

## Options for a CB to Conform With the Requirement for Initial Assessment of an Auditor's Performance During an On-site Audit

### PREFACE

ISO/IEC Guide 62 for QMS certification bodies (CBs), clause 2.2.3.1b, ISO/IEC Guide 66 for EMS CBs, clause 4.2.3.1b, and ISO/IEC DIS2 17021, 7.2.4, requires CBs to initially assess the performance of an auditor during an on-site audit. Consistent with the definition of competence in ISO 19011:2002, the requirement is to confirm that an individual has "demonstrated personal attributes and demonstrated ability to apply knowledge and skills" as a management system auditor. Stated another way, this requirement is to make sure an individual demonstrates the ability to conduct an audit in a generic sense. This Advisory is to identify options for a CB to fulfill these requirements.

- This requirement may be fulfilled by the CB's process having any new auditor witnessed by another competent person during an on-site audit.
- For auditors that work for other accredited CBs, this requirement may be fulfilled by the CB's process having means of obtaining and using assessments performed by another accredited CB.
- Some auditor certification bodies that are accredited to ISO/IEC 17024:2003 include an assessment of an auditor's performance during an on-site audit as part of the certification process. Therefore, this requirement may be fulfilled by the CB's process having means of obtaining and using assessments performed by an accredited auditor certification body.

### ADVISORY

For each type of management system (for example, QMS, EMS, OHSMS, etc.), ANAB will recognize a CB's process as conforming to the requirement for an initial on-site observation specified in ISO/IEC Guide 62:1996, 2.2.3.1b, or ISO/IEC Guide 66:1999, 4.2.3.1b, or ISO/IEC DIS2 17021, 7.2.4, based on one of the following options:

1. For an auditor witnessed by competent personnel of the CB, or
2. For an auditor witnessed by competent personnel of another accredited CB on the condition that the CB is able to obtain a copy of the on-site evaluation results from the other accredited CB and maintains this as part of the CB records for the auditor, or
3. For an auditor who has a current and valid certification by an accredited (ISO/IEC17024:2003) thirdparty personnel certification body that has incorporated in the appropriate auditor certification scheme a competency based on-site skill examination, on the condition that the CB is able to obtain from the personnel certification body a copy of the on-site evaluation results and maintains this as part of the CB records for the auditor.

*Note: This Advisory does not apply to the requirements for subsequent monitoring; a CB will be expected to include on-site observation as part of its subsequent monitoring of each auditor. This Advisory does not relate to the need for a CB to ensure that an auditor is fully aware of a CB's specific forms and processes; it is recognized that a CB can ensure this without having to witness an auditor on-site. This Advisory relates to the demonstration of generic auditing skills; a CB needs to ensure that an audit team possesses appropriate competence for specific clients.*

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### public contact

President & Chief Executive Officer  
Michael Carmody  
mcarmody@rabqsa.com

Director Business Development  
Peter Holtmann  
pholtmann@rabqsa.com

**www.rabqsa.com**