

# Auditor Qualifications and Training Record

**Job Description:** An Auditor conducts audits of quality system processes and reports audit findings to the Lead Auditor.

Name: \_\_\_\_\_ Employee # \_\_\_\_\_

Department: \_\_\_\_\_ Telephone: \_\_\_\_\_

**Qualifications:**

**Personal Attributes and Basic Skills Required** (evaluation by the Department Manager of the Auditor Candidate)

Manager Name: \_\_\_\_\_ Evaluation date: \_\_\_\_\_

Personal Attributes and Basic Skills Required	Evaluation comment
Honest	
Willing to listen to others (flexible)	
Stays calm and objective where there is a difference of opinion (self-control)	
Can read and understand documentation	
Can communicate in writing	
Can communicate effectively with personnel at all levels of the organization	

**Experience Qualification:** Completed by HR: (?) \_\_\_\_\_ Date: \_\_\_\_\_

No prior audit experience required	
Must have been an employee for ( ? ) years or have knowledge of the type of work performed by the organization due to prior work experience.	Years experience: <a href="#">Suggest several years of experience</a>

**Required Training** Completed by Audit Program Manager: \_\_\_\_\_ Date: \_\_\_\_\_

<p>Must complete an Internal Auditor Training Course (offered by an outside provider or an in-house training course)</p> <p>Minimum time: ( ___ ) hours <a href="#">(Enter your requirement)</a></p> <p>Provide evidence of course completion. A certificate from the course provider or written statement from course provider.</p>	<p>Date of course: _____ Number of hours: _____</p> <p>In-house training provided using training materials titled, <i>ISO 9001:2000 Auditor Training Course and Forms</i> by ISO 9000 Checklist, LLC</p> <p>In-house Trainer: _____</p> <p>Other provider: _____</p>
<p>When an outside training source is used, must complete in-house classroom training provided by the Lead Auditor that:</p> <ul style="list-style-type: none"> <li>a) explains how the ISO requirements are met in the organization's documentation</li> <li>b) provides the forms used to conduct and report an audit</li> <li>c) provides a review of procedure 8.2.2 Internal audit that defines requirements for conducting audits</li> </ul> <p>Minimum time: ( _____ ) hours <a href="#">(Enter your requirement.)</a></p>	

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**Required Training** Completed by Audit Program Manager: \_\_\_\_\_ Date: \_\_\_\_\_

Must receive a passing grade (75% or higher) on an Internal Auditor Training Course test.	Received passing grade?
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**Auditors- in-Training** Completed by Audit Program Manager (?): \_\_\_\_\_

Must follow a qualified auditor as an observer for one audit.  OR Participate in an overview audit of the complete quality management system.	Audit date:  Scope of audit:  Qualified Auditor observed:
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Must perform 2 audits that are supervised by an experienced auditor. Or, must conduct an audit of 2 departments under the supervision of an experienced auditor.

### First Supervised Audit

The auditor must demonstrate that he or she can effectively:  1. Set up a plan for the audit on the Audit Plan Form, select and prepare appropriate forms to use for the audit, prepare a checklist based on the organization's documentation  2. Conduct interviews and obtain information  3. Identify the source of information and record evidence to support observations  4. Review records  5. Obtain confirmation of nonconformances  6. Provide a verbal or written summary of audit results to the area manager  7. Complete CPAR forms  8. Complete the Audit Report	<b>First supervised audit evaluation</b> Audit date: _____  Scope of audit:  Evaluation by:  <table border="0"> <tr> <td><b>Evaluation comments</b></td> <td><b>Satisfactory</b></td> <td><b>Needs Improvement</b></td> </tr> </table> 1. Setup of Audit Plan Form: Select and prepare forms: Prepare a checklist:  2. Interviews:  3. Identifies information source: Records evidence:  4. Review of records:  5. Obtains confirmation of nonconformances:  6. Summary to area manager:  7. Complete CPAR forms:  8. Write Audit Report:	<b>Evaluation comments</b>	<b>Satisfactory</b>	<b>Needs Improvement</b>
	<b>Evaluation comments</b>	<b>Satisfactory</b>	<b>Needs Improvement</b>	
Skills or audit techniques to review and practice:   All reporting forms contained required information. <input type="checkbox"/> Yes <input type="checkbox"/> No				

# Auditor Qualifications and Training Record

**Auditors- in-Training**

Completed by Audit Program Manager (?): \_\_\_\_\_

## Second Supervised Audit

<p>The auditor must demonstrate that he or she can effectively:</p> <ol style="list-style-type: none"> <li>1. Set up a plan for the audit on the Audit Plan Form, select and prepare appropriate forms to use for the audit, prepare a checklist based on the organization's documentation</li> <li>2. Conduct interviews and obtain information</li> <li>3. Identify the source of information and record evidence to support observations</li> <li>4. Review records</li> <li>5. Obtain confirmation of nonconformances</li> <li>6. Provide a verbal or written summary of audit results to the area manager</li> <li>7. Complete CPAR forms</li> <li>8. Complete the Audit Report</li> </ol>	<p><b>First supervised audit evaluation</b>    Audit date: _____</p> <p>Scope of audit:</p> <p>Evaluation by:</p>																										
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**Competency Evaluation** Completed by Audit Program Manager: \_\_\_\_\_

<p>Must perform 2 satisfactory audits. These can be the supervised audits.</p> <p>Evaluation criteria: All reporting forms must contain the required information.</p>	<p>Audit date: Scope of audit:</p> <p>Audit date: Scope of Audit:</p>
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**To qualify as an Audit Team Leader** Evaluated by Audit Program Manager: \_\_\_\_\_

<p>Must communicate clearly and concisely in writing.</p>	<p>Meets requirement based on prior Audit Reports:</p>
<p>Must complete 3 satisfactory audits.</p> <p>Evaluation criteria: All reporting forms must contain the required information.</p>	<p>Date: Scope of audit:</p> <p>Date: Scope of audit:</p> <p>Date: Scope of audit:</p>
<p>Must have a firm knowledge of the ISO 9001:2000 standard</p> <p>Evaluation criteria:</p> <p>Must be able to verbally explain what <u>each requirement</u> in the ISO 9001:2000 standard means. The Audit Program Manager evaluates the Team Leader candidate's verbal explanation against the written explanation of the standard provided in <i>Manual 1 Requirements Explained</i>.</p> <p>Must have a firm knowledge of the organization's business/ quality management system.</p> <p>Evaluation criteria: <a href="#">Enter your criteria.</a></p>	<p>Yes:                      No:</p> <p>Yes:                      No:</p>

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