Agricultural Marketing Service
Industry Services Audit and
Accreditation Programs
1400 Independence Avenue SW
Washington, D.C. 20250

AMS Auditor
Performance Evaluation Worksheet
AMS 1C1B
12/10/07

Auditor:	
Evaluation Date(s):	
Evaluator:	
Auditor's Role:	☐ Team Leader ☐ Team Member
Audit or Accreditation Program:	☐ Client Developed Service Program ☐ USDA Process Audit Program ☐ USDA Quality Management System (QMS) Program ☐ USDA Process Verified Program ☐ USDA HACCP Audit Program ☐ USDA Environmental Management System (EMS) Program ☐ USDA Testing and/or Calibration Laboratory Accreditation Program ☐ USDA Certification Body Accreditation Program ☐ Other, explain:
Specific Audit Program:	
Scope of Audit (include elements audited)	
Branch:	

1 Steps for Completing the Evaluation:

1.1 Complete the AMS Auditor Performance Evaluation Elements in the table below using the following scoring system:

2 = Satisfactory (Meets expected knowledge and performance)
1 = Unsatisfactory (Does not meet expected knowledge and performance)
NA = Not applicable

1.2 Provide comments for individual element ratings of Unsatisfactory "1." Comments must be provided for individual element ratings of "1."

1.3 Complete the "Statement of Auditor's Overall Rating".

1.4 Ratings of Not Applicable "NA" may be necessary to explain why only parts of the evaluation were performed.

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	AMS Auditor Performance Evaluation	2	1	NA
1.	Policies and procedures applicable to the audit or accreditation program are understood and applied.	☐	☐	☐
2.	The specific audit requirements for the audit or accreditation program are understood and applied.	☐	☐	☐
3.	Audit activities are performed in accordance with audit principles, policies and procedures applicable to the specific audit or accreditation program.	☐	☐	☐
4.	Document review (desk audit, as applicable) was performed accurately and efficiently, and within the agreed time schedule.	☐	☐	☐
5.	Effectively performed pre-audit activities (identified resources required for the audit; arranged for the audit with the auditee; made cost effective travel arrangements; prepared an accurate and complete audit plan; assigned work to audit team as applicable.	☐	☐	☐
6.	Understood and was familiar with the industry being audited (jargon, common practices, equipment, and tools).	☐	☐	☐
7.	Conducted a well organized opening meeting (introduced team, restated purpose and scope of audit, auditee representative and communication channels were identified, informed auditee that they would be kept aware of audit progress, confirmed that needed resources and facilities were available, explained the conditions under which the audit would be terminated and the audit appeal process.	☐	☐	☐
8.	Audit team roles, responsibilities and timeframes are clearly identified and understood and facilitated an effective and efficient audit.	☐	☐	☐
9.	Controlled the audit effectively including leading the audit team in communications with the auditee, reaching audit conclusions and preventing and resolving conflicts.	☐	☐	☐
10.	Communicated (both orally and in writing) in a clear, concise and understandable manner. Vocabulary, tone and style was adapted to the individual or group to whom they were addressing.	☐	☐	☐
11.	Any communication issues are diplomatically, tactfully and quickly resolved.	☐	☐	☐
12.	Observant, actively aware of physical surroundings and activities. Records and verified audit evidence.	☐	☐	☐
13.	Asked open-ended questions to effectively acquire information.	☐	☐	☐
14.	Followed auditee company's policies and safety procedures at all times.	☐	☐	☐
15.	Collected and verified information pertaining to the audit (or coordinated the collection and verification of information).	☐	☐	☐
16.	Audit findings are evidence based, verifiable and within the scope of the	☐	☐	☐

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	audit. Contributed to audit findings (team member).			
17.	Decisively and accurately classified audit findings based on the severity, the frequency of occurrence, and the risks associated with the finding.	☐	☐	☐
18.	Informed auditee representative of audit findings as they were noted.	☐	☐	☐
19.	Conducted a well organized closing meeting that presented the audit findings and conclusions in a manner so that they were understood and acknowledged by the auditee.	☐	☐	☐
20.	Audit documentation, checklist and audit notes were accurate, complete, neat, and provided sufficient information to prepare the report.	☐	☐	☐
21.	Audit report was complete and objectively and accurately documented the results of the audit.	☐	☐	☐
22.	Audit report was checked for spelling, and grammatically correct.	☐	☐	☐
23.	Conducted follow-up audit activities (submitted audit charges, followed-up on required corrective actions, etc.).	☐	☐	☐
24.	Acted professionally with the highest degree of ethical conduct (honesty, integrity and impartiality).	☐	☐	☐
25.	The importance of maintaining confidentiality and security of information learned during the audit is understood and applied.	☐	☐	☐

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AMS Auditor's Overall Rating: *Evaluator must select the appropriate statement and include the necessary information if applicable.*	
☐	Satisfactory (All individual elements rated “2” and no individual element rated "1").
☐	Unsatisfactory (rated “1” in any element). *Evaluator must provide comments for all individual element ratings of “1” and indicate training or other action recommended. Indicate element number and explain below:*

Comments: If individual elements were evaluated “NA,” comments may be necessary to explain why. *Indicate element number and explain below:*

Auditor’s Acknowledgment Signature:	**Evaluator Signature:**
Date:	**Date:**

*If the AMS Auditor disagrees with the evaluation, a documented reason must be submitted.

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