

APPENDIX 3: AUDITOR ELIGIBILITY AND PARTICIPATION

A. GENERAL

All individuals interested in participating in the NFPA-SAFE Program must meet certain educational and experience prerequisites, and must possess a certain body of knowledge regarding food safety, quality systems, and auditing practices in order to be eligible. If a candidate has met these requirements, the candidate will be eligible to participate in the NFPA-SAFE training program and sit for the written certification examination. It is important to note that meeting these eligibility requirements and submitting an application does NOT automatically confer upon, or entitle the candidate to, NFPA-SAFE Certified Auditor status.

Depending on the type of audit being conducted, certain additional food industry experience could be required in a specific field or certain licenses or training programs may be required. However, this would not be considered a prerequisite to becoming certified; it would comprise one of the criteria for selecting a SAFE Auditor to conduct a particular audit.

B. CODE OF CONDUCT

As part of the application process, a SAFE Auditor must agree in writing to abide by the SAFE Auditor Code of Conduct and the NFPA-SAFE Program Policies and Procedures Manual in order to be eligible to participate in the Program.

C. EDUCATION AND EXPERIENCE REQUIREMENTS

In order to be eligible to participate in the NFPA-SAFE program, a candidate MUST meet the following educational and experience prerequisites:

1. Education & Work/Job Function

- Four year or advanced Technical Degree¹ AND five years' food industry experience or interaction²; **or**
- Two year Technical Degree AND seven years' food industry experience or interaction; **or**
- High School Diploma AND twelve years' food industry experience or interaction.

2. Prior Auditing Experience

- 120+ hours in food manufacturing industry related auditing within the past twelve months; **or**
- 40+ hours food manufacturing industry related auditing within the past twelve months AND ASQ Certified Quality Auditor (CQA or CQA-HACCP) or equivalent; **or**

¹ A Technical Degree is a degree obtained in Food Science, Biology, Microbiology, Chemistry or Engineering.

² In this context, food industry experience or interaction means serving in a technical, professional or supervisory role in the food manufacturing industry or a related governmental agency and involves accountability and the exercise of judgment.

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- 20+ hours of food manufacturing industry related auditing within the past twelve months AND ISO 9000 or 14000 (RAB/IRCA) Auditor Certification or equivalent.

D. INSURANCE REQUIREMENTS

Auditors performing official NFPA-SAFE audits in the U.S. are required to carry a minimum of both \$1 million in Errors and Omissions insurance coverage (E&O) and \$1 million in Comprehensive General Liability (CGL) insurance coverage. Your insurance broker is to provide a certificate of insurance with NFPA listed a certificate holder and additional named insured A.T.I.M.A (as their interest may appear) no later than 60 days after passing the certification exam. Company representatives certified for internal auditing purposes only and not performing official SAFE audits are exempt from the insurance requirements. Auditors performing official SAFE audits outside the U.S. are also required to carry a determined amount of coverage that is country of audit specific.

E. BODY OF KNOWLEDGE REQUIREMENTS

001-A Food Safety and HACCP

- 1) History of HACCP
- 2) Codex/NACMCF HACCP Standards
- 3) Management Commitment
- 4) Training
- 5) HACCP Team
- 6) HACCP Plan Development
- 7) Product Description, Intended Use
- 8) Process Flow Diagram
- 9) Hazards (Physical, Chemical, Microbiological)
- 10) How to Conduct a Hazard Analysis
- 11) Seven Principles
- 12) Validation and Verification

001-B GMPs & Prerequisites

- 1) Good Manufacturing Practices
- 2) Codex - General Principles of Food Hygiene
- 3) Infrastructure, Facilities, Grounds, Potable Water
- 4) Equipment Materials, Design, Construction and Performance
- 5) Sanitation, Hygiene and Housekeeping
- 6) Pest Control
- 7) Personnel Practices
- 8) Training
- 9) Purchased Material Control, Continuing Guarantee, Certificates of Analysis
- 10) Handling, Storage and Delivery
- 11) Traceability and Recall
- 12) Calibration of Measuring and Test Equipment

001-C Quality Systems

- 1) Management Responsibility

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- 2) Quality Policy and Documented Quality System
- 3) Document Control and Record Keeping
- 4) Supplier Quality
- 5) Product Test and Release
- 6) Process Control
- 7) Control of Nonconforming Product
- 8) Internal or Self Audit
- 9) Corrective Action and Continuous Improvement
- 10) Complaint Handling

001-D **Regulations (As Applicable)**

- 1) Food, Drug and Cosmetic Act, 402 (a)(3), 402 (a)(4)
- 2) 21 CFR 110 (GMPs)
- 3) 21 CFR 113 (Low Acid Canned Foods)
- 4) 21 CFR 114 (Acidified Foods)
- 5) 9 CFR 304 (Pathogen Reduction, HACCP)
- 6) 9 CFR 416 & 417 (Sanitation & HACCP)
- 7) 21 CFR Other - e.g. Seafood & Juice HACCP
- 8) Good Agricultural Practices
- 9) Sanitary Food Transportation Act
- 10) EPA

001-E **Auditing**

- 1) Ethics and Professional Conduct
 - a. Code of Ethics
 - b. Conflict of Interest
 - c. Confidentiality
 - d. Auditor Conduct
 - e. Discovery of Illegal or Unsafe Conditions
 - f. Audit Preparation
 1. Documentation Review
 2. Preparation of Checklists
 3. Team Coordination (if applicable)
 - g. Audit Performance
 1. Opening Meeting
 2. Data Collection
 3. Interviewing Skills
 4. Conflict Resolution
 5. Record of Observations
 6. Audit Analysis
 7. Exit Meeting
 8. Reporting
 9. Corrective Action
 10. Audit Program Management

E. NFPA AUDITING EXPERTISE MATRIX

SAFE Auditors will be selected to perform facility assessments based on their expertise in the several major categories. In certain cases, only general experience will be necessary to perform an audit

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(e.g., a SAFE Auditor who meets the general Program criteria would be eligible to audit a distribution center). In other cases, specialized certification and/or training may be necessary in order to perform an audit (e.g., a SAFE Auditor would need training with the PMO and pasteurizer applications in order to audit a dairy plant).

General Skills. Some or all of these skills would enhance one's ability to conduct NFPA-SAFE Supplier assessments:

- Registered Sanitarian
 - General HACCP training
 - Pest Control License
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- Statistics training
 - Microbiological training
 - GMP/Sanitation training

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Categories. Specialized knowledge and/or additional knowledge and skills may be necessary for audits of the following product categories:

1. Acid foods
2. Acidified foods
3. Aseptic processing
4. Bakery, cereal, snack foods, salt, spices and dry blend ingredients
5. Beverages (carbonated and non-carbonated beverages, distilled spirits, beer, wine, water)
6. Dairy, spray dry, cheese, yogurt, ice cream and frozen novelties
7. Egg products
8. Fats, oils, sugars, confections and chocolate
9. Flavors and colors
10. Fresh and frozen fruits and vegetables, juices, concentrates, and purees
11. Low acid canned foods
12. Meat and poultry
13. Packaging materials
14. Seafood

SKILL MATRIX

#	Category	Specialized Regulatory Knowledge	Specialized Knowledge/Skills
1	Meat and poultry	Training and experience in the application of HACCP principles to meat and poultry product processing 9 CFR Part 416 and Part 417	Knowledge of other USDA/FSIS regulations and product/process-specific guideline.
2	Egg products	9 CFR Part 590 21 CFR Part 160	Training in the application of pasteurization
3	Seafood	Training and experience in the application of HACCP principles to seafood product processing. 21 CFR Part 123	None
4	Low acid canned foods	Training in Better Process Control 21 CFR Part 113, Part 108.35 and Part 11 9 CFR Part 318.300 and Part 381.300	Closure control analysis training

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5	Acidified foods	21 CFR Part 114 CFR Part 318.300 and 381.300	Closure control analysis training
6	Acid foods	21 CFR Part 114, Part 108.25 and Part 11	None
7	Aseptic processing	21 CFR Part 11	Training and experience in continuous processing and packaging, including closure control analysis
8	Fresh and frozen fruits and vegetables, juices, concentrates and purees	Training and experience in the application of HACCP principles to processing fruit and vegetable juices, 21 CFR Part 120 and Part 11	Knowledge of Good Agricultural Practices Knowledge of glass breakage/handling procedures
9	Beverages (carbonated and non-carbonated beverages, distilled spirits, beer, wine, water)	21 CFR Part 129 (bottled water regulations)	Training in the application of pasteurization to beverage processing Knowledge of glass breakage/handling procedures
10	Dairy, cheese, yogurt, ice cream and frozen novelties	Working knowledge and understanding of Pasteurized Milk Ordinance (PMO)	Training in the application of pasteurization
11	Fats, oils, sugars, confections and chocolates, condiments (salt, pepper, creamers, tomato sauce, mayonnaise, mustard)	None	None
12	Bakery, cereal, snack foods, salt, spices and dry blend ingredients	None	None
13	Flavors, colors, food chemicals and additives, dyes and acidulants	21 CFR Part 170	None
14	Packaging materials	None	Working knowledge of Statistical Process Control

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			techniques Training in container closure analysis
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