

## BB. OUR INTERNAL AUDIT ASSESSMENT QUESTIONNAIRES

### 6. ASSESS HOW WELL YOU COMPLY WITH ISO'S AUDIT PERFORMANCE EXPECTATIONS

6.1 MANAGE YOUR AUDIT ACTIVITIES			
1	Do your audit activities comply with your management system audit program (Part 5)?		
2	Do audit team leaders initiate audit activities?		
3	Do audit team leaders prepare for audits?		
4	Do audit team leaders carry out audits?		
5	Do audit team leaders report audit results?		
6	Do audit team leaders ensure that audits are completed?		
7	Do audit team leaders follow-up on their audit projects?		
6.2 INITIATE YOUR AUDIT ACTIVITIES			
6.2.1 CONDUCT AND CONTROL AUDIT ACTIVITIES			
8	Does your audit program manager appoint an audit team leader for each management system audit?		
9	Do team leaders understand that they are responsible for conducting and controlling audit team activities?		
10	Does your audit program manager ensure that audit team leaders initiate management system audits?		
11	Do team leaders establish initial contact with auditees?		
12	Do team leaders determine the feasibility of each audit?		
6.2.2 ESTABLISH INITIAL CONTACT WITH AUDITEE			
13	Do audit team leaders establish initial contact with auditee representatives?		
14	Do audit team leaders establish communication channels with auditee representatives?		
15	Do audit team leaders confirm the agreement they have with auditee organizations?		

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16		Do they confirm their authority to conduct the audit?		
17		Do they confirm how confidentiality will be addressed?		
18		Do they confirm the extent of disclosure?		
19		Do audit team leaders share information with auditees?		
20		Do they describe the scope of audits?		
21		Do they outline their audit objectives?		
22		Do they explain their audit methods?		
23		Do they identify the composition of audit teams?		
24		Do they identify technical experts?		
25		Do audit team leaders gather relevant information about auditee organizations?		
26		Do they identify related legal issues and requirements?		
27		Do they identify applicable contractual requirements?		
28		Do they identify location-specific requirements?		
29		Do they identify access requirements?		
30		Do they identify security requirements?		
31		Do they identify health and safety requirements?		
32		Do they identify other requirements that affect the auditee's activities and products?		
33		Do audit team leaders identify concerns that the auditee might have about the audit or any related areas of interest?		
34		Do audit team leaders request access to documents and records?		
35		Do they use auditee's documents and records to plan their audits?		
36		Do audit team leaders make arrangements to conduct audits?		

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37		Do they schedule the associated dates?		
38		Do they confirm the participation of audit guides?		
39		Do they agree on the attendance of observers?		
<b>6.2.3 DETERMINE THE FEASIBILITY OF THE AUDIT</b>				
40		Do audit team leaders determine the feasibility of their audit projects?		
41		Are team leaders reasonably confident that they can achieve their audit objectives before they agree to carry out audits?		
42		Do team leaders ensure that they have everything they need to plan and perform their audits?		
43		Do they have enough information?		
44		Is the information appropriate?		
45		Do they have the auditee's full cooperation?		
46		Do they have adequate resources?		
47		Do they ensure that they have adequate time?		
48		Do audit team leaders propose an alternative to the audit client whenever the audit is not feasible?		
49		Do they ensure that the auditee organization agrees with the proposed alternative before doing the audit?		
<b>6.3 GET READY FOR YOUR AUDIT</b>				
<b>6.3.1 PERFORM DOCUMENT REVIEW</b>				
50		Do audit team leaders prepare for audits by selecting management system documents for review?		
51		Do they consider the auditee's management system when they select auditee documents for review?		
52		Do they consider the size of the system?		

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53		Do they consider the nature of the system?		
54		Do they consider the complexity of the system?		
55		Do they consider audit objectives and scope when they select which auditee documents to review?		
56		Do audit team leaders prepare for audits by reviewing the auditee's management system documents?		
57		Do they review management system records?		
58		Do they review management system reports?		
59		Do they review previous audit reports?		
60		Do audit team leaders prepare for audits by gathering information?		
61		Do they get the information they need in order to be able to prepare applicable audit work documents (also known as audit working papers)?		
62		Do they get the information they need in order to prepare audit work documents for processes?		
63		Do they get the information they need in order to prepare audit work documents for functions?		
64		Do audit team leaders prepare for audits by establishing an overview of system documentation?		
65		Do they try to detect possible documentation gaps?		
<b>6.3.2 DEVELOP YOUR AUDIT PLAN</b>				
<b>6.3.2.1 STUDY SOURCE DOCUMENTS</b>				
66		Does your audit program manager allocate audit planning responsibility to audit team leaders?		
67		Do audit team leaders think about how they plan to conduct their audits?		
68		Do team leaders consider the composition of their audit teams?		

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69		Do they consider their audit team's collective competence?		
70		Do team leaders consider the scope and complexity of their audits?		
71		Do they ensure that their audit plan reflects and accommodates the scope and complexity of the audit they intend to perform?		
72		Do team leaders consider all relevant sources of information?		
73		Do they consider the audit program and then make sure that their audit plan is based on the information contained in the program?		
74		Do they consider the documentation provided by the auditee and then make sure that their audit plan is based on these documents?		
75		Do team leaders consider appropriate audit sampling methods and techniques?		
76		Do team leaders consider the impact their audit activities could have on the auditee's processes?		
77		Do they consider the impact audit activities could have on operational processes whenever joint or combined audits will be conducted?		
78		Do they consider the impact audit activities could have on the competing priorities and objectives of different management systems?		
79		Do team leaders consider the need to achieve audit objectives?		
80		Do they consider the risk and uncertainty auditors face as they try to achieve their audit objectives?		
81		Do they consider the risks that audit activities could create for the auditee organization?		
82		Do they consider how the presence of their audit team could influence the auditee?		

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83		Do they consider how the presence of their audit team could influence health and safety?		
84		Do they consider how the presence of their audit team could influence the environment?		
85		Do they consider how the presence of their audit team could influence quality?		
86		Do they consider how the presence of their audit team could threaten the auditee?		
87		Do they consider how the presence of their audit team could pose a threat to the auditee's personnel?		
88		Do they consider how the presence of their audit team could pose a threat to the auditee's products?		
89		Do they consider how the presence of their audit team could pose a threat to the auditee's services?		
90		Do they consider how the presence of their audit team could pose a threat to the auditee's infrastructure?		
91		Do they consider whether or not their audit team could contaminate auditee's facilities?		
92		Do audit team leaders think about how their audit plans will be used?		
93		Do they think about how they plan to coordinate their management system audit activities?		
94		Do they think about how they plan to achieve their management system audit objectives?		
95		Do they think about how they plan to schedule their management system audit activities?		
96		Do they think about how they intend to use their audit plan as the basis for their audit agreement?		

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97		Do they use their audit plan to establish an audit agreement that describes how their team will conduct the audit?		
98		Do they ensure that both the audit client and the auditee accept and support the audit agreement?		
<b>6.3.2.2 PREPARE OFFICIAL AUDIT PLAN</b>				
99		Do audit team leaders prepare management system audit plans?		
100		Do audit team leaders ensure that audit plans cover all the essential topics?		
101		Do audit plans discuss or reference audit objectives?		
102		Do audit plans discuss or reference audit scopes?		
103		Do audit plans clearly identify the processes that will be audited?		
104		Do audit plans clearly identify the functional units that will be audited?		
105		Do audit plans clearly identify the organizational units that will be audited?		
106		Do audit plans discuss or reference audit criteria?		
107		Do audit plans identify reference documents?		
108		Do audit plans discuss or reference schedules?		
109		Do audit plans specify audit locations?		
110		Do audit plans specify audit dates and times?		
111		Do audit plans specify expected audit times and durations?		
112		Do audit plans specify when meetings with auditee's management will take place?		
113		Do audit plans discuss or reference audit methods?		
114		Do audit plans discuss sampling plans?		

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115		Do audit plans indicate how much audit sampling will be needed in order to get sufficient evidence?		
116		Do audit plans discuss or reference roles and responsibilities?		
117		Do audit plans discuss job duties of team members?		
118		Do audit plans discuss job duties of audit observers?		
119		Do audit plans discuss job duties of audit guides?		
120		Do audit plans discuss or reference audit resource allocations?		
121		Do audit plans identify resources allocated to critical areas?		
122		Do audit team leaders ensure that plans are appropriate?		
123		Do they ensure that the scale and content of their audit plans are appropriate?		
124		Do they consider whether or not they're going to conduct an initial audit or a subsequent audit?		
125		Do they consider whether or not they're going to conduct an internal or an external audit?		
126		Do audit team leaders ensure that plans are complete?		
127		Do they consider whether or not the auditee's representative should be identified?		
128		Do they consider whether or not the working and reporting language of the audit needs to be specified?		
129		Do they clarify which language will be used whenever the working or reporting language is different from the auditor's or the auditee's language?		
130		Do they consider whether or not communication arrangements for each location needs to be clarified?		
131		Do they consider whether or not logistics arrangements for each specific audit location need to be defined?		

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132		Do they consider whether or not any specific measures need to be taken to address the risk and uncertainty auditors face as they try to achieve their audit objectives?		
133		Do they consider whether or not confidentiality, privacy, and information security issues and concerns need to be discussed?		
134		Do they consider whether or not audit report topics need to be identified?		
135		Do they consider whether or not follow-up actions need to be defined and taken?		
136		Do they consider whether or not follow-up actions from previous audits need to be taken?		
137		Do they consider whether or not follow-up activities need to be taken for the audit they're planning to carry out?		
138		Do they consider whether or not they need to coordinate their audit project with other projects?		
139		Do audit team leaders ensure that plans are flexible?		
140		Do they ensure that they can change their audit plans whenever circumstances shift during the audit and change becomes necessary?		
141		Do audit team leaders discuss audit plans with audit clients?		
142		Do they consider asking clients to review audit plans?		
143		Do they consider asking clients to accept audit plans?		
144		Do audit team leaders present their audit plans to auditee representatives?		
145		Do they resolve objections raised by auditees?		
146		Do they discuss all objections with audit clients and auditees and resolve all disagreements before audits begin?		

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6.3.3 ASSIGN WORK TO AUDIT TEAM MEMBERS			
147	Do audit team leaders consult with team members before assigning roles and responsibilities?		
148	Do they consider the effective use of resources?		
149	Do they consider the different jobs that need to be done?		
150	Do they consider the work that auditors must do?		
151	Do they consider the work that trainees must do?		
152	Do they consider the work that audit guides must do?		
153	Do they consider the work that technical experts must do?		
154	Do they consider the suitability of each auditor?		
155	Do they consider the competence of auditors?		
156	Do they consider the needs of auditors-in-training?		
157	Do they consider the independence of auditors?		
158	Do audit team leaders assign roles and responsibilities to each auditor?		
159	Do they assign responsibility for auditing processes?		
160	Do they assign responsibility for auditing activities?		
161	Do they assign responsibility for auditing functions?		
162	Do they assign responsibility for auditing locations?		
163	Do audit team leaders hold team meetings or briefings whenever work assignments need to be changed or reallocated?		
164	Do they consider changing work assignments whenever changes are necessary to achieve audit objectives?		

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6.3.4 PREPARE AUDIT WORKING PAPERS			
165	Do audit team leaders prepare appropriate audit working papers (also known as "work documents")?		
166	Do they prepare checklists to support the specific assignments given to audit team members?		
167	Do they prepare sampling plans to support the specific assignments given to audit team members?		
168	Do they prepare record keeping forms to support the assignments given to audit team members?		
169	Does your audit program manager encourage auditors to use working papers to collect audit information?		
170	Does your audit manager encourage auditors to use checklists to conduct audits?		
171	Does your audit manager encourage auditors to use sampling plans to guide audits?		
172	Does your audit manager encourage auditors to use forms to record audit information?		
173	Does your manager encourage auditors to use forms to record findings?		
174	Does your manager encourage auditors to use forms to record evidence?		
175	Does your manager encourage auditors to use forms to record meetings?		
176	Does your audit program manager control the use of audit working papers and records?		
177	Does your audit manager ensure that working papers and records are safeguarded?		
178	Does your manager ensure that documents containing confidential or proprietary information are suitably safeguarded by audit team members?		

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179	Does your audit manager ensure that working papers and records are retained?		
180	Does your audit manager ensure that audit working papers and records are retained until audits have been completed or for as long as required by audit plans?		
181	Does your audit program manager review audit working papers and records?		
182	Does your audit program manager use working papers and records as reference materials?		
<b>6.4 CARRY OUT YOUR AUDIT</b>			
<b>6.4.1 ESTABLISH AUDIT SEQUENCE</b>			
183	Do audit team leaders establish the sequence for each audit?		
184	Do team leaders conduct opening audit meetings?		
185	Do auditors review auditee documents during audits?		
186	Do auditors communicate with participants during audits?		
187	Do leaders assign responsibilities to guides and observers?		
188	Do auditors collect and verify information during audits?		
189	Do auditors develop and document their audit findings?		
190	Do auditors discuss and prepare audit conclusions?		
191	Do leaders present audit findings and conclusions?		
<b>6.4.2 CONDUCT OPENING MEETING</b>			
192	Do audit team leaders plan opening meetings?		
193	Do team leaders consider what the overall purpose of the opening meeting should be?		
194	Do they confirm that all parties actually accept and agree with the audit plan?		

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195		Do they ensure that auditees actually agree with the plan?		
196		Do they ensure that their audit teams actually agree with the plan?		
197		Do they verify that all planned audit activities can actually be carried out?		
198		Do team leaders clarify who will participate in the opening meeting?		
199		Do they ensure that auditee's management will attend?		
200		Do they make sure that those responsible for the functions or processes to be audited also attend the opening meeting (when appropriate)?		
201		Do they make sure that they chair the meeting?		
202		Do they offer an opportunity to ask questions?		
203		Do they maintain a record of attendance?		
204		Do team leaders figure out how detailed opening meeting discussions ought to be?		
205		Do they consider providing less detail if the auditee is familiar with the audit process?		
206		Do they consider providing less detail if they plan to conduct a simple straightforward audit?		
207		Do team leaders think about how formal opening meetings should be?		
208		Do audit team leaders hold opening meetings?		
209		Do team leaders introduce all participants?		
210		Do they introduce audit team members?		
211		Do they outline the roles that auditors will perform?		
212		Do they introduce audit observers and guides?		

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213		Do they explain the role of observer?		
214		Do they explain the role of guide?		
215		Do team leaders discuss communication channels?		
216		Do they confirm which language will be used while the audit is being conducted?		
217		Do they confirm the formal channels that will be used to communicate between audit team members and auditee representatives?		
218		Do they confirm that auditees will be kept informed and up-to-date on the progress of audit projects?		
219		Do team leaders describe how audits will be done?		
220		Do they describe and explain the audit scope?		
221		Do they clarify and confirm their audit objectives?		
222		Do they identify and explain their audit criteria?		
223		Do they outline the audit plan and arrangements?		
224		Do they identify any late changes in the plan?		
225		Do they confirm when meetings will be held?		
226		Do they confirm when interim meetings will be held?		
227		Do they confirm when interim meetings between the audit team and the auditee's management will be held?		
228		Do they confirm when closing meeting will be held?		
229		Do they confirm the closing meeting agenda?		
230		Do they introduce and confirm audit methods?		

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231		Do they explain that audit evidence will be based on a sample of the information available?		
232		Do team leaders clarify their approach to risk management?		
233		Do they explain how they plan to manage the risks that may result from the presence of audit team members within the auditee organization?		
234		Do they confirm how information security and confidentiality matters will be handled?		
235		Do they identify security procedures?		
236		Do they confirm how health and safety matters and emergency responses will be handled?		
237		Do they confirm health and safety procedures?		
238		Do they confirm emergency procedures?		
239		Do team leaders explain how audit findings are reported?		
240		Do they describe reporting methods including any grading techniques that will be used?		
241		Do they clarify how they will deal with findings that they might possibly establish during the audit?		
242		Do team leaders confirm that support services are available?		
243		Do they confirm that the facilities the audit team will need will actually be available during the audit?		
244		Do they confirm that the resources the audit team will need will actually be available during the audit?		
245		Do team leaders specify the conditions that could cause the premature termination of an audit?		
246		Do team leaders identify feedback systems that the auditee could use to file a complaint or issue an appeal?		
247		Do they explain how the auditee could file a complaint about audit findings or conclusions?		

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6.4.3 PERFORM DOCUMENT REVIEW			
248	Do audit team members review relevant documents provided by auditee organizations?		
249	Do audit team leaders ensure that auditee's documents actually support the audit and fall within its scope?		
250	Do team leaders ensure that the auditee's documents help achieve audit objectives?		
251	Do audit team leaders decide whether or not auditee documents are adequate?		
252	Do team leaders consider suspending document reviews whenever adequate documents cannot be provided within the time frame specified by audit plans?		
253	Do team leaders consider the audit scope and audit objectives when they decide whether or not to continue or suspend an audit?		
254	Do team leaders inform their audit manager and the auditee whenever adequate documentation has not been provided?		
255	Do audit team members use document reviews to gather relevant information?		
256	Do audit team members use this information to support audit activities?		
257	Do team members use this information to establish whether the auditee's management system complies with audit criteria?		
258	Do audit team leaders encourage auditors to review documents throughout the audit process?		
259	Do audit team members continue reviewing documents throughout the audit as long as this doesn't undermine the effectiveness of the audit and the objectives that must be achieved?		

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6.4.4 COMMUNICATE DURING AUDIT				
260	Do audit team leaders establish communication arrangements that can be used during audits?			
261	Do team leaders communicate with team members?			
262	Do team leaders assess audit progress?			
263	Do team leaders reassign work when necessary?			
264	Do team members exchange information?			
265	Do team members document and report issues and concerns to team leaders that ought to be discussed with auditees or clients?			
266	Do team members report concerns that are outside the scope of the audit that may, nevertheless, be of interest to auditees or audit clients?			
267	Do team leaders communicate with their auditees and client representatives?			
268	Do team leaders provide regular progress reports and share concerns with auditees and audit clients?			
269	Do team leaders report concerns to auditees and clients without delay whenever evidence indicates that an immediate and significant risk threatens the auditee organization?			
270	Do team leaders report concerns to auditees and clients whenever audit evidence indicates that audit objectives are unattainable?			
271	Do team leaders figure out what needs to be done whenever audit objectives are unattainable?			
272	Do team leaders consider reconfirming their audit plans whenever audit objectives are unattainable?			

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273		Do team leaders consider modifying their audit plans whenever audit objectives are unattainable?		
274		Do they ensure that any changes to audit plans are reviewed and approved by the audit program manager?		
275		Do they ensure that any changes to audit plans are reviewed and approved by auditee representatives?		
276		Do team leaders consider changing audit objectives whenever they are unattainable?		
277		Do team leaders consider changing the scope whenever audit objectives are unattainable?		
278		Do team leaders consider terminating the audit whenever audit objectives are unattainable?		
279		Do team leaders communicate with external agencies?		
280		Do team leaders communicate with regulators?		
<b>6.4.5 ASSIGN GUIDES AND OBSERVERS</b>				
281		Do audit team leaders consider asking or allowing guides and observers to accompany audit teams?		
282		Do team leaders ensure that guides and observers do not interfere or influence the conduct of audits?		
283		Do they identify audit activities that should not be influenced by observers and do they ensure that observers do not interfere with those activities?		
284		Do they ensure that observers do not take part in audit activities that are out-of-bounds?		
285		Do team leaders ensure that guides assist audit teams and act only at the leader's request?		

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286		Do they consider asking audit guides to help collect information and provide clarification?		
287		Do they consider allowing audit guides to witness audits on behalf of auditees?		
288		Do your audit team leaders assign roles and responsibilities to audit guides and observers?		
289		Do team leaders assign roles and responsibilities to audit guides?		
290		Do they ask guides to identify potential interviewees?		
291		Do they ask guides to confirm interview schedules?		
292		Do they ask guides to arrange access to audit locations?		
293		Do they ask guides to make sure that audit team members and observers are aware of safety and security procedures for each location?		
294		Do they ensure that team members and observers understand and respect safety and security procedures?		
295		Do they ask guides to help with audits?		
296		Do they ask guides to help collect information?		
297		Do they ask guides to help provide clarification?		
298		Do team leaders assign roles and responsibilities to audit observers?		
299		Do they ask audit clients and auditees to assign specific obligations to audit observers and to manage how these obligations are being met?		
300		Do they ensure that audit observers' health and safety obligations are being managed by audit clients and auditees?		
301		Do they ensure that audit observers' security and confidentiality obligations are being managed by audit clients and auditees?		

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6.4.6 COLLECT AND VERIFY INFORMATION			
302	Do audit team leaders select the information gathering methods that team members will use?		
303	Do team leaders consider using interview methods?		
304	Do team leaders consider using observational methods?		
305	Do team leaders consider using document review methods?		
306	Do team leaders consider using record review methods?		
307	Do team leaders consider using sampling methods?		
308	Do audit team members collect information needed to support their audit findings?		
309	Do they use interview methods to collect information?		
310	Do they use observational methods to collect information?		
311	Do they use document review methods to collect information?		
312	Do they use record review methods to collect information?		
313	Do they use sampling methods to collect information?		
314	Do they collect information required by audit plans?		
315	Do they collect information relevant to audit objectives?		
316	Do they collect information relevant to audit scopes?		
317	Do they collect information relevant to audit criteria?		
318	Do they collect information about management systems?		
319	Do they collect information about activities?		
320	Do they examine interfaces between activities?		
321	Do they collect information about processes?		
322	Do they examine interfaces between processes?		
323	Do they collect information about functions?		
324	Do they examine interfaces between functions?		
325	Do audit team members record the evidence that they use to establish audit findings?		

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326		Do they verify information used to support findings?		
327		Do they make sure that only verifiable information is accepted as audit evidence?		
328		Do audit team members address unusual evidence discovered during audits?		
329		Do they address new or changed circumstances?		
330		Do they address new or changed risks?		
<b>6.4.7 GENERATE YOUR AUDIT FINDINGS</b>				
331		Do audit team members establish audit findings by evaluating audit evidence and comparing it with audit criteria?		
332		Do team members use audit evidence and audit criteria to identify conformities and good practices?		
333		Do they identify opportunities for improvement?		
334		Do they prepare recommendations?		
335		Do they record evidence to support positive findings?		
336		Do team members use audit evidence and audit criteria to identify nonconformities and bad practices?		
337		Do they record nonconformities and bad practices?		
338		Do they record evidence to support negative findings?		
339		Do they consider grading nonconformities?		
340		Do they discuss audit findings with auditees?		
341		Do they ask auditees to acknowledge that audit evidence is accurate and that they understand relevant nonconformities?		
342		Do they try to resolve disagreements over audit evidence and findings?		
343		Do they record unresolved issues and concerns?		
344		Do audit team leaders discuss audit findings with audit team members whenever necessary or appropriate?		

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6.4.8 PREPARE YOUR AUDIT CONCLUSIONS				
345	Do audit team members review audit findings and other related information before drawing conclusions?			
346	Do they compare audit findings with audit objectives?			
347	Do they consider the uncertainty inherent in the audit process as they think about their conclusions?			
348	Do audit team members discuss and carefully consider their audit conclusions?			
349	Do they evaluate the extent of conformity?			
350	Do they evaluate management system robustness?			
351	Do they evaluate management system effectiveness?			
352	Do they consider how well the management system is achieving its stated objectives?			
353	Do they consider how well the management system has been implemented or is being applied?			
354	Do they consider how well it's being maintained?			
355	Do they consider how well it's being improved?			
356	Do they evaluate the management review process?			
357	Do they consider whether or not the auditee's management review process is capable of ensuring the ongoing suitability of the management system?			
358	Do they consider whether or not the auditee's management review process is capable of ensuring the continued adequacy of the management system?			
359	Do they consider whether or not the auditee's management review process is capable of ensuring the ongoing effectiveness of the management system?			

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360	Do they consider whether or not the auditee's management review process is capable of ensuring the continuous improvement of the management system?		
361	Do they evaluate emerging trends and patterns?		
362	Do they consider similar findings in different areas?		
363	Do they evaluate how effective their audit has been?		
364	Do they consider whether audit objectives were achieved?		
365	Do they consider whether audit scopes are covered?		
366	Do they consider whether audit criteria were applied?		
367	Do they consider whether root causes were analyzed?		
368	Do audit team members formulate and document their audit conclusions?		
369	Do audit team members prepare recommendations?		
370	Do they prepare recommendations for improvement?		
371	Do they prepare recommendations for future audits?		
372	Do audit team members consider audit follow-ups?		
<b>6.4.9 PRESENT FINDINGS AND CONCLUSIONS</b>			
373	Do audit team leaders plan closing meetings?		
374	Do team leaders clarify who will participate in meetings?		
375	Do they ask auditee management to attend meetings?		
376	Do they consider asking other relevant parties to attend?		
377	Do they consider asking the audit client to attend?		
378	Do they consider asking those responsible for the audited processes or functions to attend?		

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379		Do team leaders figure out how detailed closing meeting discussions should be?		
380		Do they consider covering less detail during meetings whenever auditees are familiar with the audit process?		
381		Do team leaders consider how formal closing meeting discussions should be?		
382		Do they establish meeting minutes and keep records of attendance whenever meetings are formal?		
383		Do they communicate audit findings and conclusions, and de-emphasize other topics, whenever closing meetings are relatively informal?		
384		Do audit team leaders hold closing meetings?		
385		Do team leaders explain their audit methods?		
386		Do they describe their reporting methods?		
387		Do they describe sampling methods (if relevant)?		
388		Do they explain that the evidence collected is based on a sample of available information?		
389		Do team leaders present their audit findings?		
390		Do they make sure that auditee's management understands and acknowledges the findings?		
391		Do they explain how the findings should be handled and do they discuss possible consequences?		
392		Do team leaders describe their audit conclusions?		
393		Do they make sure that auditee's management understands and acknowledges conclusions?		
394		Do they identify the situations that were encountered during the audit that have made it more difficult to draw valid conclusions (if this is true)?		

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395		Do they explain why auditees should have less confidence in their audit conclusions (when this is true)?		
396		Do team leaders make recommendations (whenever this is appropriate and relevant)?		
397		Do they identify improvement opportunities and present recommendations if their audit objectives expect them to do so?		
398		Do they explain that recommendations aren't binding?		
399		Do team leaders discuss diverging opinions (if any)?		
400		Do they discuss all disagreements and differences of opinion between audit teams and auditees?		
401		Do they resolve all disagreements about audit findings or conclusions (whenever possible)?		
402		Do they record all outstanding disagreements between audit teams and auditees?		
403		Do team leaders develop post-audit action plans?		
404		Do they discuss post-audit options and actions?		
405		Do they discuss the implementation of corrective and preventive actions?		
406		Do they discuss their program's audit complaints and appeals process?		
407		Do they discuss a time frame to address findings?		
408		Do they agree on a time frame to address audit findings whenever the auditee's management system makes this a requirement?		
409		Do they agree on a time frame to address audit findings whenever audit clients expect them to establish such an agreement?		

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6.5 REPORT AUDIT RESULTS			
6.5.1 PREPARE YOUR AUDIT REPORT			
410	Do audit team leaders consider reporting options and do they plan their audit reports?		
411	Do they ensure that audit reports present an accurate and complete record of each audit?		
412	Do they ensure that reports are clear and concise?		
413	Do they ensure that the audit reporting process complies with your organization's audit program procedures?		
414	Do audit team leaders prepare audit reports?		
415	Do team leaders ensure that audit reports cover all of the essentials?		
416	Do audit reports include or refer to audit objectives?		
417	Do audit reports specify or refer to audit scopes?		
418	Do reports identify audited organizational units?		
419	Do reports identify audited functional units?		
420	Do reports identify audited processes?		
421	Do audit reports identify or refer to sponsors and participants?		
422	Do reports identify or refer to audit clients?		
423	Do reports identify or refer to auditees?		
424	Do reports identify or refer to team members?		
425	Do audit reports mention or refer to audit agendas?		
426	Do reports indicate where audit activities were conducted?		
427	Do reports indicate when audit activities were conducted?		

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428		Do audit reports discuss or refer to audit criteria?		
429		Do reports indicate the degree to which the audit criteria have been fulfilled?		
430		Do audit reports present or refer to audit findings?		
431		Do reports present or refer to related evidence?		
432		Do audit reports document or refer to audit conclusions?		
433		Do team leaders ensure that audit reports are complete?		
434		Do team leaders consider whether or not they should include or refer to audit plans?		
435		Do they consider whether or not audit schedules should be mentioned?		
436		Do team leaders consider whether or not they should provide an overview of the audit process?		
437		Do they consider whether or not any obstacles have interfered with the audit process and whether or not they should be mentioned?		
438		Do they consider whether or not these obstacles have decreased the reliability of audit conclusions and their confidence in them?		
439		Do team leaders consider whether or not they need to confirm that they've actually met their audit objectives?		
440		Do they consider confirming whether or not audit objectives were achieved within the scope and in accordance with audit plans?		
441		Do they consider whether or not they need to discuss any areas or topics that were not covered that should have been?		
442		Do team leaders consider whether or not they need to provide a summary of their audit conclusions?		
443		Do they consider whether they need to summarize the findings that support their conclusions?		

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444		Do team leaders consider whether or not they need to discuss any diverging opinions or unresolved disagreements between audit teams and auditees?		
445		Do team leaders consider whether or not audit plans expect them to identify opportunities for improvement?		
446		Do they consider whether or not they need to pinpoint improvement opportunities?		
447		Do team leaders consider whether or not they need to identify and recommend good practices?		
448		Do team leaders consider whether or not they need to develop and agree upon follow-up action plans?		
449		Do team leaders consider whether or not they need to emphasize the confidential nature of audit reports?		
450		Do team leaders consider whether or not they need to highlight how current audits could affect future audits?		
451		Do they consider whether or not they need to explain how audits could affect audit programs?		
452		Do team leaders consider whether or not they need to include audit report distribution lists?		
<b>6.5.2 DISTRIBUTE YOUR AUDIT REPORT</b>				
453		Do audit team leaders finalize audit reports in accordance with your organization's audit program procedures?		
454		Do team leaders date their audit reports?		
455		Do team leaders review their audit reports?		
456		Do team leaders approve their audit reports?		
457		Do they ensure that audit reports are formally approved before they distribute them to recipients?		
458		Do audit team leaders distribute audit reports in accordance with your organization's audit procedures and audit plans?		

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459		Do team leaders ensure that all audit reports are issued on time?		
460		Do they contact audit managers and explain why audit reports are delayed whenever they fail to distribute them within the agreed upon time period?		
461		Do they contact auditees and explain why audit reports are delayed whenever they fail to distribute them within the agreed upon time period?		
<b>6.6 COMPLETE YOUR AUDIT</b>				
462		Do audit team leaders verify that audits were completed?		
463		Do team leaders confirm that all planned audit tasks and activities were actually carried out?		
464		Do they contact audit clients and explain why audits are incomplete whenever they fail to carry out all planned activities?		
465		Do they ensure that audit clients agree with decisions to wrap up the audit without having completed all planned activities?		
466		Do audit team leaders protect all audit documents and related information?		
467		Do team leaders establish whether or not audit documents and information should be retained or destroyed?		
468		Do they ensure that audit information and document disposal decisions comply with the agreements you have with participating parties?		
469		Do they ensure that audit information and document disposal decisions comply with your audit program procedures?		
470		Do they ensure that audit information and document disposal decisions comply with all applicable data retention requirements?		

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471		Do team leaders get the explicit approval of audit clients and auditees (when appropriate) before they disclose any information about audits to other parties?		
472		Do they disclose the contents of audit reports, audit documents, or audit information to other parties only when disclosure is required by law?		
473		Do they ensure that audit clients and auditees are informed as soon as possible whenever disclosure is required?		
474		Do audit team leaders maintain a record of lessons learned during audits?		
475		Do audit team leaders make sure that the audited organization's management system retains a record of the lessons that were learned during the course of an audit?		
476		Do they ensure that lessons learned are fed back into the audited organization's continual improvement process?		
<b>6.7 FOLLOW-UP ON YOUR AUDIT</b>				
477		Do audit team leaders consider whether remedial actions should be taken?		
478		Do team leaders ask auditees to agree to take remedial action whenever audit objectives expect them to do so and audit conclusions indicate that action should be taken?		
479		Do they ask auditees to agree to take remedial actions within a specific time frame (when this is appropriate)?		
480		Do they ask auditees to make corrections?		
481		Do they ask auditees to make improvements?		
482		Do they ask auditees to take corrective actions?		
483		Do they ask auditees to take preventive actions?		

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