

SQAS-AFRICA

Witnessing Auditor Performance Report Form

(This form shall be completed by an SQAS-AFRICA Accredited Auditor)

SECTION A – Details of Witnessing Auditor, Applicant and Witnessed Audit						
1. Details of the Witnessing Auditor						
Auditor Name:				Registration No.		
Tel:		Fax:		E-Mail:		
Declaration of any relationship with the Applicant that may influence the provision of an unbiased report:						
Responsibilities of the Witnessing Auditor in completing the auditing performance reports						
Witnessing auditors assigned with the responsibility for witnessing the performance of trainee auditors have the following responsibilities:						
a) identify and communicate to the applicant, the applicant’s employer (if applicable) and CAIA, any potential conflict of interest in assessing the performance of the applicant;						
b) ensure they are able to provide an unbiased Auditor Performance Report;						

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- c) witness audits and assess the applicant's ability to perform competently in accordance with the requirements of ISO 19011 through a combination of documentation review, observation, and discussion with the applicant; and
- d) co-operating fully in completing the report in a format required by CAIA for each audit witnessed.

In the conduct of these responsibilities witnessing 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 Code of Conduct: Witnessing Auditor document;
- c) shall only attest to the applicant's ability to perform activities actually witnessed;
- d) may perform the assessment of documentation 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.

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

- a) knowledge of the audit standard;

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- 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 accreditation to this category.

2. Details of Applicant						
Applicant Name:				Category applied for (Transport Service, Tank Cleaning or Warehousing)		
Occupation/ Position:			Organisation			
Tel:		Fax:		Email:		
3. Details of Witnessed Audit:						
Date of witnessed audit						
Company audited						

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Scope of the audit (e.g. SQAS-AFRICA Transport Service)	
Role of applicant in audit	<input type="checkbox"/> Observer <i>(the first 6 days when a trainee auditor observes audits)</i> <input type="checkbox"/> Trainee Auditor <i>(the last 14 days when a trainee auditor audits in the presence of the certified SQAS-AFRICA auditor)</i>
Details of the team members	1. 2. 3. 4.

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SECTION B: Trainee Auditor Evaluation		
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"/>	

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SECTION B: Trainee Auditor Evaluation		
Personal behaviour	✓ tick if accomplished	Comments
tenacious i.e. persistent and focused on achieving objectives;	<input type="checkbox"/>	
decisive , i.e. able to reach conclusions timeously 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"/>	

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SECTION B: Trainee Auditor Evaluation		
Personal behaviour	✓ tick if accomplished	Comments
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	<input type="checkbox"/>	
Evaluation of performance	<input type="checkbox"/>	

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SECTION C: Trainee Auditor Evaluation											
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"/>	<input type="checkbox"/>					
1.1.2.	plan and organise the work effectively	<input type="checkbox"/>	<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"/>	<input type="checkbox"/>					
1.1.4.	prioritise and focus on matters of significance	<input type="checkbox"/>	<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"/>	<input type="checkbox"/>					
1.1.6.	understand and consider the experts' opinions	<input type="checkbox"/>	<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"/>	<input type="checkbox"/>					

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1.1.8.	verify the relevance and accuracy of collected information					<input type="checkbox"/>	<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"/>	<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"/>	<input type="checkbox"/>	
1.1.11.	use work documentation to record audit activities					<input type="checkbox"/>	<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"/>	<input type="checkbox"/>	
1.1.13.	maintain the confidentiality and security of information, data, documentation and records					<input type="checkbox"/>	<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"/>	<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"/>	<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"/>	<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"/>	<input type="checkbox"/>	

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1.1.18.	has sound questioning techniques					<input type="checkbox"/>	<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"/>	<input type="checkbox"/>	
1.2.	Management system and reference documentation: Ability to comprehend the audit scope and apply audit criteria, and are able to:										
1.2.1.	apply management system standards or other documentation used as audit criteria					<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2.2.	apply the management system standards by the auditee and organisations, as appropriate					<input type="checkbox"/>	<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"/>	<input type="checkbox"/>	
1.2.4.	recognise the hierarchy of reference documents					<input type="checkbox"/>	<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"/>	<input type="checkbox"/>	
1.2.6.	understand scheme/discipline related terminology					<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.3.	Organisational context: Ability to comprehend the auditee's structure, business and management practices covering the following:										

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1.3.1.	organisational types, governance, size, structure, functions and relationships					<input type="checkbox"/>	<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"/>	<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"/>	<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"/>	<input type="checkbox"/>	
1.4.2.	basic legal terminology					<input type="checkbox"/>	<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"/>	<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"/>	<input type="checkbox"/>	

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SECTION D: Trainee Auditor Evaluation											
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"/>	<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"/>	<input type="checkbox"/>	
3.	Ability to manage the audit process, including:					<input type="checkbox"/>	<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"/>	<input type="checkbox"/>	
3.2.	managing the uncertainty of achieving audit objectives					<input type="checkbox"/>	<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"/>	<input type="checkbox"/>	
3.4.	organising and directing the audit team members					<input type="checkbox"/>	<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"/>	<input type="checkbox"/>	

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



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SECTION E: Trainee Auditor Evaluation
Indicate areas not witnessed (separate reports will be required for this):

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Confirmation - please mark the appropriate statement	
I would recommend this applicant be certified as a SQAS-AFRICA auditor	<input type="checkbox"/>
I would not recommend this applicant be certified as a SQAS-AFRICA auditor	<input type="checkbox"/>
I refrain from commenting on whether this applicant can be accredited as a SQAS-AFRICA auditor	<input type="checkbox"/>
Strengths (Where specific mention is applicable)	
Weaknesses (Where specific mention is applicable)	
Signature Witnessing Auditor:	
Date of completion:	