



**ISO/IEC 17021
Activity Witnessing Form for
Management System Certification**

F07/08B

Name of Certification Body							
Name of Organization being audited							
Physical Address							
Field of operation							
Assessor/s, Technical Experts & Observers							
Name of person(s) observed Role in the audit:							
Date of Evaluation							
Date(s) of audit & Duration (Man-days)							
IAF Code							
Scope							
Standard against which the audit carried out							
Audit Type	Certification audit (Stage 1 or 2)/Recertification audit/Surveillance-audit						
This Report covers the following :							
Assessment Type	<table border="1"> <tr> <td>Initial</td> <td></td> <td>Follow up</td> <td></td> <td>Other</td> <td></td> </tr> </table>	Initial		Follow up		Other	
Initial		Follow up		Other			
Organization Audited: its activities (products, processes, customers and standards)							

Criteria	C NC NA	Comments
Evaluation of the Previous stages in the certification process (Based on the documents provided by the CB:		
Contract review and man-days estimation:		
Doc review/Stage 1/ previous Surveillance audit report:		
Qualification of CB's auditors for the scope of the auditee organization and their allocation:		
Effective Planning, Preparation and Briefing:		
Was an audit briefing meeting held prior to the audit?		
Was the client made aware of the audit team in Sufficient time prior to the audit?		
Was the plan communicated and are dates of the audit agreed upon, in advance with the client organisation?		
Audit Plan		

<ul style="list-style-type: none"> • dates and sites • expected time and duration • the roles and responsibilities of the audit team members and accompanying persons 		
<p>Conduct of Opening Meeting</p>		
<p>Conduct of the audit 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? • Do methods of collecting information include: • 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, is the audit team leader</p>		
<ul style="list-style-type: none"> • reporting this to the client and where possible to the CB to determine appropriate action • 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,</p>		
<p>are they reviewed with the client and reported to the CB?</p>		
<ul style="list-style-type: none"> • dates and sites 		

<ul style="list-style-type: none"> • expected time and duration • the roles and responsibilities of the audit team members and accompanying persons 		
<p>Identifying and Recording Audit findings</p>		
<ul style="list-style-type: none"> • Is the audit team recording audit findings summarising conformity and detailing nonconformity 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 non-conformities 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>		
<p>Is the knowledge and skill of the audit team leader and auditors supplemented by technical experts, translators and interpreters?</p> <p>Are technical experts, translators and interpreters operating under the direction of an auditor?</p>		
<p>Organisation</p>		
<p>Terminology related to the specific operation of the Organisation</p>		
<p>Process related to the specific operation of the Organisation</p>		
<p>Technology related to the specific operation of the Organisation</p>		
<p>Statistical techniques related to the specific operation of the organisation</p>		
<p>Understanding of applicable laws, requirements to which the client subscribes relevant to the scope</p>		

Preparing Audit Conclusions

Prior to the closing meeting,

- Is there any comments on CB planning (determination of audit time, audit programme – if available - and audit plan);
- The audit team (competence of the team, job assignment, scope coverage and effectiveness of the audit);
- Which auditing technique used? (interview, observation of processes and activities, review of documentation and records, sampling, establishment of audit trails, ability to collect, verify and record evidence of conformity and non conformity in line with the required elements for the type of audit, appropriateness of grading of findings, handling of previous findings, reporting, opening and closing meetings and debriefs);
- comments on CB findings and conclusions in relation to the client MS conformity and implementation, and significant findings not reported or identified by the CB's audit team, if applicable;
- others (e.g. whether impartiality was maintained, safety arrangements, confidentiality, regulatory or legal compliance, post-witnessing activities if included, conformity with the CB procedures);
- findings and conclusions identified during the witnessed audit; and
- a conclusion on the reliability of the CB's report to reflect the actual audit findings and conclusions
- 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 , competence)?		
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Closing Meeting

<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 anygrading of audit findings • the CB'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 actionforanynonconformities identified during the audit • the certification body's post audit activities • Information about the complaint handling and appealprocesses • 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? 		
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Understanding of applicable laws, requirements to which the client subscribes relevant to the scope		
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Auditor Performance Report

(fill one for each audit team member evaluated, including the team leader in the role of auditor)

<u>Name of Auditor</u>		
<u>Date(s) of evaluation</u>		

General Comment

- Was work systematically approached and done?
- Did the auditors select an appropriate sample and was this consideration in your opinion to be representative
- Was client documentation referred to during the course of the audit?
- did the lead auditor control the audit ?
- Was the auditor sidetracked?
- Was body language adequate and conducive to the audit?
- Performance under pressure?
- Ability to adapt as necessary?
- was the appearance of the auditor appropriate and suitable for the assessment?

Comments

Recommendation/Conclusion:(please comment if the Auditor is Competent)

Assessor Signature

Date