

1 PURPOSE AND SCOPE

- 1.1 Sets out guidance to ASI assessors on the process of witnessing CAB auditors to determine their competency and degree of conformity with CAB procedures and certification scheme requirements while they undertake certification audits.

2 TERMS AND DEFINITIONS

- 2.1 All terms and definitions are provided in the ASI Vocabulary.

3 ASSOCIATED DOCUMENTATION

3.1	Standards and Policies	ISO 17011:2004 ISO 19011:2002 ISO/IEC Guide 65:1996
3.2	Procedures, Guidelines	ASI-DIR-20-007-Audit and auditor time-FSC FM program v2.0 ASI-GUI-20-106-Nonconformities (NCs) v2.0 ASI-PRO-20-106-Sampling v2.0 IAF Guidance
3.3	Checklists, Templates, etc.	ASI Checklists (as appropriate to scope) ASI CAR Template Assessment Report

4 GUIDANCE

- 4.1 The ASI assessment team shall observe the CAB audit team (including subcontractors) performing audits, a process known as witnessing. The sample size and make up of the sample shall be determined by the ASI lead assessor following ASI Guidance on Sampling and Assessment Duration.
- 4.2 The purpose of witnessing CAB performing field audits of their clients is to collect objective evidence to assist in the determination of CAB staff competence including:
- 4.2.1 Verification on site of the effectiveness of a CAB's documented system and procedures, especially with regard to the assignment of competent audit teams;

- 4.2.2 Observation of the CAB's audit teams, as they perform an audit, to evaluate if they:
- a) Conform with the CAB's own documented system and procedures,
 - b) Conform to the requirements and recommendations of certification scheme requirements, ISO/IEC Guide 65 requirements, relevant IAF Guidance, ISO 19011:2002 and, as applicable, any relevant sector specific requirements.
- 4.3 ASI assessors should raise NCs, if any identified, against the CAB's training program and competency management system rather than against individual members of the CAB audit team.
- 4.4 Auditor and audit team competency shall be determined after evaluation of as the following elements:
- 4.4.1 Audit team preparedness for the audit;
 - 4.4.2 Auditing technique and conformity with the guidance on auditing provided by ISO 19011;
 - 4.4.3 Knowledge of the certification requirements;
 - 4.4.4 Knowledge of and adherence to the CAB's own documented system and procedures;
 - 4.4.5 Knowledge of the industry being audited;
 - 4.4.6 Personal attributes such as cultural sensitivity and use the appropriate language for the setting in which they operate.
- 4.5 Prior to the CAB certification audit commencing, the ASI lead assessor shall hold an opening meeting with the CAB's audit team, at which the ASI assessor shall explain the objectives of witnessing and the processes to be followed during the witnessed audit. This may be conducted via phone or internet if circumstances do not allow a direct meeting prior to the audit. The CAB auditor shall be asked to explain the witnessing procedure to the client being audited during the CAB's opening meeting.
- 4.6 The ASI lead assessor and assessor(s) shall not lead the assessment in which the CAB auditor is being witnessed. However, the ASI assessment team can ask the CAB auditor or client for clarification and additional information if necessary to ensure a clear understanding of the evaluation process taking place.
- 4.7 In line with ISO 19011, the CAB's audit team should immediately inform the client and the ASI assessment team of any NC that has been detected. If the ASI assessment team witness NCs which do not appear to have been detected, addressed or communicated to the client by the CAB's audit team, the ASI lead assessor should inform the CAB's lead auditor of the NCs which have been witnessed indicating that ASI will issue a NC for lack of evaluation of the relevant certification requirement.
- 4.8 There may be situations where the ASI assessment team detects NCs during the witnessing process which are not reported by the CAB's audit team to the client where the ASI lead assessor may choose to inform the CAB's audit team about such findings during the post-audit closing meeting (section 4.11) rather than in front of the CAB's client.

- 4.9 The ASI Auditor Performance Checklist should be used to record auditor performance during the witnessed assessment.
- 4.10 All activities from the opening meeting through to the closing meeting should be witnessed. Any NC found during the witnessed audit shall be recorded in ASI report.
- 4.11 The assessor shall hold a closing meeting with the auditor(s) being witnessed as soon as practicable after the CAB's closing meeting with their client. The meeting may even be held at the client's premises but away from the presence of the CAB's client. The assessor should provide clear findings to the witnessed auditor(s) and shall give the evaluated person(s) the opportunity to comment on and discuss the findings.
- 4.12 The assessor shall, in light of findings during the witnessed audit, consider whether the CAB's methods of setting criteria for, and of assessing auditor competency, are sufficient to address accreditation requirements for the use of competent audit teams and auditors.
- 4.13 The ASI assessment team shall use the ASI Checklists (as appropriate to the scope of the witnessed audit) to record any observations. Photographic or other materials shall be clearly cross referenced to provide an adequate audit trail.
- 4.14 The assessor shall prepare notes as necessary for inclusion in the ASI Witnessed Assessment Report. ASI should produce one ASI Witnessed Assessment Report for each assessment. ASI lead assessors may choose to include in the report's findings a review of the CAB's audit report, if appropriate.
- 4.15 A draft of the ASI report should be submitted to the CAB for review and comment. The CAB has 30 days to submit its comments. If no comment is sent to the ASI APM or ASI lead assessor within the 30 days period, the ASI draft report is considered as final. If comments are submitted within 30 days, the CAB comments are taken into account to finalise the ASI report and the ASI APM should respond to the CAB comments as appropriate.
- 4.16 ASI assessment team should record all witnessed NCs and OBS in the ASI report for the assessment.

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