

SECTION A – This Witnessing Lead Auditor performance report must be completed by a SAATCA registered Lead Auditor who is different person from your Guiding/Mentoring Lead Auditor

1. Details of the Witnessing Lead Auditor:

Lead Auditor Name:		Registration No.:	
Occupation/Position:		Registered Scheme:	
Tel:		Fax:	
		Cell:	
		E-mail:	

Declaration of any relationship with the Applicant that may influence the provision of an unbiased report:

Responsibilities of the witnessing Lead Auditor in completing the auditing performance reports:

Witnessors assigned with the responsibility for witnessing the performance of trainee auditors and lead auditors have the following responsibilities:

- a) identify and communicate to the applicant, the applicant's employer (if applicable) and their employer (if applicable) any potential conflict of interest in assessing the performance of the applicant;
- b) ensure they are able to provide an unbiased Auditor Performance Report and/or Lead auditing Performance Report(s);
- c) witness audits and assess the applicant's ability to perform competently in accordance with the requirements of ISO 19011 through a combination of document review, observation, and discussion with the applicant; and
- d) co-operating fully in completing the report in a format required by the auditor certification body for each audit witnessed.

In the conduct of these responsibilities witnessing lead auditors:

- a) may or may not be a member of the audit team, but in any event, the focus of the witnessor shall be on evaluating the performance of the applicant;
- b) shall comply with the SAATCA Code of Conduct;
- c) shall only attest to the applicant's ability to perform activities actually witnessed;
- d) may perform the assessment of document review and audit reporting activities off-site.

The witnessed audit(s) shall cover the entire management system and all phases of the audit process and shall be sufficient to enable the witnessor(s) to determine the applicant's:

- a) competence in auditing the aspects of ISO 9001 or an equivalent QMS standard;
- b) competence in performing a complete QMS audit; and personal attributes identified in ISO 19011 and ISO/IEC 17021

Auditing Performance Reports shall, as a minimum, include an applicant's performance against the following criteria:

- a) knowledge of the audit standard;
- b) ability to effectively undertake the document review process;
- c) knowledge and skills in the application of the on-site audit process;
- d) ability in interpreting the application of the audit standard as it applies to the auditee's business;
- e) ability to communicate effectively with the auditee and other members of the audit team;
- f) ability to contribute to the audit findings and in the preparation of the audit report;
- g) statement of applicant's suitability for certification to this grade.

2. Details of Applicant:

Applicant Name:		Scheme applying for: (QMS, EMS, OHSAS, FSMS etc)	
Occupation/Position:		Organization:	
Tel:		Fax:	
		Cell:	
		E-mail:	

3. Details of Witnessed Audit:

Date of witnessed audit:	
Company audited:	
Scope of the audit (e.g. FS HACCP):	
Role of applicant in audit:	Auditor <input type="checkbox"/> Internal Auditor <input type="checkbox"/> Lead Auditor <input type="checkbox"/>
Details of the team members:	1. <input type="text"/>
	2. <input type="text"/>
	3. <input type="text"/>
	4. <input type="text"/>

SECTION B : For All Auditor Evaluations

Personal behaviour:	√ tick if accomplished	Comments
Ethical , i.e. fair, truthful, sincere, honest and discreet;	<input type="checkbox"/>	
Open-minded , i.e. willing to consider alternative ideas or points of view;	<input type="checkbox"/>	
Diplomatic , i.e. tactful in dealing with people;	<input type="checkbox"/>	
Observant , i.e. actively observing physical surroundings and activities;	<input type="checkbox"/>	
Perceptive , i.e. aware of and able to understand situations;	<input type="checkbox"/>	
Versatile , i.e. able to readily adapt to different situations;	<input type="checkbox"/>	
Tenacious , i.e. persistent and focused on achieving objectives;	<input type="checkbox"/>	
Decisive , i.e. able to reach timely conclusions based on logical reasoning and analysis;	<input type="checkbox"/>	
Self-reliant , i.e. able to act and function independently;	<input type="checkbox"/>	
Acting with fortitude , i.e. able to act responsibly and ethically, even though these actions may not always be popular and may sometimes result in disagreement or confrontation;	<input type="checkbox"/>	
Open to improvement , i.e. willing to learn from situations, and striving for better audit results;	<input type="checkbox"/>	
Culturally sensitive , i.e. observant and respectful to the culture of the auditee;	<input type="checkbox"/>	
Collaborative , i.e. effectively interacting with others, including audit team members and the auditee's personnel.	<input type="checkbox"/>	
Analytical (Where applicable to scheme):	<input type="checkbox"/>	
Evaluation of performance (Where applicable to scheme):	<input type="checkbox"/>	

Scoring Legend	A: Exceeds requirement/expectation	B: Adequately meets requirements	C: Needs to improve	D: Does not meet requirement	A	B	C	D
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SECTION C : For All Auditor Evaluations

1.	Generic knowledge and skills of management system auditors				
1.1	Audit principles, procedures and methods. The auditor has the ability to:				
1.1.1.	apply audit principles, procedures, and methods;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.2.	plan and organize the work effectively;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.3.	conduct the audit within the agreed time schedule;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.4.	prioritize and focus on matters of significance;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.5.	collect information through effective interviewing, listening, observing and reviewing documents, records and data;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.6.	understand and consider the experts' opinions;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.7.	understand the appropriateness and consequences of using sampling techniques for auditing;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.8.	verify the relevance and accuracy of collected information;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.9.	confirm the sufficiency and appropriateness of audit evidence to support audit findings and conclusions;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.10.	assess those factors that may affect the reliability of the audit findings and conclusions;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.11.	use work documents to record audit activities;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.12.	document audit findings and prepare appropriate audit reports;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.13.	maintain the confidentiality and security of information, data, documents and records;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.14.	communicate effectively, orally and in writing (either personally, or through the use of interpreters and translators);	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.15.	understand the types of risks associated with auditing;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.16.	able to confirm the status of findings of the previous review or audit;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.17.	has the ability to use checklists effectively;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.18.	has sound questioning techniques;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.1.19.	able to address questions raised by auditee effectively.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2	Management system and reference documents: Ability to comprehend the audit scope and apply audit criteria, and are able to:				
1.2.1.	apply management system standards or other documents used as audit criteria;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2.2.	apply the management system standards by the auditee and organizations, as appropriate;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2.3.	interaction between the components of the management system;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2.4.	recognize the hierarchy of reference documents;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2.5.	apply the reference documents to different audit situations;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.2.6.	understand scheme/discipline related terminology.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3	Organizational context: Ability to comprehend the auditee's structure, business and management practices covering the following:				
1.3.1.	organizational types, governance, size, structure, functions and relationships;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3.2.	general business and management concepts, processes and related terminology, including planning, budgeting and management of personnel;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.3.3.	cultural and social aspects of the auditee.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4	Applicable legal and contractual requirements and other requirements. Knowledge and skills specific to the jurisdiction or to the auditee's activities and products covering the following:				
1.4.1.	laws and regulations and their governing agencies;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4.2.	basic legal terminology;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1.4.3.	contracting and liability.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Risks associated with the audit process:				
2.1	The Auditor understands the risks associated with the audit process.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SECTION D : Only applicable for candidates applying for Lead Auditor Grade

1.	Ability to balance the strengths and weaknesses of the individual audit team members.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	Ability to develop a harmonious working relationship among the audit team members.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Ability to manage the audit process, including:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.1.	planning the audit and making effective use of resources during the audit;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.2.	managing the uncertainty of achieving audit objectives;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.3.	protecting the health and safety of the audit team members during the audit, including ensuring compliance of the auditors with the relevant health, safety and security requirements;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.4.	organizing and directing the audit team members;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.5.	providing direction and guidance to auditors-in-training;	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Scoring Legend **A:** Exceeds requirement/expectation **B:** Adequately meets requirements **C:** Needs to improve **D:** Does not meet requirement **A** **B** **C** **D**

SECTION D : Only applicable for candidates applying for Lead Auditor Grade...continued

3.6. preventing and resolving conflicts, as necessary;				
3.7. compiling all the audit findings;				
4. Ability to conduct the opening meeting.				
5. Ability to represent the audit team in communications with the person managing the audit programme, audit client and auditee.				
6. Ability to report to the keep the auditee informed of the audit process and any concerns.				
7. Ability to lead the audit team to reach the audit conclusions including the grading of audit findings.				
8. Ability to conduct the closing meeting.				
9. Ability to prepare and complete the audit report.				

SECTION E : For All Auditor Evaluations

Indicate areas not witnessed (*separate reports will be required for this*):

Confirmation - please mark the appropriate statement:

- I would recommend this applicant be certificated as a SAATCA auditor. →
- I would recommend this applicant be certificated as a SAATCA lead auditor. →
- I would not recommend this applicant be certificated as a SAATCA auditor. →
- I refrain from commenting on whether this applicant be certificated as a SAATCA auditor. →

Strengths - (Where specific mention is applicable):

Weaknesses - (Where specific mention is applicable):

Date: DD/MM/YYYY

..... Date:

Signature Witnessing Lead Auditor: