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| **Organization:** |  |
| **Location:** |  |

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| **Attendance Record for Opening & Closing Meeting** | **Opening Meeting Date:** | **Closing Meeting Date:** | **Signature****(electronic and physical signature)** |
| **Name** | **Position** | *Indicate attendance with an “X”* | *(Mandatory e-signature or handwritten)* |
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Audit Team Leader:

Audit Team Member(s):

**Opening Meeting**

The following elements were reviewed during the opening meeting:

* Introductions; including standard, audit type;
* Sign in sheet recorded;
* Review of cover sheet and client information, Scope, # of employees;
* Audit based on quality manual, documented quality system, and the standard/requirements;
* This audit is confidential. Only MSECB’s accreditation and approval bodies (IAS, etc.) may review MSECB audit reports;
* MSECB’s auditors have confidentiality agreement; however, will sign organization’s confidentiality sheet as necessary;
* The goal of the audit is not to identify nonconformities, but to find sufficient evidence of conformance with the management system, and that the management system addresses all clauses of the standard. Please help the auditor find the evidence that is needed;
* Audit to be conducted using the process approach; for example, verifying linkages between the Policy, Objectives, Training, document control through verification of the inputs/outputs to the various client processes;
* Audit conducted through sampling: activities observed, employees interviewed, and records and documentation reviewed;
* Consultants may be present but may not participate in the audit;
* Confirm guides, escorts, translators as necessary;
* Review of site safety, emergency, and security procedures relevant to the auditors;
* The established audit schedule will be maintained as closely as possible. Verify no conflicts on the audit plan as documented;
* MSECB follows up on all nonconformities at the next audit to confirm the effectiveness of correction and corrective actions. Verify effectiveness of the actions taken to address previous nonconformities during the audit;
* End-of-day meetings (if applicable) are scheduled with the Management Representative for discussion of the findings;
* If a nonconformance is identified, it will be documented. Please consider it an opportunity to improve your management system;
* A ***Minor*** nonconformance is a nonconformance that judgment and experience indicate is not likely to result in the failure of the system. Give a standard-specific example of a minor nonconformance;
* A ***Major*** nonconformance is the absence or total breakdown of a system to meet a requirement. A number of minor nonconformities against one requirement can represent a total breakdown of the system and thus be considered a major nonconformance. Give a standard-specific example of a minor nonconformance;
* If ***major*** nonconformance is identified, Management Representative will be advised immediately to determine the next step.
* An ***Opportunity for Improvement*** may be identified during the audit. It will be documented, but is not a nonconformance to a requirement and requires no response;
* During the closing meeting, the audit team will make one of the following recommendations (except for pre-assessment and stage 1 audit):
	+ **Recommendation to Certify or To Maintain Certification;**
	+ Unable To Make A Recommendation At This Time - Follow-up Audit Required;
	+ **Recommendation Not To Certify or Not To Maintain Certification.**

These are possible audit team recommendations. Specific recommendations are addressed during the closing meeting.

MSECB's Certification Committee shall make the final decision after correction and corrective actions to all nonconformities are submitted and approved.

Copies of the nonconformities and audit team recommendation will be left with you at the closing meeting;

**Closing Meeting**

The following elements were reviewed during the opening meeting:

* Advising the client that the audit evidence collected was based on a sample of the information; thereby introducing an element of uncertainty;
* The method and timeframe of reporting, including any grading of audit findings;
* The certification body's process for handling nonconformities including any consequences relating to the

status of the client's certification;

* The timeframe for the client to present a plan for correction and corrective actions for any nonconformities identified during the audit;
* Information about the complaint handling and appeal process.

The audit report shall be submitted to MSECB after the last day of the audit. However, there is an exception in cases when the client is in the stage of providing the correction and corrective actions regarding the non-nonconformities issued. In such cases, MSECB shall be notified immediately after the audit.

**Appeals process**

Copies of the nonconformities and audit team recommendation will be left with you at the closing meeting.

Any client may dispute any decision made by MSECB and file a complaint or an appeal against that decision.

Such appeals must be in a written form and will be subjected to MSECB’s procedure for handling appeals and disputes. If MSECB management fails to resolve the issue internally to the client’s satisfaction, the issue will be reviewed by MSECB’s higher committee.

Appeals to decisions may be addressed to the MSECB office contracting the audit activity, or directly to this address:

**MSECB**

1555 boul de l’Avenir, Bureau 306, Laval, Quebec H7S 2N5, Canada

**Audit results in Audit Results section of the report were reviewed during the closing meeting.** **[ ]**

**Copies of the NCs and audit team recommendation are left with client at the closing meeting. [ ]**