

SADCAS Ref. No:							
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ISO/IEC 17021-1:2015 - Witnessing of a Certification Body

1. Organization			
2. Field/Area			
3. Type of audit (initial/surveillance/other)		Time/ Date:	
4. Name of person observed / Role in the audit			
5. Client Name			
6. Client Physical Address			
7. EAC Code:		NACE Code:	

EVALUATION

CRITERIA	KEY		COMMENTS
	C	NC	
<p><i>Effective planning, preparation and briefing:</i></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 are 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> <ul style="list-style-type: none"> • The audit objectives • The audit criteria • The 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 			

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<p><i>Conduct the opening meeting</i></p> <p>Has the auditor addressed all 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, 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 of formal communication channels between the audit team and the client? • 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 the CB is responsible for the audit and shall be in control of executing the audit plan including audit activities and audit trails? • Confirmation of the status of findings of the previous review of audit if applicable? • Method and procedure to be used to conduct the audit based on sampling? 			

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<p>Conduct the opening meeting(cont.)</p> <ul style="list-style-type: none"> Confirmation of the language to be used during the audit? Confirmation that during the audit the client will be kept informed of audit progress and any concerns? Opportunity for the client to ask questions? <p>Conduct of the audit</p> <p>Collecting and verifying information</p> <ul style="list-style-type: none"> Are auditors collecting information relevant to the audit objectives, scope and criteria by appropriate sampling and verified? <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>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? Is the team leader reassigning work as needed between the audit team members? Is the team leader periodically communicating the progress of the audit and any concerns to the client? <p>Where the available audit evidence indicates that the audit objectives are unattainable or suggest the presence of an immediate and significant risk:</p> <ul style="list-style-type: none"> Is the audit team leader reporting this to the client and where possible to the CB to determine appropriate action? 			

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<ul style="list-style-type: none"> Was the outcome of the action reported to the CB (follow up in the office)? <p>Any need for changes to the audit scope which become apparent as on-site auditing activities progress, are they reviewed with the client and reported to the CB?</p> <p>Identifying and recording audit findings</p> <ul style="list-style-type: none"> Is the audit team recording audit findings summarizing conformity and detailing non-conformity and its supporting evidence? Are opportunities for improvement recorded where not prohibited by the requirements of a management system certification scheme? 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 is accurate and that they are understood? Is the audit team leader attempting to resolve any diverging opinions between the audit team and the client concerning audit evidence or findings and are unresolved points recorded? <p>Knowledge and skills for auditing a specific management system</p> <ul style="list-style-type: none"> Is the knowledge and skills 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? 			

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<p>Organization</p> <ul style="list-style-type: none"> • Terminology related to the specific operation of the organization? • Process related to the specific operation of the organization? • Technology related to the specific operation of the organization? • Statistical techniques related to the specific operation of the organization? • Products/services related to the specific operation of the organization? • Risk related to the specific operation of the organization? • Stakeholders related to the specific operation of the organization? 			
<p>Understanding of applicable laws, requirements to which the client subscribes relevant to the scope?</p>			
<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? • Does the audit team agree upon audit conclusions taking into account inherent in the audit process? • Does the audit team identify any necessary follow-up actions? • Does the audit team confirm the appropriateness of the audit programme or identify any modifications required (e.g. scope, audit time or dates, surveillance frequency, competence)? 			

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<p>Closing meeting</p> <p>Is the closing meeting formal? Are attendees recorded?</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 CB's processes for handling non-conformities 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 non-conformities 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 CB? <p>Auditor desired personal behaviours</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 			

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<p>Auditor desired personal behaviours (cont.)</p> <ul style="list-style-type: none"> • Aware of and able to understand situations • 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. observe and respect cultural traditions of the auditee • Questioning open questions (when, what, why, etc.) or closed questions (yes and no type of questions) 			
<p>Comments</p>			

Recommendation / Conclusion (Please comment if the auditor is competent)

Name of Evaluator		
Signed: Evaluator		Date:
Signed: Team Leader:		Date: