

QP3: APPOINTMENT OF BIM CQA FARM AND PROCESSING AUDITORS

PURPOSE

To ensure that Auditors carrying out work on behalf of the CB meet the requirements specified.

1. SCOPE

All Personnel engaged to conduct Audits against Programme Requirements for the award or maintenance of the CB's Certificate for:

- BIM CQA Farm Standard
- BIM CQA Processing Standard

2. METHOD

2.1 Appointment

Each Auditor shall be required to meet the criteria detailed (as a minimum) in Appendix A.

Prior to appointment an Auditor must submit a detailed CV covering professional qualifications, training and experience in the area of expertise required for Auditing to the BIM CQA standard/s. A copy of each certificate shall be obtained from each potential Auditor to verify and confirm their qualifications and experience.

Approval of a new Auditors to the BIM CQA Programme will be carried out in two stages:

Stage 1

The CB's Programme Manager/Administrator or suitable individual nominated by the CB's Chief Executive Officer, or equivalent, will review the Applicant Auditor's C.V. against the Relevant Auditor Criteria (Farm and Processing) stated in the Appendix A enclosed herein. This may be followed by an interview, if deemed necessary, to verify all the statements made on their CV. If the criteria are satisfied the Applicant Auditor will proceed to stage two of the Approval Process.

Doc: QP3					
Issued By	V. Flynn	Approved By		C. Morrison	
Issue Date	Aug 2017	Issue	1	Revision	0
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Stage 2

The Applicant Auditor will be required to:

- Attend an Approved BM CQA Training Course (farm or processing). The Applicant Auditor shall be required to successfully complete and pass the Training Course.
- Be assessed as suitable and during audits carry himself/herself in a professional and courteous manner at all times;
- Be knowledgeable about specific areas of the aquaculture industry (e.g, farming and production, processing, hatchery practices, etc...) and relevant laws applicable in the jurisdiction where audits are carried out (see Appendix A for specific auditor requirements);
- The Applicant Auditor will then be required to shadow an Approved BIM CQA (farm or processing, as applicable) Auditor.
- Be successfully witnessed having conducted a BIM CQA Farm or Processing Audit.

If the Applicant Auditor completed all the steps in stage 2 successfully the CB will be able to sign them off as an Approved Auditor for the BIM CQA Farm or Processing Standard. Information on all New Approved Auditors shall be communicated to the BIM CQA Programme lead by their CB within 5 working days and their details submitted, on request.

The CB shall maintain a master list of Approved Auditors.

For Individual Subcontracted Auditors who have successfully completed the Approval Process, a Formal Contract shall be drawn up on Appointment by the CB which is signed by both parties.

On Appointment, each Auditor will sign the CB’s own specific Conflict of Interest and Confidentiality Undertaking Criteria.

Maintenance of Auditor Approval Status

An Approved Auditor shall complete a minimum of two BIM CQA Farm/Processing Audits in a calendar year to maintain their Approval Status. If an Auditor does not meet this minimum requirement the CB shall remove the Auditor’s Approval Status and shall treat them as New Applicant Auditor to the BIM CQA Programme.

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2.2 Controls

The performance of each Auditor will be systematically reviewed by the following means:

- (a) Audit Reports – shall be continuously reviewed by the CB’s Programme/Administrator and the Certification Committee to ensure that each clause to the BIM CQA standard has been verified during the On-site Audit depending on the type of audit carried out;
- (b) Auditors may also be required to attend the CBs Certification Meetings as requested to provide information to assist the Committee on Certification Decisions, however the Auditor shall not be part of the Certification Decision-making Process;
- (c) Auditor Performance – An On-site Witness Audit Performance Review will be carried out at least once every two years on each Approved Auditor to the BIM CQA Programme. The Witness Audit shall be conducted by a competent individual appointed by the CB with a proven knowledge of the BIM CQA Programme and auditing experience. Results of the review will be recorded on an Auditor Performance Review Form. If the review highlights areas that will need to be improved the CB shall document on the Auditor’s Record what actions will need to be undertaken to improve. If serious breaches are highlighted the CB shall remove the Auditor’s Approval Status and treat the Auditor as a New Auditor Applicant if they are to be used in future BIM CQA Audits. The CB shall inform BIM on any changes to the Approval Status of all BIM CQA Approved Auditors within a period of 5 working days.

2.3 CQA Specific Training

Certification Body auditors are required to have successfully completed training in the scheme to the satisfaction of BIM. This training includes the specific aspects of the Farm and Processing standards and key scheme requirements and is required at least every two years. The course is administered by the BIM CQA Programme Lead. Auditors that have gone through one or more training courses will have to go through a refresher training event every 24 months to maintain CQA scheme competence.

3. RECORDS

The Programme Manager/Administrator will maintain an Approved Auditor File for each Auditor. A copy of the Approved Auditor’s CV and evidence of training against the BIM CQA standard shall be sent to the BIM CQA Programme Lead. Having gained Approval there will be evidence of the following held on file:

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General

- Contract ;
- CV;
- External Training Certificates;
- Evidence of Training against the BIM CQA Programme;
- Auditor Criteria Requirement Record ;
- Date of Approval;
- Signed copies of Confidentiality Agreements;
- Performance Review Schedule (every two years);
- Auditor Performance Review;
- Record of number of Audits conducted annually ;
- Internal Audit Reports.

Appendix A

Auditor Criteria Required for BIM CQA Standard Farm Audits

1.	Formal Qualifications	YES/NO
	<p>Post-high School Diploma</p> <p>At least a post-high school diploma or equivalent (minimum course duration of 2 years) in a discipline related to the scope of certification (aquaculture, food technology, foodstuffs, logistics, transport and/or agriculture).</p>	
2.	Technical Skills and Qualifications	
2.1	Aquaculture Work Experience and Food Safety Training	

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A)	At least 3 years of experience in farm systems (e.g. land-based Aquaculture Systems including ponds, raceways, recirculating systems, fresh and/or brackish water cages, hatcheries, finfish, salmon, marine cage farms, mollusks and related hatcheries). Experience may take the form of 2 years of direct relevant industry experience and 1 year of continuous auditing experience.	
B)	<u>Successful completion of recognised training in auditing techniques based on Quality Management Systems (i.e. ISO 19011) and/or Food Safety Management Systems.</u>	
C)	Training in HACCP principles either as part of formal qualifications or by the successful completion of a formal course based on the principles of Codex.	
D)	Knowledge and experience of mass balancing and traceability over the production run.	
E)	Knowledge of chain of custody and supply chain operations and requirements.	
2.2	Auditor Additional Training	
A)	Practical auditing experience of a minimum of 10 days in management systems (e.g. ISO 9000, ISO 14000, ISO 22000, OSHAS 18000), BRC Food, IFS Food, GMP+ or equivalent standards which include a significant component of food safety and traceability.	
2.3	Communication Skills	
A)	“Working Language” Skills in the corresponding Native/Working Language. This must include the locally used Specialist Terminology in this Working Language.	
B)	Exceptions to this rule must be consulted and confirmed in writing beforehand with the Standard Owner.	

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Auditor Criteria Required for BIM CQA Standard Processing Audits

<u>1.</u>	<u>Formal Qualifications</u>	<u>YES/NO</u>
	<p><u>Post-high School Diploma</u></p> <p><u>At least a post-high school diploma or equivalent (minimum course duration of 2 years) in a discipline related to the scope of certification (aquaculture, food technology, foodstuffs, logistics, transport and/or agriculture).</u></p>	
<u>2.</u>	<u>Technical Skills and Qualifications</u>	
<u>2.1</u>	<u>Food Safety Training and Work Experience</u>	
<u>A)</u>	<u>Training in HACCP principles either as part of formal qualifications or by the successful completion of a formal course based on the principles of Codex.</u>	
<u>B)</u>	<u>Successful completion of recognised training in auditing techniques based on Quality Management Systems (i.e. ISO 19011) and/or Food Safety Management Systems.</u>	
<u>C)</u>	<u>3 years overall experience in the aquaculture/foodstuff sector in a relevant position e.g. Quality Assurance or Food Safety Function, Production and Quality.</u>	
<u>D)</u>	<u>Knowledge and experience of mass balancing and traceability over the production run.</u>	
<u>E)</u>	<u>Knowledge of chain of custody and supply chain operations and requirements.</u>	
<u>2.2</u>	<u>Auditor Additional Training</u>	

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A)	<u>Practical auditing experience of a minimum of 10 days in management systems (e.g. ISO 9000, ISO 9001, ISO 22000, BRC, SQF, IFS, ASQ Certified Quality Auditor, ASQ Certified HACCP Auditor, GMP +) or equivalent standards which include a significant component of food safety and traceability.</u>	
2.3	<u>Communication Skills</u>	
A)	<u>“Working Language” Skills in the corresponding Native/Working Language. This must include the locally used Specialist Terminology in this Working Language.</u>	
B)	<u>Exceptions to this rule must be consulted and confirmed in writing beforehand with the Standard Owner.</u>	

AMENDMENT LOG

DATE	ISSUE	AMENDMENT	AMENDED BY

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