

**ISO/IEC 17065:2012
WITNESSING OF A PRODUCT CERTIFICATION BODY**
(Please complete one (1) form per Witness)

Date/s of Evaluation:					
Assessor/s & Observers:					
Certification Body					
Area / Field of Operation:					
Client Name:					
Client Address:					
Standard used by Certification Body					
Type of Assessment	Initial	Periodic on-site visit		Re-certification	
	NACE Code	EAC Code		Global GAP	
	Other (specify)				
<p>Key: C = Compliance NC = Non-Compliance N/A = Not Applicable (Assessors are encouraged to comment beside each space)</p>					
CRITERIA		KEY	COMMENTS		
<p>EFFECTIVE PLANNING, PREPARATION AND BRIEFING</p> <p>Was an audit briefing meeting held prior to the audit?</p> <p>Was the client made aware of the audit team in sufficient time prior to the audit?</p> <p>Was the plan communicated and were dates of the audit agreed upon in advance with the client organization?</p>					
<p>AUDIT PLAN</p> <p>Is the audit plan appropriate to the objectives and the scope of the audit?</p> <p>Does the audit plan refer to the following:</p> <p> ✓ Audit objectives</p> <p> ✓ Audit criteria</p>					

<ul style="list-style-type: none"> ✓ Audit scope including identification of the organization and functional units or processes to be audited ✓ Dates and sites ✓ Expected time and duration ✓ Roles and responsibilities of the audit team members and accompanying persons 		
<p>CONDUCT OF OPENING MEETING</p> <p>Has the auditor addressed the following:</p> <ul style="list-style-type: none"> ✓ Introduction of the participants including an outline of their roles? ✓ Confirmation of the scope of certification? ✓ Confirmation of the audit plan (including type and scope of audit, objectives and criteria), any changes and the relevant arrangements with the client such as the date and time for the closing meeting, interim meetings between the audit team and the client's management? ✓ Confirmation that the resources and facilities needed by the audit team are available? ✓ Confirmation of matters relating to confidentiality? ✓ Confirmation of relevant work safety, emergency and security procedures for the audit team? ✓ Confirmation of the availability, roles and identities of any guides and observers? ✓ The method of reporting including any grading of audit findings? ✓ Information about the conditions under which the audit may be prematurely terminated? ✓ Confirmation that the audit team leader and the audit team representing 		

<p>the Certification Body is responsible for the audit and shall be in control of executing the audit plan including audit activities and audit trail?</p> <ul style="list-style-type: none"> ✓ Confirmation of the status of findings of the previous review or audit, if applicable? ✓ Method and procedure to be used to conduct the audit based on sampling? ✓ Confirmation of the language to be used during the audit? ✓ Opportunity for the client to ask questions? 		
<p>CONDUCT OF THE AUDIT</p> <p>Knowledge of the organization?</p> <p>Are auditors collecting information relevant to the audit objectives, scope and criteria by appropriate sampling and verified?</p> <p>Do methods of collecting information include:</p> <ul style="list-style-type: none"> ✓ Interviews ✓ Observation of processes and activities ✓ Review of documentation and records <p>Knowledge of the product and processes?</p> <ul style="list-style-type: none"> ✓ Is the knowledge and skill of the audit team leader and auditors supplemented by technical experts, translators and interpreters? ✓ Are technical experts, translators and interpreters operating under the direction of an auditor? ✓ Is the audit team collecting relevant information as per the audit scope to ensure that certified products, processes and services fulfil specified requirements? <p>Identifying and recording audit findings?</p>		

<ul style="list-style-type: none"> ✓ Is the auditor recording audit findings summarizing conformity and detailing nonconformity and its supporting evidence? ✓ Is a clear finding of nonconformity recorded against a specific requirement of the audit criteria and identify in detail the objective evidence on which the nonconformity is based? ✓ Are nonconformities discussed with the client to ensure that the evidence that the evidence is accurate and that they are understood? ✓ Is the auditor demonstrating knowledge of applicable regulations / legislation? <p>Communication during the audit?</p> <ul style="list-style-type: none"> ✓ During the audit, is the audit team periodically assessing audit progress and exchanging information? 		
<p>PREPARING AUDIT CONCLUSIONS</p> <p>Prior to the closing meeting:</p> <ul style="list-style-type: none"> ✓ Is the audit team reviewing the audit findings and any appropriate information collected during the audit against the audit objectives? ✓ Agree upon audit conclusions taking into account inherent in the audit process? ✓ Identify any necessary follow-up actions? ✓ Confirm the appropriateness of the audit programme or identify any modifications required (e.g. scope, audit time or dates, surveillance, frequency, competency)? 		

<p>CLOSING MEETING</p> <p>Does the closing meeting include the following elements:</p> <ul style="list-style-type: none"> ✓ Is the client advised that the audit was a sampling exercise, thereby introducing an element of uncertainty? ✓ The method and timeframe of reporting including any grading of audit findings? ✓ The Certification Body's processes 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 action for any nonconformities identified during the audit? ✓ The Certification Body's post audit activities? ✓ Information about the complaint handling and appeal processes? ✓ Is the client given opportunity for questions and are diverging opinions regarding findings or conclusions discussed and resolved where possible? ✓ Are any unresolved diverging opinions recorded and referred to the Certification Body? 		
<p>AUDITOR BEHAVIOUR</p> <ul style="list-style-type: none"> ▪ Ethical, i.e. fair, truthful, sincere, honest and discreet. ▪ Open-minded, i.e. willing to consider alternative ideas or points of view. ▪ Diplomatic, i.e. tact in dealing with people. ▪ Observant, i.e. active observation of physical surroundings and activities. ▪ Aware of and able to understand situations. 		

<ul style="list-style-type: none"> ▪ Versatile, i.e. adjust readily to different situations. ▪ Tenacious, i.e. persistence, focus on achieving objectives. ▪ Decisive, i.e. reaching timely conclusions based on logical reasoning and analysis. ▪ Self-reliant, i.e. acting and functioning independently while interacting effectively with others. ▪ Professional, i.e. exhibit a courteous conscientious and generally business like demeanour in the workplace. ▪ Fortitudinous, i.e. willing to act responsibly and ethically even though these actions may not always be popular and may sometimes result in disagreement or confrontation. ▪ Well organized, i.e. effective time management, prioritization, planning and efficient. ▪ Open to improvement, i.e. learning from situations, striving for better audit results. ▪ Culturally sensitive, i.e. observe and respect cultural traditions of the auditee. ▪ Questioning open questions (when, why, what, etc.) or closed questions (yes and no type of questions). 		
---	--	--

Additional/General Comments *(This space may also be used to expand on comments in specific sections)*

RECOMMENDATION / CONCLUSION		
Date of receipt of the CB's audit report		
Signed: Technical Assessor:		Date:
Signed : Audit Report Reviewer		Date: