Change Log Form

GENERAL INFORMATION					
Course Developer Manager*	*Taulanta Kryeziu*				
Department*	*Training Development Department*				
Date*	*2016-11-15*				
Course details*	***Course name:***	***Language***	***Current Version***	***Subsequent Version***	
	ISO 22301 Lead Auditor	*English*	*7.3*	*7.2.5*	
Day 1:					
Slide Number	***Slide Description:***	***Modifications:***	***Comments***		

No.2	*Normative references*	• *ISO 17021:2011, to ISO 17021-1:2015,* • *ISO 9000:2005, to ISO 9000:2015,* • *ISO 9001:2008, to ISO 9001:2015, and* • *ISO 14001:2004 to ISO 14001:2015* • *ISO 17024:2003 to ISO 17024:2012* • *ISO/IEC 27001:2005 to ISO/IEC 27001:2013* • *ISO/IEC 24762 and ISO/PAS 22399- Withdrawn Standards*	*Updated and withdrawn Standards*
No.3	*List of Acronyms and Abbreviations*	*Changed reference from ANSI to IAS*	*Updated information*
No.13	*Certified ISO 22301 Lead Auditor*	*Updated credential to: **" PECB Certified ISO 22301 Lead Auditor"***	*Updated information*
No.14	*Certificate*	*Updated certificate*	*Updated information*

No.15	*What is PECB?*	*Slide: Main services:* 1. *Certification of persons* 2. *Certification of products* 3. *Certification of management systems* 4. *Certification of training organizations* 5. *Certification of trainers* 6. *Certification of auditors* *Notes: PECB is a certification body for persons, management systems, and products on a wide range of international standards. As a global provider of training, examination, audit, and certification services, PECB offers its expertise on multiple fields, including but not limited to Information Security, IT, Business Continuity, Service Management, Quality Management Systems, Risk & Management, Health, Safety, and Environment. We help professionals and organizations to show commitment and competence with internationally recognized standards by providing this assurance through the education, evaluation and certification against rigorous, internationally recognized competence requirements. Our mission is to provide our clients comprehensive services that inspire trust, continual improvement, demonstrate recognition, and benefit society as a whole. PECB **is** accredited by IAS against ISO/IEC 17024, ISO/IEC 17021-1, ISO/IEC 17065.*	*Updated information related to PECB services*

No.22	*What is ISO?*	• *ISO is a network of national standardization bodies from over **163** countries* • *Over **21 000** standards have been published since **1947***	*Updated information*
No. 27	*Seven ISO Management Principles*	*Seven ISO Management principles:* *1. Customer focus* *2. Leadership* *3. Engagement and competence of people* *4. Process approach* *5. Improvement* *6. Informed decision making* *7. Relationship management*	*Updated information*
No. 29	*Integrated Management System*	*Common structure of ISO standards updated*	*Updated information based on the latest standard versions*
No.34	*Other Business Continuity Standards*	*ISO/IEC 24762 and ISO/PAS 22399 removed.*	*Withdrawn Standards*
No.45	*Accreditation Authority*	*Accreditation authority added- IAS* *Accreditation authority removed- BELAC*	*Updated information*
No.47	*Certification Body*	*PECB certification body- Added*	*Updated information*
No. 49	*Personnel Certification Bodies*	*Slide:* ● *ISO 17024 specifies the criteria for an organization that conducts certification of persons in relation to specific requirements, including developing and maintaining a certification scheme for persons*	*Updated information*

No.54	*Event: from Incident to Emergency*	• *ISO/PAS 22399 references removed*	*Withdrawn Standard*
No.55	*Organization and Critical Activities*	• *ISO/PAS 22399 references removed*	*Withdrawn Standard*
No.60	*Probability, Consequence and Impact*	• *ISO/PAS 22399 references removed*	*Withdrawn Standard*

No.61	*Interested party (Stakeholder)*	***Definitions*** • ***Customer:*** *person or organization that could or does receive a product or a service that is intended for or required by this person or organization.* *EXAMPLE Consumer, client, end-user, retailer, receiver of product or service from an internal process, beneficiary and purchaser.* *Note: A customer can be internal or external to the organization* *Reference: ISO 9000, clause 3.2.4* • ***Supplier:*** *organization or person that provides a product or a service. Example: producer, distributor, retailer or vendor of a product, or a service.* *Note 1: A provider can be internal or external to the organization* *Note 2: In a contractual situation, a supplier is sometimes called a "contractor".* *Reference: ISO 9000, clause 3.2.5*	*Updated Standard*

No.73		*Definitions* • ***System:*** *Set of interrelated or interacting elements* ***(ISO 9000, 3.5.1).*** • ***Management:*** *Coordinated activities to direct and control an organization* ***(ISO 9000, 3.2.1).*** • ***Management system:*** *Set of interrelated or interacting elements of an organization to establish policies and objectives, and processes to achieve those objectives****.(ISO 9000, 3.5.3)***	*Updated Standard*
No.101	*Improvement*	***Notes:*** ***ISO 9000*** • ***3.7.11 Effectiveness:*** *Extent to which planned activities are realized and planned results achieved****.*** • ***3.7.10 Efficiency:*** *Relationship between the results achieved and the resources used.* • ***3.12.1 Preventive action:*** *Action to eliminate the cause of a potential nonconformity or other undesirable potential situation.* • ***3.12.2 Corrective action:*** *Action to eliminate the cause of a nonconformity and to prevent recurrence).*	*Updated Standard*

Day 2:			
Slide Number	***Slide Description:***	***Modifications:***	***Comments***
No.6	ISO 17021-1	• *ISO 17021-1: 2015*	*Updated standard*
No. 25	Confidentiality Principle	• *Updated clause 8.4, 17021-1.*	*Updated standard*

No.26	**Slide Notes Extension**	***ISO 17021-1, clause 8.4 – Confidentiality*** ***8.4 Confidentiality*** ***8.4.1*** *The certification body shall be responsible, through legally enforceable agreements, for the management of all information obtained or created during the performance of certification activities at all levels of its structure, including committees and external bodies or individuals acting on its behalf.* ***8.4.2*** *The certification body shall inform the client, in advance, of the information it intends to place in the public domain. All other information, except for information that is made publicly accessible by the client, shall be considered confidential.* ***8.4.3*** *Except as required in this part of ISO/IEC 17021-1, information about a particular certified client or individual shall not be disclosed to a third party without the written consent of the certified client or individual concerned.* ***8.4.4*** *When the certification body is required by law or authorized by contractual arrangements (such as with the accreditation body) to release confidential information, the client or individual concerned shall, unless prohibited by law, be notified of the information provided.* ***8.4.5*** *Information about the client from sources other than the client (e.g. complainant, regulators) shall be treated as confidential, consistent with the certification body's policy.* ***8.4.6*** *Personnel, including any committee members, contractors, personnel of external bodies or individuals acting on the certification body's behalf, shall keep confidential all information obtained or created during the performance of the certification body's activities except as required by law.* ***8.4.7*** *The certification body shall have processes and where applicable equipment and facilities that ensure the secure handling of confidential information.*	*Updated standard*

No.63	Application Review	***ISO 17021-1, Clause 9.1.2*** *Application review* *9.1.2.1 The certification body shall conduct a review of the application and supplementary information for certification to ensure that:* *a) the information about the applicant organization and its management system is sufficient to develop an audit programme (see 9.1.3);* *b) any known difference in understanding between the certification body and the applicant organization is resolved;* *c) the certification body has the competence and ability to perform the certification activity;.* *d) the scope of certification sought, the site(s) of the applicant organization's operations, time required to complete audits and any other points influencing the certification activity are taken into account (language, safety conditions, threats to impartiality, etc.).*	*Updated standard*

No.75	*Rejection of an Auditor by the Audit Client or the Auditee*	***ISO 17021-1, 9.2.3.5 Communication concerning audit team members*** *The certification body shall provide the name of and, when requested, make available background information on each member of the audit team, with sufficient time for the client to object to the appointment of any particular audit team member and for the certification body to reconstitute the team in response to any valid objection.*	*Updated standard*

No.79	*Objectives of the Stage 1 Audit*	***ISO 17021-1, clause 9.3.1.2.2*** *The objectives of stage 1 are to:* *a) review the client's management system documented information;* *b) evaluate the client's site-specific conditions and to undertake discussions with the client's personnel to determine the preparedness for stage 2;* *c) review the client's status and understanding regarding requirements of the standard, in particular with respect to the identification of key performance or significant aspects, processes, objectives and operation of the management system;* *d) obtain necessary information regarding the scope of the management system, including:* *— the client's site(s);* *— processes and equipment used;* *— levels of controls established (particularly in case of multisite clients);* *— applicable statutory and regulatory requirements;* *e) review the allocation of resources for stage 2 and agree the details of stage 2 with the client;* *f) provide a focus for planning stage 2 by gaining a sufficient understanding of the client's management system and site operations in the context of the management system standard or other normative document;* *g) evaluate if the internal audits and management reviews are being planned and performed, and that the level of implementation of the management system substantiates that the client is ready for stage 2.*	*Updated standard*

No.81	*Stage 1 Audit Steps*	***ISO 17021-1*** ***9.3.1.2.3*** *Documented conclusions with regard to fulfilment of the stage 1 objectives and the readiness for stage 2 shall be communicated to the client, including identification of any areas of concern that could be classified as a nonconformity during stage 2.*	*Updated standard*
No.83	*Contacts with Key Stakeholders*	*Update clause from ISO 17021-9.1.2.2.3. to ISO 17021-1, Clause 9.3.1.2.1*	*Updated standard*
No.84	*Document Review*	*Update clause from ISO 17021-9.2.3.1.1 to ISO 17021-1, Clause 9.1.2.2.3*	*Updated Standard*
No.95	*Stage 1 Audit Report*	*Update clause from ISO 17021 9.2.3.1.2 to ISO 17021-1, clause 9.3.1.2.3*	*Updated Standard*

No.99	*Stage 2 Audit Objectives*	*ISO 17021-1, Clause 9.3.1.3* ***9.3.1.3** The purpose of stage 2 is to evaluate the implementation, including effectiveness, of the client's management system. The stage 2 shall take place at the site(s) of the client. It shall include the auditing of at least the following:* *a) information and evidence about conformity to all requirements of the applicable management system standard or other normative documents;* *b) performance monitoring, measuring, reporting and reviewing against key performance objectives and targets (consistent with the expectations in the applicable management system standard or other normative document);* *c) the client's management system ability and its performance regarding meeting of applicable statutory, regulatory and contractual requirements;* *d) operational control of the client's processes;* *e) internal auditing and management review;* *f) management responsibility for the client's policies.*	*Updated Standard*
No.101	*Preparing the Audit Plan*	***ISO 17021-1, clause 9.2.3.4*** ***Communication of audit plan*** *The audit plan shall be communicated and the dates of the audit shall be agreed upon, in advance, with the client.*	*Updated Standard*

No.102	*Audit Plan Details*	***ISO 17021-1, clause 9.2.3.2 Preparing the audit plan*** *The audit plan shall be appropriate to the objectives and the scope of the audit. The audit plan shall at least include or refer to the following:* *a) the audit objectives;* *b) the audit criteria;* *c) the audit scope, including identification of the organizational and functional units or processes to be audited;* *d) the dates and sites where the on-site audit activities will be conducted, including visits to temporary sites and remote auditing activities, where appropriate;* *e) the expected duration of on-site audit activities;* *f) the roles and responsibilities of the audit team members and accompanying persons, such as observers or interpreters.*	*Updated Standard*
No.113	*Conducting the Opening Meeting*	***ISO 17021-1, clause 9.4.2 Conducting the opening meeting*** *A formal opening meeting, shall be held with the client's management and, where appropriate, those responsible for the functions or processes to be audited. The purpose of the opening meeting, usually conducted by the audit team leader, is to provide a short explanation of how the audit activities will be undertaken. The degree of detail shall be consistent with the familiarity of the client with the audit process and shall consider the following*	*Updated Standard*

No.78	*Competence and Training*	***ISO 9000, clause 3.10.4*** ▪ ***Competence:*** *Ability to apply knowledge and skills to achieve intended results*	*Updated Standard*

Day 3:			
Slide Number	***Slide Description:***	***Modifications:***	***Comments***
No.74	*Non-conformity*	*Slide: Update ISO 9000:2005 to ISO 9000:2015* ***Notes:*** ***ISO 9000*** ***3.6.11 Conformity:*** *Fulfilment of a requirement.* ***3.6.9 Nonconformity:*** *Non-fulfilment of a requirement.*	*Updated Standard*

Day 4:

Slide Number	***Slide Description:***	***Modifications:***	***Comments***
No.28	*Writing Recommendations for Improvement*	***ISO 17021-1, clause 9.4.8*** *The certification body shall provide a written report for each audit to the client. The audit team may identify opportunities for improvement but shall not recommend specific solutions. Ownership of the audit report shall be maintained by the certification body.*	*Updated Standard*

No.31	*Audit Follow-up*	***ISO 17021-1*** *Clause 9.4.10: Effectiveness of corrections and corrective actions* *The certification body shall review the corrections, identified causes and corrective actions submitted by the client to determine if these are acceptable. The certification body shall verify the effectiveness of any correction and corrective actions taken. The evidence obtained to support the resolution of nonconformities shall be recorded. The client shall be informed of the result of the review and verification. The client shall be informed if an additional full audit, an additional limited audit, or documented evidence (to be confirmed during future audits) will be needed to verify effective correction and corrective actions.* *NOTE Verification of effectiveness of correction and corrective action can be carried out based on a review of documented information provided by the client, or where necessary, through verification on-site. Usually this activity is done by a member of the audit team.*	*Updated Standard*

No.33	*Certification Decision*	***ISO 17021-1, clause 9.5.3.1*** *The information provided by the audit team to the certification body for the certification decision shall include, as a minimum:* *a) the audit report;* *b) comments on the nonconformities and, where applicable, the correction and corrective actions taken by the client;* *c) confirmation of the information provided to the certification body used in the application review (see 9.1.2);* *d) confirmation that the audit objectives have been achieved;* *e) a recommendation whether or not to grant certification, together with any conditions or observations.*	*Updated Standard*

No.48	*Surveillance Activities*	***ISO 17021-1:2015*** ***9.1.3.2*** *The audit programme for the initial certification shall include a two-stage initial audit, surveillance audits in the first and second years following the certification decision, and a recertification audit in the third year prior to expiration of certification. The first three-year certification cycle begins with the certification decision. Subsequent cycles begin with the recertification decision (see 9.6.3.2.3) The determination of the audit programme and any subsequent adjustments shall consider the size of the client, the scope and complexity of its management system, products and processes as well as demonstrated level of management system effectiveness and the results of any previous audits.* *clause **9.6.2.1.1**: The certification body shall develop its surveillance activities so that representative areas and functions covered by the scope of the management system are monitored on a regular basis, and take into account changes to its certified client and its management system.*	*Updated Standard*

No.51	*Main Elements to Audit During a Surveillance Audit*	***ISO 17021-1:2015*** *Clause 9.6.2: Surveillance activities* *Surveillance audits are on-site audits, but are not necessarily full system audits, and shall be planned together with the other surveillance activities so that the certification body can maintain confidence that the client's certified management system continues to fulfil requirements between recertification audits. Each surveillance for the relevant management system standard shall include:* *a) internal audits and management review;* *b) a review of actions taken on nonconformities identified during the previous audit;* *c) complaints handling;* *d) effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s);* *e) progress of planned activities aimed at continual improvement;* *f) continuing operational control;* *g) review of any changes;* *h) use of marks and/or any other reference to certification.*	*Updated Standard*

No. 49	*Surveillance Activities*	***ISO 17021-1:2015, clause 9.6.2:*** *Clause 9.6.2.2: Surveillance audit* *Surveillance audits are on-site audits, but are not necessarily full system audits, and shall be planned together with the other surveillance activities so that the certification body can maintain confidence that the client's certified management system continues to fulfil requirements between recertification audits. Each surveillance for the relevant management system standard shall include:* *a) internal audits and management review;* *b) a review of actions taken on nonconformities identified during the previous audit;* *c) complaints handling;* *d) effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s);* *e) progress of planned activities aimed at continual improvement;* *f) continuing operational control;* *g) review of any changes;* *h) use of marks and/or any other reference to certification.*	*Updated Standard*

No.53	*Recertification Audit*	***ISO 17021-1:2015, clause 9.6.3:*** *Recertification* *9.6.3.1.1 The purpose of the recertification audit is to confirm the continued conformity and effectiveness of the management system as a whole, and its continued relevance and applicability for the scope of certification. A recertification audit shall be planned and conducted to evaluate the continued fulfilment of all of the requirements of the relevant management system standard or other normative document. This shall be planned and conducted in due time to enable for timely renewal before the certificate expiry date.* *9.6.3.1.2 The recertification activity shall include the review of previous surveillance audit reports and consider the performance of the management system over the most recent certification cycle.* *9.6.3.1.3 Recertification audit activities may need to have a stage 1 in situations where there have been significant changes to the management system, the organization, or the context in which the management system is operating (e.g. changes to legislation).* *Clause 9.6.3: Recertification audit* *9.6.3.2.1 The recertification audit shall include an on-site audit that addresses the following:* *a) the effectiveness of the management system in its entirety in the light of internal and external changes and its continued relevance and applicability to the scope of certification;* *b) demonstrated commitment to maintain the effectiveness and improvement of the management system in order to enhance overall performance;* *c) the effectiveness of the management system with regard to achieving the certified client's objectives and the intended results of the respective management system (s).* *9.6.3.2.2 For any major nonconformity, the certification body shall define time limits for correction and corrective actions. These actions shall be implemented and verified prior to the expiration of certification.* *9.5.4 Information for granting recertification* *The certification body shall make decisions on renewing certification based on the results of the recertification audit, as well as the results of the review of the system over the period of certification and complaints received from users of certification.*	*Updated Standard*

No. 55	***Slide Notes Extension***	***ISO 17021-1:2015, clause 9.6: Suspending, withdrawing or reducing the scope of certification*** ***9.6.5.1** The certification body shall have a policy and documented procedure(s) for suspension, withdrawal or reduction of the scope of certification, and shall specify the subsequent actions by the certification body.* ***9.6.5.2** The certification body shall suspend certification in cases when, for example:* *— the client's certified management system has persistently or seriously failed to meet certification requirements, including requirements for the effectiveness of the management system;* *— the certified client does not allow surveillance or recertification audits to be conducted at the required frequencies;* *— the certified client has voluntarily requested a suspension.* ***9.6.5.3** Under suspension, the client's management system certification is temporarily invalid.*	*Updated Standard*

No.56	*Use of ISO Trademarks*	***ISO 17021-1 :2015, clause 8.3.1*** *A certification body shall have rules governing any management system certification mark that it authorizes certified clients to use.* *These rules shall ensure, among other things, traceability back to the certification body.* *There shall be no ambiguity, in the mark or accompanying text, as to what has been certified and which certification body has granted the certification.* *This mark shall not be used on a product nor product packaging nor in any other way that may be interpreted as denoting product conformity.* *NOTE ISO/IEC 17030 provides additional information for use of third-party marks.*	*Updated Standard*
No.89	*Course Completion Certificate*	*Certificate updated*	*Updated information*

Comments:

These are the changes that we have made generally. I believe that it is important to note that there were no major changes made in the content of the training material.

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