audit report

Module 5 | Lesson D



Drafting the Audit Report [cont'd]

- Audit criteria:** Restate what was assessed as normative references
- Scope & objectives:** Reiterate these and state whether objectives were met
- Findings summary:** Provide a concise overview of audit results
- Nonconformities:** Detail any issues identified with severity grading
- Conclusion:** Include Lead Auditor recommendation

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II 1:56

Putting in front report like I don't recommend the file name like call it hey this is

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Drafting the audit report

Module 5 | Lesson D



Drafting the Audit Report [cont'd]

- Step 1: Restate audit criteria concisely in an executive summary
- Step 2: Outline objectives and their fulfillment
- Step 3: Reiterate the scope of the audit
- Step 4: Provide the audit schedule, noting any deviations from the plan
- Step 5: List audit team members and their roles
- Step 6: Document evidence reviewed to support conclusions

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I'll read the review of these pretty quickly, but define that criteria do an executive summary. They pass fail

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Drafting the audit report

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- Certificate decisions VIDEO · 7 MIN · REQUIRED
- Quiz #5 QUIZ · 5 QUESTIONS · REQUIRED

Final Exam 0/2

Drafting the audit report

Module 5 | Lesson D



Drafting the Audit Report [cont'd]

- Step 7: Categorize findings
 - Major/Minor Nonconformities
 - Opportunities for Improvement
 - Positive Findings
- Step 8: Document nonconformity details
 - Missing requirements, supporting evidence, and severity grading
- Step 9: Provide the lead auditor's conclusion (e.g., progression, continuance, issuance, suspension)

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6:21

basic key strength items as well. Again separate those from the two so we don't

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Drafting the audit report

Module 5 | Lesson D

What is a nonconformity report?

- A collaborative document between the audit team and auditee, separate from the audit report.
- **Purpose:** Logs nonconformities and tracks corrective actions
 - Offers transparency across audit cycles
- **Core Function:** Distinguishes between corrections (immediate fixes) and corrective actions (root cause resolution)

Drafting the Audit Report [cont'd]

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So let's dive a little bit deeper into this one follow item which is a non forty report if we do identify the system knock

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Drafting the audit report

Module 5 | Lesson D

Drafting the Audit Report [cont'd]

Tips for Successfully Writing Nonconformities & Reporting

- Reference specific, unmet requirements for objectivity
- Avoid bundling multiple issues into one finding; address each individually
- Retain reports for the entire certification lifecycle for reference and to influence the audit program
- Ensure root causes are addressed comprehensively to prevent recurrence

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II 9:15

on it within the report as part of historical audit log tips for successfully writing four days. I'm sure you do

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Certificate decisions

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Closing meeting VIDEO · 4 MIN · REQUIRED ✓

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Module 5

A. Opening Meeting

B. Conducting the Audit

C. Closing Meeting

D. Drafting the Audit Report

E. Certificate Decisions

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for the basis of how to fix a nonconformity. We made to the final lesson. Module five

0:04

for the basis of how to fix a nonconformity. We made to the final lesson. Module five

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Certificate decisions

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Final Exam 0/2

The final step in the ISO audit timeline where the certification body determines if the management system meets the requirements

- Decision is impartial and based solely on collected audit evidence
- Lead auditor's recommendation informs, but does not dictate, the final decision
- Maintains integrity of ISO certifications through a standardized approach

Certificate Decisions

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screen applicable. And now we are so audit timeline as we're calling it. So we have now conducted

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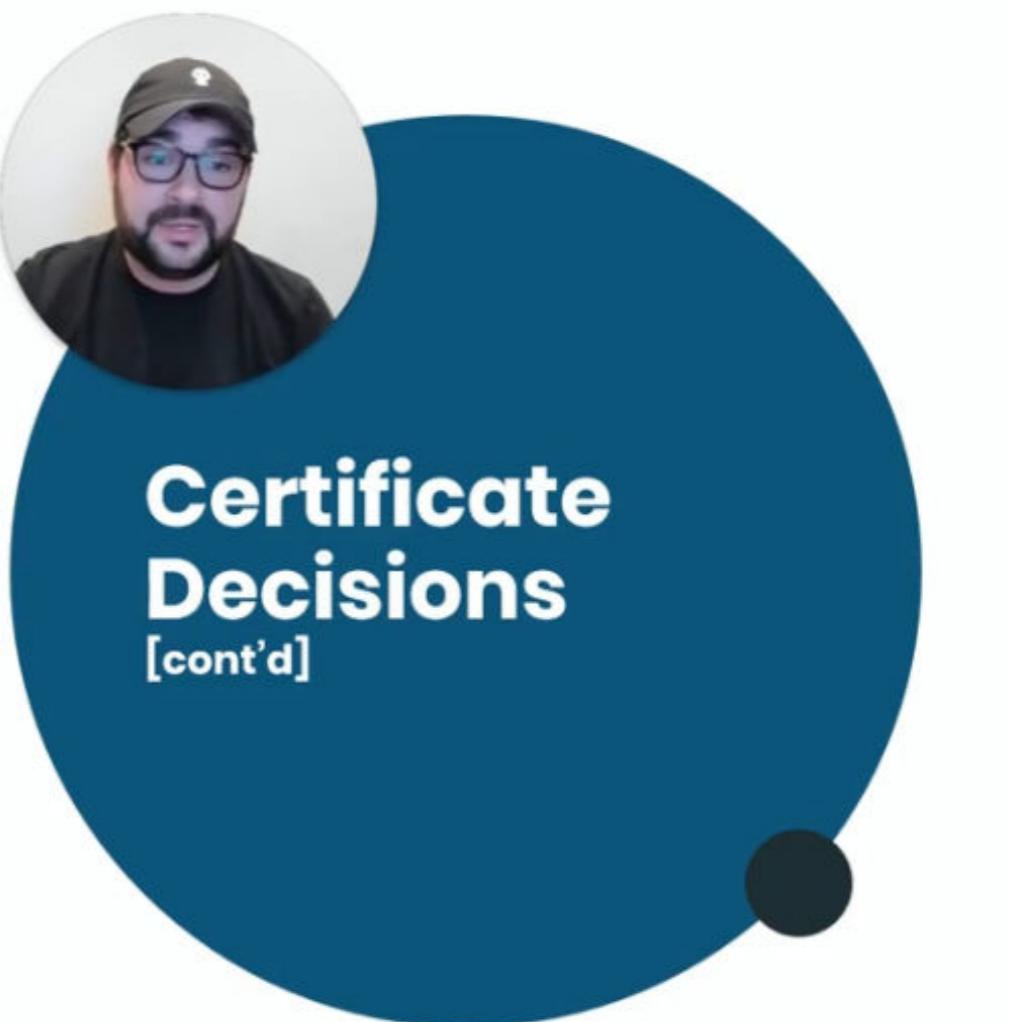
Certificate decisions VIDEO · 7 MIN · REQUIRED

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Types of Certification Decisions (cont'd)

- Negative Decisions
 - **No Certificate Issuance:** for failing Initial Certification Audits
 - **Certificate Suspension:** for unsuccessful Surveillance or Recertification Audit
 - **Certificate Withdrawal:** Requires a complete re-audit to reinstate certification
- Suspension requires issue remediation within a preset timeline or results in withdrawal

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the audit period, which we're all also can come from a complaint or to be

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Certificate decisions [cont'd]

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part of the certificate decision process. So it's all kind of kicks off with thought

- **Step 1: Certification Body Review of the Audit Report**
 - Verify that audit methodologies were appropriate, and evidence sufficiently demonstrates conformity
- **Step 2: Determination of Corrective Action Sufficiency**
 - Nonconformity Reports are reviewed for adequacy in addressing gaps through corrections and corrective actions

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Certificate decisions [cont'd]

Step 3: Impartiality Review

- An additional review for contentious findings or escalated disagreements from the auditee

Step 4: Certificate Decision

- Certification body determines one of the following outcomes:
- Certificate issuance
- Certificate continuance
- Certificate suspension
- Blocking initial issuance (i.e., Stage 2)

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where they'll do a little bit more of an impartial review. They'll be looking at their divergent opinions without contacting

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Step 5: Certificate Issuance

- For successful audits, a certificate is awarded including:
 - Certificate Number
 - Auditee Organization Name
 - Scope of the management system
 - Audit criteria
 - Issuance and Expiration Dates

Certificate Decisions [cont'd]

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sense. Finally if we do have a positive certificate decision listing positively here. Let's assume it was issuance