

Certification Framework & Syllabus

Scheme Details

Certification Title:	ISO 27001 Certified ISMS Lead Auditor		
Unique Certification Identifier:	CIS LA	Language:	EN
Certification Level:	Advanced		
Links to other qualifications:	Part of the ISO 27001 Pathway		
Date of certification Review:	June 2018	Planned date of next review:	June 2019

Description

Lead Auditor certification is designed to equip delegates with the skills to conduct second-party (supplier) and third-party (external and certification) audits. This certification supports delegates in building their Lead Auditor career, leading a team of auditors and achieving compliance.

Target Audience & Opportunities

This Lead Auditor certification is ideal for anyone involved in, or responsible for auditing, such as:

- Business managers
- Compliance managers
- IT managers
- Quality managers
- Project managers
- Risk managers
- Operations managers
- Supply Chain and Procurement managers
- Business Continuity managers
- Emergency Planners
- Information Security managers
- ISO 22301 or ISO 27001 lead auditors
- IT and other staff, including HR, legal and business users.

This certification is aimed at people who want to achieve a globally recognised lead auditor qualification to further their careers, and at managers who are responsible for the implementation and maintenance their specific discipline.

Prerequisites, Entry Requirements & Restrictions

There are no formal entry requirements. This is a Lead Auditor certification, and it assumes that delegates have a basic knowledge of the relevant subject specific discipline module they intend to select, gained either through practical experience, reading the standard, or by achieving the ISO 27001 Certified ISMS Foundation or ISO 27001 Certified ISMS Lead Implementer certification.

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Scope of Certification

The aim of this certification is to verify the delegate’s understanding of the audit processes that are used by Certification Bodies to audit a Management System for conformance as well as their skills and knowledge to apply an audit procedure according to an ISO management system standard.

Delegates must be able to understand how to use Audits to monitor conformance of a MS and ISO MS Standard, with relevant laws, regulations and contracts, as well as consistent implementation and effective and continual improvement of the MS.

Levels of Knowledge and Assessment

The learning objectives and outcomes in this certification have been designed to develop both low-level and high-level thinking skills. The level of knowledge the candidate must attain to achieve each learning objective is indicated by cognitive levels or k-levels which are:

- Cognitive level 1 (k-level) – Remember
- Cognitive level 2 (k-level) – Understand
- Cognitive level 3 (k-level) – Apply
- Cognitive level 4 (k-level) – Analyse

Learning Objectives and Outcomes

This qualification consists of a number of learning objectives and outcomes, which each delegate will be able to do in order to achieve certification.

Learning Objectives		Cognitive Level
LO1	Explain the purpose and principles of process-oriented auditing	2
LO2	Explain the purpose and relevance to auditing of ISO 19011 and ISO 17021	2
LO3	Explain how management systems standards such as ISO 27001 and ISO 22301 are used as audit criteria	3
LO4	Explain how the audit process is used in 1 st , 2 nd and 3 rd party audits	3
LO5	Explain how to establish and maintain an audit programme	3
LO6	Plan, conduct, report and follow up an audit	4
LO7	Select and lead an audit team	3
LO8	Manage communications with the audit client	4
LO9	Explain the specifics of applying the generic audit process to auditing an ISO MS for conformance with the ISO Annex SL aspects of a requirements standard	3
LO10	Recall ISO Annex SL terms and definitions	1
LO11	Explain how the process approach may be applied in an Annex SL-conformant ISO MS	3
LO12	Plan, conduct, report and follow-up an audit of an ISO MS for conformance with ISO Annex SL	3

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LO13	Identify examples of evidence of conformity/nonconformity with ISO Annex SL	2
LO14	Apply observation and active listening skills in the context of a ISO MS ISO Annex SL audit	3
LO15	Write nonconformities of intent, implementation and effectiveness against relevant clauses of ISO Annex SL	4
LO16	Identify inconsistencies in the ISO MS and write them as nonconformities against relevant clauses of ISO Annex SL	3
LO17	Provide rationale for nonconformity statements (NCs) showing how NCs are relevant to the organisation's ISO MS scope, policy and objectives	4
LO18	Select and lead an ISO Annex SL MS audit team	3
LO19	Understand the audit process used by certification bodies.	2
LO20	Understand an overview of the structure and requirements of ISO 27001.	2
LO21	Use audits to monitor conformance.	4
LO22	Apply continual improvement of the ISMS.	3
LO23	Recognise the purpose and benefits of the audit.	2
LO24	Recognise the role of auditors and standards in audits.	2
LO25	Define common audit terms.	1
LO26	Understand and apply the principles of effective auditing.	3
LO27	Use the critical skills required for performing an audit.	3
LO28	Understand the importance of observing and listening.	2
LO29	Conduct an audit follow-up.	4
LO30	Understand the competence and evaluation of auditors.	2
LO31	Understand and use accredited certification audit specifics.	3
LO32	Select and lead an audit team.	3
LO33	Manage communications with the audit client.	3
LO34	Understand and apply how the audit process is used in first-, second- and third-party audits.	3
LO35	Establish, maintain and analyse an audit programme.	4
LO36	Plan, conduct, report and follow up on an audit.	3
LO37	Use best-practice audit methodology based on ISO 19011.	3

Assessment method

Delegates must undergo the following assessment to demonstrate meeting the learning objectives:

Assessment method:	Online
Assessment type:	Multiple choice
Duration	90 minutes
Pass mark required:	26/40
Pass percentage required:	65%

Examination Conditions

The candidates must be familiar with and agree to following conditions before starting the exam.

- The examination consists of multiple choice questions.
- The number of correct answers for every question is indicated.
- Each correctly answered question results in 1 point; 40 points can be achieved at maximum.
- A wrong answer is awarded 0 points.
- To pass 65% must be achieved to pass the examination.
- The duration of the examination is 90 minutes.
- Questions during the examination are not permitted and may not be answered.
- It is not allowed to use books, papers, mobile phones or other materials and devices, unless explicitly allowed by the proctor.
- The participants are not allowed to talk to each other during the examination.
- Taking notes is only allowed on the paper provided by the proctor. The notes must be submitted after finishing the exam.
- It is strictly forbidden to take screenshots or pictures of the examination questions.
- Copying or spreading of examination contents and questions is strictly forbidden.
- It is strictly forbidden to disclose any information about the examination questions to any third party.
- After finishing the examination, the result will be displayed automatically.
- Results will be communicated via email within one week of the examination.
- Participants are not permitted to use the toilet during the examination.
- The exam may be submitted before the end of the test.
- Participants must leave the test area after submission of the examination.
- Photo identification for verifying the identity (identity card, passport, driving licence) must be presented.
- Any breach of the exam conditions results in immediate termination of the exam. The exam results will be discarded. The participant will not be able to continue the exam. The exam fee will not be refunded.

Granting of the certification

The certification is granted based on the examination results.

The validity of the certification is unlimited. Recertification is not required.

Suspension and withdrawal of certification occurs when the certification has been obtained in an unfair examination procedure using fraudulent examination practices by the participant and/or the proctor.

Reducing or expanding the scope of the certification is not intended.