



AMS ISAAP AMS Auditor Criteria

ISAAP 1C

This document outlines the qualification levels, audit experience, and continual professional development requirements for persons performing audits and assessments on behalf of AMS.

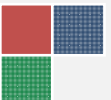


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REVISION HISTORY

REVISION NO.	REVISION SUMMARY	DATE
V1	New Document	2007
V2	Revised	2009
V3	Complete revision.	7/2012

Questions, suggestions, and general feedback should be directed to your supervisor/manager.

I. INTRODUCTION

A. PURPOSE

The purpose of this document is to outline the requirements necessary for personnel to perform audits on behalf of AMS as defined by the AMS Industry Services Audit and Accreditation Programs (AMS ISAAP).

B. SUPERSESION

This document replaces the following documents:

ISAAP 1C AMS Auditor Criteria, all previous versions

ISAAP 1C1 AMS Auditor Performance Evaluation Procedure, all previous versions

ISAAP 1C1A AMS Auditor-in-Training Evaluation Worksheet, all previous versions

ISAAP 1C1B AMS Auditor Evaluation Worksheet, all previous versions

C. AUTHORITY

The Agricultural Marketing Act of 1946, as amended.

Memorandum from AMS Administrator, dated September 10, 2004

D. POLICY

“It is the policy of the AMS ISAAP to maintain personnel capable of conducting and managing a range of audit and accreditation services in an effective and efficient manner, recognized at a national and international level as competent and reliable.”

E. SCOPE

This document is applicable to individuals who perform work under the AMS ISAAP. Contracted auditors are currently not included under AMS ISAAP.

F. EFFECTIVE DATE

The effective date of this document is July 12, 2012.

G. TRANSITION

AMS Divisions shall implement requirements of this document by January 1, 2013.

H. REFERENCES

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

- Office of Personnel Management (OPM) Qualification Standards for General Schedule Positions, Group Coverage Qualification Standards for Administrative and Management Positions.
- Government Auditing Standards, August 2011 (*aka the Yellow Book/ GAGAS*)
- ISO 19011:2008 Guidelines for quality and/or environmental management systems auditing
- *AMS Industry Services Audit and Accreditation Programs Manual (AMS 1)*

II. AUDITOR CRITERIA

A. AUDITOR LEVELS AND CRITERIA

Refer to [AMS AUDITOR CRITERIA](#)

B. AUDITOR CANDIDATE PROCESS

1. REQUEST FOR AUDITOR CANDIDATES

The Division requests applications for Candidates.

2. APPLICATION PACKAGE

The Auditor Candidate submits an application package to the Division. The application package consists of information that satisfies the [AUDITOR CANDIDATE CRITERIA](#) and the following items.

- a. Letter of Intent
- b. Resume/Curriculum Vitae
- c. Two (2) Letters of Recommendation from person able to verify requirements (i.e., supervisor, professor) that attests to candidate's skills, qualities, and personal attributes.

3. EVALUATION PROCESS

An Evaluation Review Committee objectively evaluates the Auditor Candidate's application package against the Auditor Candidate requirements. Based on this review, the Evaluation Review Committee determines if the individual does/does not meet the [AUDITOR CANDIDATE CRITERIA](#) and communicates the results and the next steps to the Auditor Candidate in writing.

C. AUDITOR CALIBRATION

Divisions shall calibrate auditor performance on a Service Activity basis at least annually. Information gained from this review shall be included in the Division's management review meeting.

NOTE: Correlations are considered auditor calibration tools.

D. CONTINUAL PROFESSIONAL DEVELOPMENT (CPD)

A summary of continual professional development (CPD) activities and credit hour allowances are listed in the [SUMMARY OF CPD ACTIVITIES AND CREDIT HOUR ALLOWANCES](#).

1. CPD TRANSITIONAL TIMEFRAMES

The CPD timeframe runs on a fiscal year (Oct.1 – Sept. 30). Individuals transitioning from AMS Auditor-in-Training to AMS Auditor are encouraged to meet CPD requirements illustrated below.

TRANSITION STARTED IN	HOURS OF CPD
Oct – Dec	20 Hours
Jan - Mar	15 Hours
Apr – Jun	10 Hours
Jul – Sept	5 Hours

2. APPROVAL

All CPD activities are considered pending until review and approval by the Auditor’s supervisor or program manager.

3. PROFESSIONAL AUDITOR CERTIFICATIONS

An Auditor is considered to have met the CPD requirements if s/he maintains a Professional Auditor Certification. If the certification expires s/he must complete CPD in accordance with the requirements illustrated above. For more information refer to the [LIST OF AMS ISAAP APPROVED PROFESSIONAL AUDIT OR CERTIFICATIONS](#).

III. EVALUATIONS

A. RESPONSIBILITIES

1. DIVISION RESPONSIBILITIES

Track and maintain all Evaluation Worksheets to ensure that auditors have received the required training, possess the required knowledge and abilities, and are performing as expected to meet the requirements of the [AMS AUDITOR CRITERIA](#).

2. PROGRAM MANAGER/SUPERVISOR RESPONSIBILITIES

Manage the overall evaluation process and ensure requirements of AMS ISAAP have been met; including:

- a. Conduct a Committee Review of Auditor Candidate application packages.
- b. Monitor the evaluatee’s competence and/or performance during training and while conducting audits or assessments by reviewing Evaluation Worksheets completed during witness appraisals and desk appraisals or through other communications, such as peer and customer feedback.
- c. Assist the evaluatee in improving competence and/or performance elements that do not meet expectations or otherwise need improvement.

- d. Determine the evaluatee's mid-term and annual Employee Performance Appraisal using the Evaluation Worksheet(s) to the degree necessary.

3. EVALUATOR'S RESPONSIBILITIES

- a. Conduct training evaluations, witness appraisals, and desk appraisals as directed by Program Manager or Supervisor.
- b. Prepare an Evaluation Worksheet for each evaluation as applicable. Document strengths, needs for improvement, and concerns and determine the evaluatee's overall performance rating on the applicable Evaluation Worksheet.
- c. Discuss the evaluation results with the evaluatee and his/her supervisor as soon as possible after the evaluation. If the evaluation is witnessed, the evaluator is expected to discuss the evaluation results with the evaluatee at the conclusion of the audit activity.
- d. Send the Evaluation Worksheet to the evaluatee and his/her supervisor as soon as possible after performing the evaluation.

4. EVALUATEE RESPONSIBILITIES

- a. Ensure s/he has a clear understanding of his/her expected knowledge, abilities, and/or performance for the Service Type and Service Activity being evaluated and request clarifications as necessary.
- b. Seek feedback from the evaluator as soon as possible after training occurs.
- c. Sign, date, and return the applicable Evaluation Worksheet to the evaluator. If the auditor disagrees with the evaluation, the auditor must submit a documented reason to his/her evaluator and supervisor.
- d. Take steps to improve knowledge, abilities, or performance that is identified as not meeting expectations or otherwise needing improvement.

B. FREQUENCY

- 1. A Desk Appraisal shall be performed annually.
- 2. A Witness Appraisal shall be conducted once every 3 years.

C. FORMS

1. The [AMS AUDITOR CANDIDATE EVALUATION WORKSHEET](#) shall be used to verify that the applicant has the minimum criteria necessary to transition to an Auditor-in-Training for a Specific Program. Applicants are evaluated on an as needed basis.
2. The [AMS AUDITOR-IN-TRAINING EVALUATION WORKSHEET](#) shall be completed by the evaluator each time an Auditor-in-Training participates in an audit or assessment to verify that training was completed and to evaluate the competence of the Auditor-in-Training.
3. An [AMS AUDITOR EVALUATION WORKSHEET](#) shall be completed by the evaluator *at least annually* to verify an Auditor's competence and performance. One evaluation should be concurrent with the annual employee performance appraisal.

D. EVALUATION RATINGS

Employees receive a preliminary rating on individual performance elements, which are summarized into an overall evaluation rating.

1. PRELIMINARY RATINGS

- a. **Acceptable** means that performance in this area is *generally effective* and practices are consistently demonstrated at an acceptable level. The employee maintains an adequate scope of personal and professional qualities and performs additional responsibilities as assigned.
- b. **Needs Improvement** means that performance in this area meets *minimum requirements but needs improvement* because practices are not consistently demonstrated at an acceptable level.
- c. **Unacceptable** means that performance in this area is *ineffective* and requires improvement to attain a minimum level of competency.
- d. **Not Applicable** means that performance in this area was not observed and cannot be rated.

2. OVERALL RATINGS

- a. **Acceptable** means that the individual received a preliminary rating of 1) “Acceptable” in all elements or 2) “Acceptable” and one or more “Needs Improvement” elements that, in the opinion of the evaluator, does not compromise the integrity of the audit program.
- b. **Unacceptable** means that the individual received a rating of “Unacceptable” on at least one element or “Needs Improvement” on numerous elements that, in the opinion

of the evaluator, compromises the integrity of the audit program when considered in their totality.

3. UNACCEPTABLE RATING ACTION

An the individual receiving an overall rating of “Unacceptable” means that s/he must perform audit activities under the supervision of an evaluator and complete additional training, instruction, or other improvement plan activities until s/he demonstrates acceptable competence (i.e., merits an overall rating of “Acceptable”) in the individual element(s) previously rated “Needs Improvement” and/or rated “Unacceptable.”

Competence should be demonstrated by completing the following activities:

- a. Perform at least 2 audit activities under the supervision of an evaluator to verify that s/he is performing at an acceptable level the individual element(s) previously rated “Needs Improvement” and/or “Unsatisfactory.”
- b. If after the 2 audit activities the individual is not able to demonstrate competence in the element(s) previously rated “Needs Improvement” and/or “Unacceptable,” then the individual’s supervisor and the program manager shall either provide:
 1. Additional training until the employee is determined to be competent, or
 2. The individual shall not be qualified as an AMS Auditor.

IV. **AMS AUDITOR DATABASE**

The *Managing AMS Auditor Qualifications Procedure* (ISAAP 1C3) outlines the requirements for managing AMS Auditor qualifications through the AMS Auditor Database. It is available on <http://agnis/sites/isaap/default.aspx>.

NOTE: The AMS Auditor Database is currently being updated to address the changes in this document.

TABLE A – AMS AUDITOR CRITERIA

LEVEL	CRITERIA AND ROLES	
AUDITOR CANDIDATE	<ul style="list-style-type: none"> ✓ Possess Personal Attributes important in the performance of auditing activities <i>Personal Attributes</i> Ethical, open-minded, diplomatic, observant, perceptive, versatile, tenacious, decisive, self-reliant, acts with fortitude, open to improvement, culturally sensitive, and collaborative. ✓ Demonstrate Effective Verbal and Written Communication Skills ✓ Hold a High School Diploma or Equivalent ✓ Possess 3-Years Post-High School Education and/or Experience, as follows: <i>Education</i> Education may be substituted for experience. A 4-year course of study leading to a bachelor's degree in an agriculture related field (sciences, statistics, or business) will meet the experience requirement. <i>Work Experience</i> Have a minimum of 3 years post-high school experience in an agricultural related field, such as applicable farm experience, agricultural commodity grading, agricultural marketing, food processing, laboratory testing, quality assurance, process control application, process or systems auditing, ISO standards application. <i>Combination Education & Work Experience</i> Combinations of successfully completed post-high school education and experience may be used to meet total qualification requirements for experience. Combinations may be computed by (1) determining the total qualifying experience as a percentage of the experience required; (2) determining education as a percentage of the education required for the grade level; and (3) adding the two percentages. The total percentage must equal at least 100 percent to qualify. (For examples of how to calculate the percentage, see OPM's Group Coverage Qualification Standards for Administrative and Management Positions.) <p><i>Role - Observer</i></p>	
AUDITOR-IN-TRAINING	<ul style="list-style-type: none"> ✓ Successfully complete ISO 19011 Guidelines for Auditing Management Systems Training ✓ Successfully complete Service Type Training ✓ Successfully complete Service Activity Training ✓ Demonstrate ability to manage and coordinate audits by leading at least 2 complete audits and earning 2 acceptable evaluations within a 1-year period <u>per Service Type</u> <p><i>Roles - Observer, auditor or team member under supervision</i></p>	
AUDITOR¹	<ul style="list-style-type: none"> ✓ Maintain Qualifications by participating² in 5 complete audits or auditing for a combined total of 10 days and earning at least 1 acceptable evaluation, annually ✓ Re-qualify³ by leading 2 complete audits + earning 2 acceptable evaluations per Service Type <p><i>Roles - Observer, auditor (solo), team member, internal auditor, evaluator</i></p>	<p>COMPLETE 20 HOURS CPD ANNUALLY OR MAINTAIN PROFESSIONAL CERTIFICATION(S)⁴</p>
TEAM LEADER-IN-TRAINING	<ul style="list-style-type: none"> ✓ Successfully complete Team Leader Training ✓ Demonstrate the ability to manage and coordinate audits by leading a team in at least 2 complete audits and earning 2 acceptable evaluations within a 1-year period <u>per Service Type</u> <p><i>Roles - Observer, auditor (solo), team member, internal auditor, evaluator, team leader under supervision</i></p>	
TEAM LEADER	<ul style="list-style-type: none"> ✓ Maintain Qualifications by leading an audit team for 5 complete audits or for a combined total of 10 days and earning at least 1 acceptable evaluation annually ✓ Re-qualify³ by leading 2 complete audits + earning 2 acceptable evaluations per Service Type <p><i>Roles - Observer, auditor (solo) team member, internal auditor, evaluator, team leader</i></p>	

TABLE A – AMS AUDITOR CRITERIA

LEVEL	CRITERIA	
AUDIT/PROGRAM MANAGER	<ul style="list-style-type: none"> ✓ Complete ISO Lead Auditor/Assessor Training ✓ Complete Service Type Training ✓ Complete Service Activity Training ✓ Participate in at least 1 annual audit under his/her management responsibility 	COMPLETE 20 HOURS CPD ANNUALLY OR MAINTAIN PROFESSIONAL CERTIFICATION(S)⁴
EVALUATOR	<ul style="list-style-type: none"> ✓ Successfully complete Evaluator Training ✓ Meet Audit/Program Manager Criteria or Auditor Criteria ✓ Qualified to perform audits at an equal or higher level than the evaluatee 	
INTERNAL/PEER REVIEW AUDITOR	<ul style="list-style-type: none"> ✓ Meet Audit/Program Manager Criteria or Auditor Criteria ✓ Independent of work being audited (i.e. cannot audit areas within his/her responsibility) ✓ Knowledgeable of Service Type and Service Activity requirements, as applicable ✓ Complete RABQSA ISO 9001 Internal Auditor Training or ISO Lead Auditor/Assessor Training 	
TECHNICAL EXPERT	<ul style="list-style-type: none"> ✓ Possess specific expertise, supported through education and/or work experience (resume/CV) ✓ Meet Auditor Candidate Criteria ✓ If non-USDA, sign Conflict-of-Interest Form (AD-1202 USDA) 	

¹A subcontracted auditor must 1) Meet the criteria of an AMS Auditor, 2) Demonstrate specified knowledge or expertise through Education and Work Experience, 3) Sign a conflict-of-interest disclosure statement; and 4) Sign a confidentiality statement.

²“Participating” means to serve as team leader, team member, observer, evaluator, or technical expert.

³If an auditor does not participate in or lead, as appropriate, a Service Type audit/assessment for 3 years, the auditor must re-qualify to perform that Service Type.

⁴Auditors who maintain a Professional Auditor Certification automatically meet the CPD requirements.

TABLE B – AMS ISAAP SERVICE TYPE TRAINING REQUIREMENTS

AMS ISAAP SERVICE TYPE TRAINING REQUIREMENTS	
Service Type	Training Requirement <i>Successfully Complete</i>
CLIENT DEVELOPED SERVICE PROGRAM	*Client Developed Service Program Training
USDA PROCESS AUDIT PROGRAM	*Process-based Auditing Training
USDA QUALITY MANAGEMENT SYSTEM (QMS) PROGRAM	RABQSA/IRCA Certified ISO 9001 Lead Auditor Training
USDA PROCESS VERIFIED PROGRAM	RABQSA/IRCA Certified ISO 9001 Lead Auditor Training
USDA ENVIRONMENTAL MANAGEMENT SYSTEM (EMS) PROGRAM	RABQSA/IRCA Certified ISO 14001 Lead Auditor Training
USDA HACCP AUDIT PROGRAM	*HACCP Training
USDA TESTING AND/OR CALIBRATION LABORATORY ACCREDITATION PROGRAM	RABQSA/IRCA Certified ISO/IEC 17025 Lead Auditor Training.
USDA CERTIFICATION BODY ACCREDITATION PROGRAM	*ISO/IEC Guide 65 Training

*Meet AMS ISAAP Criteria

NOTE: Where training requirements state “RABQSA/IRCA certified.” this means that the training course must be approved by either the Registrar Accreditation Board Quality Society of Australasia (RABQSA) International, Inc. or the International Registrar of Certificated Auditors (IRCA) and administered through their respective certified trainers.

When a RABQSA/IRCA certified training course is not available, the Division may request an exemption to use an AMS ISAAP approved training course. The Division shall submit the request to the AMS ISAAP Manager for approval by the AMS ISAAP Functional Committee.

TABLE C – LIST OF TRAINING REQUIREMENTS - [INSERT DIVISION NAME] – [TEMPLATE TO BE COMPLETED BY DIVISION]

AMS ISAAP		DIVISION	
SERVICE TYPE	TRAINING REQUIREMENT	SERVICE ACTIVITY	TRAINING REQUIREMENT
CLIENT DEVELOPED SERVICE PROGRAM	*Client Developed Service Program Training		
USDA PROCESS AUDIT PROGRAM	*Process-based Auditing Training		
USDA QUALITY MANAGEMENT SYSTEM (QMS) PROGRAM	RABQSA/IRCA Certified ISO 9001 Lead Auditor Training		
USDA PROCESS VERIFIED PROGRAM	RABQSA/IRCA Certified ISO 9001 Lead Auditor Training		
USDA ENVIRONMENTAL MANAGEMENT SYSTEM (EMS) PROGRAM	RABQSA/IRCA Certified ISO 14001 Lead Auditor Training		
USDA HACCP AUDIT PROGRAM	*HACCP Training		
USDA TESTING AND/OR CALIBRATION LABORATORY ACCREDITATION PROGRAM	RABQSA/IRCA Certified ISO/IEC 17025 Lead Auditor Training		
USDA CERTIFICATION BODY ACCREDITATION PROGRAM	*ISO/IEC Guide 65 Training		

**Must Meet AMS ISAAP Criteria*

TABLE D - SUMMARY OF CPD ACTIVITIES AND CREDIT HOUR ALLOWANCES

SUMMARY OF CPD ACTIVITIES AND CREDIT HOUR ALLOWANCES –PART 1 OF 2				
Activity	Credit Hours Earned		Maximum Credit Hours	Documentation Requirements
Instructor Credit for teaching or leading courses <i>All courses must be taught in addition to your usual job responsibilities.</i>	College	1 Credit Hours = 15 Hours	Maximum of 20 hours	A letter from the college, company, or organization verifying the course title, dates, and hours instructed or the course outline or description that documents the instructor’s name, course title, and dates.
	Non-College	1 Credit Hours = 15 Hours		
	Agency, technical society or organization sponsored	1.5 X contact/classroom hours (hours spent teaching)		
Student Credit for Attending Courses <i>Ag Learn courses should be claimed here.</i>	College	1 Credit Hour = 10 Hours	Maximum of 20 hours	Copy of official transcript or report card showing semester credit earned, course title, and completion date.
	Non-College	Hour for Hour		Certificate of completion or letter from sponsor showing dates, hours, title, and assigned CEU or credit value.
	Agency, technical society or organization sponsored	Hour for Hour		
	Home-Study	Hour for Hour		
Meetings Meetings, conferences, seminars, workshops, and forums sponsored by Gov’t agency, ASQ, or other technical societies and organizations. <i>These do not include day-to-day normal business meetings.</i>	Conferences/ Workshops/Clinics	8 Hours per Day	Maximum of 20 hours	A roster, statement from the organizations officer, monthly meeting notice signed by organization officer, monthly meeting tickets, or receipts.
	Meetings	Hour for Hour		
Committees or Board of Directors Gov’t agency, ASQ, or other technical societies and organizations. <i>These do not include day to day normal business meetings.</i>	Elected Officer (Chair, Chair-Elect, Secretary, Treasurer)	20 Hours per Year of Service	Maximum of 20 Hours	A letter from the appropriate chair stating the committee’s mission, frequency of meetings, your duties, and term of service on the organization’s letterhead.
	Member leader in appointed position	15 Hours per Year of Service		
	Member who performs ad hoc responsibilities	2 Hours per event/activity		
Professional Auditor Certifications	Individuals receiving and maintaining professional certifications that pertain to auditing meet the AMS Auditor CPD requirements. Refer to Table E, List of AMS ISAAP Approved Professional Auditor Certifications.		N/A	Provide a copy of a certificate or membership card that designates the recipient’s name, the certification, and its issued and expiration dates.

NOTE: All activities must be job enhancing. Training on AMS Division Service updates is considered AMS Division Training and is not eligible for CPD credit.

TABLE D - SUMMARY OF CPD ACTIVITIES AND CREDIT HOUR ALLOWANCES

SUMMARY OF CPD ACTIVITIES AND CREDIT HOUR ALLOWANCES – PART 2 OF 2						
Activity	Credit Hours Earned			Maximum Credit Hours	Documentation Requirements	
<p>Electronic Media, Webinars, Articles, & Books</p> <p><i>An individual may receive credit for watching or listening to electronic media such as audio, videotapes, DVDs, CD-ROMs, podcasts.</i></p> <p><i>Credit will be given for reading books, articles, and webinars.</i></p>	Audio, Video, CD-ROM, DVD, etc.	15 min per item		Maximum of 6 Hours	The individual shall self-certify that s/he has completed an activity by submitting an email to his/her supervisor attesting to the date(s) the individual viewed/listened to the media source, its title, and length of time, OR by submitting a copy of the media source with the above-listed information.	
	Articles					
	Books	2 Hours per Book				
	Webinars	Hour for Hour		Maximum of 10 Hours		
<p>Publishing</p>		Author	Co-Author	Editor	Maximum of 20 Hours	Provide a copy of the published review along with the publication table of contents.
	Media Review	2.5 Hours per published review	N/A	N/A		Provide a copy of article and the table of contents so reviewer can identify the issue of the magazine, the title of the article, and the author/co-author of the article
	Article	1 Hour per Article	0.5 Hours per article	N/A		Provide a copy of the title page showing the title and author/co-author and a copy of the table of contents. Book editors should submit a letter from the author, co-author, or publisher indicating the work edited and a copy of the table of contents.
	Book	20 Hours per Book	15 Hours per Book	7 Hours per Book		Provide a copy of the paper and a copy of the agenda or program that shows the paper's title and the presenter's name
	Paper Presentation	10 Hours per paper	5 Hours per paper	N/A		

NOTE: All courses must be job enhancing. Training on AMS Division Service updates is considered AMS Division Training and is not eligible for CPD credit.

TABLE E - LIST OF AMS ISAAP APPROVED PROFESSIONAL AUDITOR CERTIFICATIONS

LIST OF AMS ISAAP APPROVED PROFESSIONAL AUDITOR CERTIFICATIONS	
ORGANIZATION	CERTIFICATION
American Society for Quality (ASQ)	<ul style="list-style-type: none"> • Certified Quality Auditor (ASQ CQA) • Certified Hazard Analysis and Critical Control Point (HACCP) Auditor (CHA) • Manager of Quality/Organizational Excellence (CMQ/OE) • Quality Technician (CQT)
National Environmental Health Association (NEHA)	<ul style="list-style-type: none"> • Registered Environmental Health Specialist/Registered Sanitarian (REHS/RS) • Certified Professional – Food Safety (CP-FS)
Professional Animal Auditor Certification Organization, Inc. (PACCO) PACCO Factsheet	<ul style="list-style-type: none"> • Meat Plant Welfare Auditors • Poultry Welfare Auditors • Dairy Welfare Auditors • PQA Plus Verifiers

NOTE: Certifications may be added to this list by submitting a request to the AMS ISAAP Manager through your supervisor/program manager.

TABLE F – CONTINUAL PROFESSIONAL DEVELOPMENT ACTIVITY LOG [TEMPLATE]

CONTINUAL PROFESSIONAL DEVELOPMENT ACTIVITY LOG				
AUDITOR	SUPERVISOR	AMS PROGRAM	DIVISION/BRANCH	FY DATE
COURSES – INSTRUCTOR CREDIT				
EDUCATIONAL INSTITUTION/ ORGANIZATION/AGENCY/TECHNICAL SOCIETY: COURSE NAME: NUMBER OF HOURS: DATE(S):				HOURS CLAIMED
COURSES – STUDENT CREDIT				
EDUCATIONAL INSTITUTION/ORGANIZATION/AGENCY/TECHNICAL SOCIETY: COURSE NAME: NUMBER OF HOURS: DATE(S):				HOURS CLAIMED
MEETINGS/CONFERENCES/SEMINARS/WORKSHOPS/FORUMS				
SPONSORING ORGANIZATION/AGENCY: MEETING NAME: LOCATION: DATE(S):				HOURS CLAIMED
COMMITTEES/BOARD OF DIRECTORS				
SPONSORING ORGANIZATION/AGENCY: COMMITTEE NAME: TERM LENGTH: DATE(S) SERVED:				HOURS CLAIMED
ELECTRONIC MEDIA				
MEDIA SOURCE & TITLE: LENGTH: TOPIC COVERED: SKILL/KNOWLEDGE ACQUIRED:				HOURS CLAIMED
PUBLISHING				
TITLE OF ARTICLE/BOOK: DATE PUBLISHED/PRESENTED:				HOURS CLAIMED

A total of 20 CPD Hours each fiscal year or a Professional Auditor Certification is needed to maintain auditor level qualification.

TABLE G - AMS AUDITOR CANDIDATE EVALUATION WORKSHEET [TEMPLATE]

AMS AUDITOR CANDIDATE EVALUATION WORKSHEET			
CANDIDATE	EVALUATION DATE(S)	EVALUATOR(S)	EVALUATION ID
APPLIED TO	SERVICE TYPE	SERVICE ACTIVITY	
AMS PROGRAM	DIVISION/BRANCH		
<i>Determine Qualifications for each requirement and provide written justification for each rating. The rating levels consist of A – Acceptable, UA – Unacceptable, NR – Not Reviewed</i>			
PERSONAL ATTRIBUTES	<i>Rating</i>	<i>Comments/Objective Evidence</i>	
Ethical			
Open-minded			
Diplomatic			
Observant			
Perceptive			
Versatile			
Tenacious			
Decisive			
Self-reliant			
Acts with Fortitude			
Open to Improvement			
Culturally Sensitive			
Collaborative			
COMMUNICATION SKILLS - <i>Demonstrate the ability to effectively communicate orally and in writing.</i>			
<i>Rating</i>	<i>Comments/Objective Evidence</i>		
EDUCATION - <i>Have a high school diploma or equivalent.</i>			
<i>Rating</i>	<i>Comments/Objective Evidence</i>		
WORK EXPERIENCE - <i>Have completed a minimum of 3 years post-high school education in an agricultural related field</i>			
<i>Rating</i>	<i>Comments/Objective Evidence</i>		
<i>Determine the Qualification Rating by selecting the appropriate statement. Provide written justification for rating. Acceptable = all elements rated Acceptable Unacceptable = any element rated “Unacceptable.”</i>			
<i>Overall Rating</i>	<i>Comments/Objective Evidence</i>		
EVALUATOR SIGNATURE		DATE	
EVALUATOR SIGNATURE			
EVALUATOR SIGNATURE			

Use of this form by Divisions is optional; however, it is expected that candidate evaluations are documented and maintained using the criteria identified on this Worksheet.

TABLE H - AMS AUDITOR-IN-TRAINING EVALUATION WORKSHEET [TEMPLATE]

AMS Auditor-in-Training Evaluation Worksheet				
AUDITOR-IN-TRAINING	AUDITOR-IN-TRAINING'S ROLE <input type="checkbox"/> Lead Auditor <input type="checkbox"/> Team Leader <input type="checkbox"/> Team Member <input type="checkbox"/> Observer	EVALUATION DATE(S)	EVALUATION ID	AUDIT RECORD ID
EVALUATOR	EVALUATION TYPE <input type="checkbox"/> Desk <input type="checkbox"/> Witness <input type="checkbox"/> Reevaluation	SERVICE TYPE	SERVICE ACTIVITY	
AMS PROGRAM	DIVISION/BRANCH	SCOPE OF AUDIT <i>(include elements audited)</i>		
<p>Determine a Preliminary Rating for each element; provide written justification for each rating. The rating levels consist of "A" – Acceptable, "N" - Needs Improvement, "U" – Unacceptable, "NA" - Not Applicable</p>				
I. SUBJECT KNOWLEDGE				<i>Preliminary Rating</i>
<i>Comments/Objective Evidence</i>				
II. PERSONAL ATTRIBUTES AS DEFINED IN ISO 19011				<i>Preliminary Rating</i>
<i>Comments/Objective Evidence</i>				
III. KNOWLEDGE OF AND ABILITY TO PERFORM PRE-AUDIT ACTIVITIES				<i>Preliminary Rating</i>
<i>Comments/Objective Evidence</i>				
IV. ABILITY TO CONDUCT DOCUMENT ADEQUACY REVIEW				<i>Preliminary Rating</i>
<i>Comments/Objective Evidence</i>				
V. KNOWLEDGE AND ABILITY TO CONDUCT ONSITE ASSESSMENT				<i>Preliminary Rating</i>
<i>Comments/Objective Evidence</i>				
VI. PREPARING AND DISTRIBUTING THE AUDIT REPORT				<i>Preliminary Rating</i>
<i>Comments/Objective Evidence</i>				
VII. ABILITY TO CONDUCT FOLLOW-UP ACTIVITIES				<i>Preliminary Rating</i>
<i>Comments/Objective Evidence</i>				
<p>Determine the Overall Rating by selecting the appropriate statement. Provide written justification each rating. Acceptable = All Elements are either rated "Acceptable" or "Needs Improvement." Any elements rated 'Needs Improvement' in the opinion of the evaluator, does not compromise the integrity of the audit program. Unacceptable = At least one element is rated "Unacceptable" or numerous elements are rated "Needs Improvement" thereby, in the opinion of the evaluator, compromise the integrity of the audit program when considered in their totality.</p>				
<i>Overall Rating</i>	<i>Comments/Objective Evidence</i>			
AUDITOR-IN-TRAINING SIGNATURE			DATE	
EVALUATOR SIGNATURE			DATE	

Send completed form to auditor-in-training and his/her rating official.

TABLE H1 - AMS AUDITOR-IN-TRAINING EVALUATION – ELEMENT CRITERIA [TEMPLATE]

AMS Auditor-in-Training Evaluation – Element Criteria		A	N	U	N/A
I.	Subject Knowledge				
	1. Knowledgeable about and able to apply specific requirements of the AMS audit or accreditation program being audited.				
	2. Knowledgeable about and able to apply applicable AMS documents (guidance, instructions, policies, procedures) to the auditee’s business.				
	3. Understands and is familiar with the industry being audited (jargon, common practices, equipment, and tools).				
COMMENTS:					
II.	Personal Attributes as defined in ISO 19011:2002				
	1. <i>Ethical - exhibits fair, truthful, sincere, honest, and discreet behavior, and maintains confidentiality and security of information</i>				
	2. <i>Open minded - considers alternative ideas or points of view</i>				
	3. <i>Diplomatic - deals with people tactfully</i>				
	4. <i>Observant – actively aware of physical surroundings and activities</i>				
	5. <i>Perceptive – instinctively aware of and able to understand situation</i>				
	6. <i>Versatile - readily adjusts to different situations</i>				
	7. <i>Tenacious – persistent, focuses on achieving objectives</i>				
	8. <i>Decisive – makes timely conclusions based on logical reasoning and analysis</i>				
	9. <i>Self-reliant - acts and functions independently while interacting effectively with others</i>				
	10. <i>Acting with Fortitude –acts responsibly and ethically even though these actions may not always be popular and may sometimes result in disagreement or confrontation</i>				
	11. <i>Open to Improvement – willing to learn from situations and strives for better audit results</i>				
	12. <i>Culturally Sensitive – observant and respectful to the culture of the auditee</i>				
	13. <i>Collaborative – effectively interacts with others, including audit team members and the auditee’s personnel</i>				
COMMENTS:					
III.	Knowledge of and Ability to Perform Pre-Audit Activities				
	1. Ability to appoint the audit team leader, select audit team, and assign work, as applicable.				
	2. Ability to identify resources required for the audit.				
	3. Ability to determine feasibility of audit and make cost effective travel arrangements.				
	4. Ability to establish initial contract and arrange for the audit with the auditee.				
	5. Ability to prepare an accurate and complete audit plan and other necessary documents.				
COMMENTS:					
IV.	Ability to Conduct Document Adequacy Review				
	1. Ability to review documents accurately and efficiently				
	2. Ability to complete review within the agreed time schedule.				
COMMENTS:					
V.	Knowledge of and Ability to Conduct Onsite Assessment				
	1. Ability to conduct an opening meeting.				
	a. Introduce audit team.				
	b. Restate purpose and scope of audit.				
	c. Identify auditee representative and communication channels.				
	d. Inform auditee that they will be kept aware of audit progress				
	e. Confirm that needed resources and facilities are available.				
	f. Explain the conditions under which the audit would be terminated.				
	g. Explain that audit findings and associated information are releasable under FOIA				

AMS Auditor-in-Training Evaluation – Element Criteria	A	N	U	N/A
h. Explain the audit appeal process.				
2. Knowledge of and ability to clearly identify audit team roles, responsibilities and timeframes to facilitate an effective and efficient audit.				
3. Ability to effectively control the audit including the ability to lead the audit team in communications with the auditee, to reach audit conclusions and to prevent and resolve conflicts. <i>(Only applies to Team Leader role.)</i>				
4. Ability to communicate (both orally and in writing) in a clear, concise and understandable manner. Ability to adapt vocabulary, tone and style to the individual or group.				
5. Ability to diplomatically, tactfully and quickly resolve any disputes. <i>(Only applies to Team Leader role.)</i>				
6. Ability to record and verify audit evidence. <i>(In the Team Leader role – the ability to coordinate the collection and verification of information.)</i>				
7. Ability to ask open-ended questions to effectively acquire information.				
8. Ability to contribute to audit report findings <i>(Audit findings are evidence based, verifiable, and within the scope of the audit.)</i>				
9. Ability to conduct a well-organized closing meeting.				
a. Ability to present audit findings and conclusions in a manner that is clear and understandable to the auditee. <i>(Only applies to Team Leader role.)</i>				
b. Ability to provide the auditee an opportunity to ask questions on audit findings.				
c. Ability to reiterate observations that require further guidance and consideration from AMS.				
d. Ability to explain the audit appeal process.				
e. Ability to encourage the auditee to provide feedback on the quality of service received from AMS.				
<i>COMMENTS:</i>				
VI. Preparing and Distributing the Audit Report				
1. Ability to contribute to the audit report.				
2. Ability to prepare audit documentation (e.g., checklist and audit notes) that supports the audit report.				
3. Ability to prepare an audit report that:				
a. Objectively and accurately documents the results of the audit				
b. Free of spelling and grammatical errors				
c. Submitted within established timeframes				
d. Distributed to the appropriate persons				
e. Properly filed, stored, or disposed.				
<i>COMMENTS:</i>				
VII. Ability to Conduct Follow-up Activities				
1. Ability to review and assess corrective actions according to program requirements and within established timeframes.				
2. Ability to submitted audit charges and travel vouchers, as appropriate.				
<i>COMMENTS:</i>				

TABLE I – AMS AUDITOR EVALUATION WORKSHEET [TEMPLATE]

AMS Auditor Evaluation Worksheet				
AUDITOR	AUDITOR'S ROLE <input type="checkbox"/> Lead Auditor <input type="checkbox"/> Team Leader <input type="checkbox"/> Team Member	EVALUATION DATE(S)	EVALUATION ID	AUDIT RECORD ID
EVALUATOR	EVALUATION TYPE <input type="checkbox"/> Desk <input type="checkbox"/> Witness <input type="checkbox"/> Reevaluation	SERVICE TYPE	SERVICE ACTIVITY	
AMS PROGRAM	DIVISION/BRANCH	SCOPE OF AUDIT <i>(include elements audited)</i>		
<p>Determine a Preliminary Rating for each element; provide written justification for each rating. The rating levels consist of "A" – Acceptable, "N" – Needs Improvement, "U" – Unacceptable, "NA" – Not Applicable.</p>				
I. SUBJECT KNOWLEDGE			<i>Preliminary Rating</i>	
<i>Comments/Objective Evidence</i>				
II. PLANNING AND PREPARATION			<i>Preliminary Rating</i>	
<i>Comments/Objective Evidence</i>				
III. DOCUMENT ADEQUACY REVIEW			<i>Preliminary Rating</i>	
<i>Comments/Objective Evidence</i>				
IV. ONSITE ASSESSMENT			<i>Preliminary Rating</i>	
<i>Comments/Objective Evidence</i>				
V. PREPARING AND DISTRIBUTING AUDIT REPORT			<i>Preliminary Rating</i>	
<i>Comments/Objective Evidence</i>				
VI. FOLLOW-UP ACTIVITIES			<i>Preliminary Rating</i>	
<i>Comments/Objective Evidence</i>				
VII. PROFESSIONALISM			<i>Preliminary Rating</i>	
<i>Comments/Objective Evidence</i>				
<p>Determine the Overall Rating by selecting the appropriate statement. Provide written justification each rating. Acceptable = All Elements are either rated "Acceptable" or "Needs Improvement." Any elements rated 'Needs Improvement' in the opinion of the evaluator, does not compromise the integrity of the audit program. Unacceptable = At least one element is rated "Unacceptable" or numerous elements are rated "Needs Improvement" thereby, in the opinion of the evaluator, compromise the integrity of the audit program when considered in their totality.</p>				
<i>Overall Rating</i>	<i>Comments/Objective Evidence</i>			
AUDITOR SIGNATURE			DATE	
EVALUATOR SIGNATURE			DATE	

Send completed form to auditor and his/her rating official.

TABLE II - AMS AUDITOR EVALUATION – ELEMENT CRITERIA [TEMPLATE]

AMS Auditor Evaluation – Element Criteria		A	N	U	N/A
I. Subject Knowledge					
1.	Understand and apply specific requirements of the AMS audit or accreditation program being audited.				
2.	Understand, apply, and reference documents (<i>guidance, instructions, policies, procedures</i>) applicable to the AMS.				
3.	Perform audit activities in accordance with audit principles, policies and procedures applicable to the specific program.				
4.	Understand and is familiar with the industry being audited (<i>jargon, common practices, equipment, and tools</i>).				
COMMENTS:					
II. Planning and Preparation					
1.	Appoint the audit team leader, select audit team, and assign work, as applicable.				
2.	Identify resources required for the audit.				
3.	Determine feasibility of audit and make cost effective travel arrangements.				
4.	Establish initial contract and arrange for the audit with the auditee.				
5.	Prepare an accurate and complete audit plan and other necessary documents.				
COMMENTS:					
III. Document Adequacy Review					
1.	Review documents accurately and efficiently.				
2.	Complete within the agreed time schedule.				
COMMENTS:					
IV. Onsite Assessment					
1.	Conducted a well-organized opening meeting.				
a.	Introduce team.				
b.	Restate purpose and scope of audit.				
c.	Identify auditee representative and communication channels.				
d.	Inform auditee that they will be kept aware of audit progress.				
e.	Confirm that needed resources and facilities are available.				
f.	Explain the conditions under which the audit will be terminated.				
g.	Explain that audit findings and associated information is releasable under FOIA.				
h.	Explain the audit appeal process.				
2.	Understand and clearly identify audit team roles, responsibilities and timeframes. Facilitate an effective and efficient audit.				
3.	Controlled the audit effectively: lead the audit team in communications with the auditee, reach audit conclusions and prevent and resolve conflicts.				
4.	Communicated (both orally and in writing) in a clear, concise and understandable manner. Vocabulary, tone and style were adapted to the individual or group to whom they were addressing.				
5.	Resolve any disputes diplomatically, tactfully and quickly.				
6.	Observe and be actively aware of physical surroundings and activities.				
7.	Review records and verify audit evidence.				
8.	Ask open-ended questions to effectively acquire information.				
9.	Follow auditee company’s policies and safety procedures at all times.				
10.	Collect and verify information pertaining to the audit (or coordinated the collection and verification of information).				
11.	Based audit findings on verifiable evidence available within the scope of the audit. Contribute to audit findings (team member).				

AMS Auditor Evaluation – Element Criteria	A	N	U	N/A
12. Decisively and accurately classified audit findings based on the severity, frequency of occurrence, and risks associated with the findings.				
13. Inform auditee representative of audit findings, as they are noted.				
14. Conduct a well-organized closing meeting that				
a. Present the audit findings and conclusions in a manner that is clear and understandable to the auditee.				
b. Provide the auditee an opportunity to ask questions on any audit findings.				
c. Reiterate observations that require further guidance and consideration from AMS.				
d. Explain the audit appeal process.				
e. Encourage the auditee to provide feedback on the quality of service received from AMS.				
<i>COMMENTS:</i>				
V. Preparing and Distributing the Audit Report				
1. Audit documentation, checklist and audit notes are accurate, complete, neat, and provide sufficient information to prepare the report.				
2. Prepares an audit report that:				
a. Objectively and accurately document the results of the audit.				
b. Is checked for spelling, and grammatically correct.				
c. Is submitted within established timeframes.				
d. Is distributed to the appropriate persons.				
3. Audit documentation is properly filed, stored, or disposed.				
<i>COMMENTS:</i>				
VI. Follow-up Activities				
1. Assess corrective actions according to program requirements within established timeframes.				
2. Submitted audit charges and travel vouchers, as appropriate.				
<i>COMMENTS:</i>				
VII. Professionalism				
1. Acted professionally with the highest degree of ethical conduct (<i>honesty, integrity and impartiality</i>).				
2. Maintain confidentiality and security of information learned during the audit.				
<i>COMMENTS:</i>				