

ACI Global Certification Assessment and Examination Centre
Witness Skill Examination Checklist

**Lead Auditor/Auditor Quality Management Systems ISO 9001:2015 & ISO 17021:2011 and
19011:2011**

Organisation/s where skill assessment was performed:	
Dates skill assessment performed:	

Conduct Opening Meeting		
Skills - Introduce each of the following topics to demonstrate your Skill	Demonstrated Yes or No	Competent Yes or No
<i>Demonstrate planning and understanding of the business under audit;</i>		
<i>How the audit will be conducted;</i>		
<i>Confidentiality Issues addressed;</i>		
<i>Presentation of Auditors if applicable;</i>		
<i>Explain that Guides will be needed at all times;</i>		
<i>Scope;</i>		
<i>Objectives;</i>		
<i>Confirm audit activities within the plan;</i>		
<i>Confirm audit Timetable, Breaks etc;</i>		
<i>Interview schedules;</i>		
<i>Explain auditing is only a Sampling Process;</i>		
<i>Explain that issues will be discussed as they arise;</i>		
<i>Timing of close out of possible NCR's;</i>		
<i>Advise client of appeals procedure;</i>		
<i>Request advice related to emergency evacuation procedure.</i>		
<i>Ask for questions</i>		

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Personnel Interviewed, Communications and security of Information		
Skills - Introduce each of the following topics before demonstrating your Skill by (Showing you have asked the auditee the question and received a satisfactory response to your question or questions)	Demonstrated Yes or No	Competent Yes or No
<i>Interviews undertaken see (Audit Requirements)</i>		
<i>Interview techniques demonstrated</i>		
<i>Team conferring during the audit - Team Leader Only</i>		
<i>Trainees assisted where necessary - Team Leader Only</i>		
<i>Notes Secured</i>		
Audit requirements - Quality Management Systems		
ISO 9001:2015 Requirements – Cover each of the Requirements (and associated sub clauses) of the standard by (Interviewing the auditee for evidence of conformance)	Demonstrated Yes or No	Competent Yes or No
<i>Context of the Organisation</i>		
<i>Leadership</i>		
<i>Planning</i>		
<i>Support</i>		
<i>Operation: Pay particular attention to 8.2.2 and 8.2.3 regarding applicable requirements for statutory and regulatory requirements.</i>		
<i>Performance and Evaluation</i>		
<i>Improvement</i>		
<i>A minimum of two clauses (and associated sub clauses) must be addressed at the first initial skills assessment with all clauses being covered off through the period of the CPD agreement.</i>		
Closing Meeting		
Skills - Introduce each of the following topics to demonstrate your Skill	Demonstrated Yes or No	Competent Yes or No

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<i>Audit outcomes presented</i>		
<i>Roles assigned - Team Leader only</i>		
<i>Audit outcomes understood by the auditee</i>		
<i>Any specific situations encountered during the audit discussed</i>		
<i>Follow up measures if applicable</i>		
<i>Auditee thanked</i>		

Candidate is Competent / Not Yet Competent (please circle one)

Comments / Requirements to gain competency where applicable:

Witness Examiner to Complete

- ☐ I confirm the above Report is a true reflection of the Skills demonstrated by the Candidate as verified and validated by conducting the Witness skill assessment;
- ☐ I confirm there are no undeclared potential conflicts of interest in the conduct of the above skills examination;
- ☐ I confirm I have checked the auditor has the correct industry code/s;
- ☐ I confirm I have examined the candidates record of learning to ensure all required audit checklists have been assessed and marked as competent;
- ☐ I confirm that I have checked the candidates record of learning to verify that the candidate meets the requirements of Clause 7 of ISO 19011;
- ☐ I confirm that I am an approved ACI Global Certified Skill Examiner, and I have conducted this examination in accordance with ACI Global Certification requirements as an International ISO Personal Certification Service Provider (If not a ACI Global Certification Skills Examiner please outline your Registration details below).

Skills Examiners Registration Details. _____

- ☐ I confirm I have provided a copy of the examination to the candidate.

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Examiner: _____

Signature: _____

Date: _____

CANDIDATE TO COMPLETE

☐ I confirm I conducted the skill assessment in line with JAS-ANZ Witness Guidelines and have used the secure ACI Global Certification FTP link to upload the required video/s to the secure ACI Global Certification platform if applicable

☐ I confirm the above Report is a true reflection of the Skills demonstrated by me;

☐ I confirm there are no undeclared potential conflicts of interest in the conduct of the above skill examination;

☐ I confirm that my record of learning shows I have met all the requirements of clause 7 of ISO 19011;

☐ I confirm I have been provided a copy of the skill examination and understand any requirements to gain competency where applicable;

☐ I confirm that I grant permission to provide this completed skills assessment to Independent third party certification bodies if required;

Candidate: _____

Signature: _____

Date: _____