



Auditor Competency and Course Approval Requirements

Issue 11.4

13-June-2022

1.0 Overview

The BAP Auditor and Industry Observer Training Course is an intensive, classroom-based seminar, conducted several times a year in a variety of locations around the world. The course teaches the various BAP standards and offers a detailed analysis of the clauses contained within. Each standard, and the various sub-sections, are taught by a trained BAP staff member, or by BAP senior auditors with practical field knowledge and expertise in their respective modules.

In addition to both new candidates and returning auditors, BAP also encourages interested industry observers to join the course for a first-hand, in-depth look into the BAP standards. Space is available on a first-come first-served basis.

Course announcement details and other information can be found on the BAP website:

<https://www.bapcertification.org/program-integrity/>

2.0 Conflict of Interest Policy

To avoid potential conflicts of interest, Individuals who work in the seafood industry for a:

- Processor
- Trader
- Importer/Exporter
- Farm
- Hatchery
- Feed Company
- Government seafood regulatory body
- Or other similar type of organization

May attend as observers but cannot be admitted as auditor candidates. Auditor candidates must be independent/third-party individuals.

3.0 Attendee Categories

There are three attendee categories:

- Observers
- Returning auditors
- New auditor candidates

Observers


Examples of Observers would include government representatives, industry producers, retailers, staff of BAP certified facilities and all interested non-auditor parties.

Returning Auditors

Returning and currently approved and active BAP auditors who must take their required refresher training or who would like to apply for extending their competencies.

New Auditor Candidates

Auditors who have not audited for BAP in the past or who have not attended a BAP Auditor and Industry Observer Course in the past three years from the date of their completion of their shadow/witness requirements from a Certification Body.

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4.0 Overview of Requirements to Become a New BAP Auditor or for BAP/ACC Auditors That Are Not Current to Re-Qualify

To become an approved auditor under BAP please thoroughly read the requirements and follow the instructions.

- Meet the competency requirements for each BAP competency they wish to audit against. Candidates must clearly indicate which of the competencies they are applying to audit for.
- Submit credentials and other information in compliance with the steps specified in this document and be approved to attend a BAP auditor course.
- Once notification of final approval is obtained all attendees are required to pay the invoice IN ADVANCE of the start of the course.
- Pass the course for the area(s) of competency.
- Work for or be subcontracted by a BAP-approved certification body.
- Obtain final approval to audit from a BAP-approved certification body by undergoing required shadow and witness audits.
- Maintain competency and perform the minimum number of audits per year for each category.
- Attend and pass the BAP course periodically to keep up-to-date, as described in policy documents sent to all certification bodies.

5.0 Auditor Screening

Any new or returning auditor who is an employee of a BAP approved certification body, must be screened by that certification body before submitting documentation to BAP. All BAP approved certification bodies are responsible for ensuring that the proper information, registration steps, and screening have taken place before submittal to BAP for course approval.

Incomplete or improper information and submittals will be rejected and returned to the certification body for correction. The certification body must state to BAP which competency(ies) the candidate is applying for.

6.0 BAP Auditor Competencies

New applicants or returning auditors wishing to extend their approval competencies shall submit seafood competency information to either their certification body or, if independent, to BAP Management.


Please note: all information submitted such as CVs and audit logs must include:

ONLY seafood related information relevant to the category(ies) being applied for.

Experience not related to seafood (such as audits of dairy plants or agricultural farms) must be removed. Inclusion of large amounts of non-BAP category related areas will cause the submittal to be rejected and returned for correction.

Applicant information submitted to BAP where the competency requirements have not been clearly met, where all required documents listed herein were not sent, or where the certification body did not properly screen their candidates will be rejected and returned to the applicant or certification body for correction.

The seven separate auditor competencies are:

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- Category 1 - Processing Plants
- Category 2 - Land-based aquaculture systems – standalone and cluster (including ponds, raceways, recirculating systems, fresh and/or brackish water cages – all species and their related hatcheries)
- Category 3 - Salmon and marine cage farms - standalone and cluster (all marine finfish species and their related hatcheries)
- Category 4 - Marine cage culture farm systems only - standalone and cluster (no salmon experience) and their related hatcheries
- Category 5 - Mollusk farms and their related hatcheries - standalone and cluster
- Category 6 - Feed Mills
- Category 7 - Group farm and hatchery (senior auditors only)

7.0 Minimum Auditor Competency Requirements

1. Auditor candidates shall have the minimum required experience for each of the seven competencies listed above as follows:
 - Category 1 – Auditors must have at least 2 years direct and full-time experience in a Seafood Processing Plant in a quality assurance or food safety function.
 - Categories 2 – 5 – Three years of experience in the stated farm systems. Experience may take the form of two years of direct relevant industry experience and one year of continuous auditing experience. Continuous auditing experience for this purpose, is defined as no fewer than six seafood farm and/or hatchery audits being conducted in a twelve-month period. Farm candidates are not required to have hatchery experience, but it should be included in their credential submittals. Candidates will be required to complete and pass all hatchery related pre-work and final exams for their competency.
 - Category 6 – At least three years of experience in animal and/or aquaculture feed mills.
 - Category 7 – Senior auditors only. (Please see BAP CB Requirements document for Senior Auditor qualifications).

Experience can take the form of positions held, performing audits of the relevant type of facility category, or both. Examples, of positions held could include:

- Quality assurance
 - Production
 - Food Safety
 - Product inspection
 - Operation of aquaculture farms or hatcheries
 - Key position in a feed mill etc.
2. Auditors must have good written and verbal English capability.
 3. A degree in a relevant scientific field and/or other relevant education. Relevant degrees would include:
 - Food Science
 - Microbiology
 - Aquaculture
 - Veterinary Medicine
 - Biology
 - Chemistry

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Other relevant education combined with experience can be substituted in the place of a degree requirement, provided education is deemed sufficient and can be verified through certificates. The other education must be directly applicable and can include:


- Training courses in aquaculture science or management
 - Feed mill courses
 - HACCP
 - GMPs
 - Sanitation
 - Hygiene
 - Quality Assurance
 - Microbiology
 - Additional audit courses beyond the ones listed in item 4 below.
4. Candidates must have successfully completed a recognized course in audit techniques such as:
- ISO 9000
 - ISO 9001
 - ISO 22000,
 - BRC
 - SQF
 - IFS
 - ASQ Certified Quality Auditor
 - ASQ Certified HACCP Auditor

Auditor candidates must meet the above qualifications for each competency they wish to be considered for.

8.0 Documents Required to be Submitted for Review

Certification bodies, or independent auditor candidates are required to send the following documents to BAP for review:

- CV/Resume – An up-to-date CV/resume in English, describing positions and experience related to each competency category that is being applied for. CVs/Resumes must easily and clearly show the number of years of experience, at a minimum, in each competency as defined previously. Also, include any relevant education, certifications etc.
- Audit Log – For those with auditing experience; submit an audit log in English showing experience related strictly to seafood facilities within one or more BAP competency categories listed above. The audit log should go back one to two years depending on the amount of auditing experience, but can go back as much as three if necessary. The log must list the auditor name, type of facility, products/species, whether-or-not the applicant was a lead auditor, sole auditor, part of a team, or an observer. The log must also list the type of audit done, the duration and to what standard. For processing plant audits products should be listed where applicable in low and high-risk forms and their species (cooked, ready to eat, raw, breaded, smoked, canned, marinated etc.). Where species can be both farmed and wild, specify which.
- Degrees – Copy of related degree, if any
- Other Education – If you do not have a relevant degree submit at least three copies of certificates showing other education as shown above.

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9.0 Submittal to BAP

BAP will review the above information from all candidates and make the final decision as to approval for attendance.

Currently Approved and Active BAP Auditors Wishing to Extend their Scope

Returning auditors currently approved and active for some standards wishing to be considered for approval for additional standards need to:

- Ensure the competency requirements for the new category have been met;
- Update credentials (CV, audit log, any training certificates obtained) to clearly show the competency requirements for the category have been met;
- Submit above credentials to the certification body you work for screening and approval. The certification body is not to send the information on to BAP until it has been properly screened;
- Or, if an independent auditor not working as an employee of a particular certification body, update credentials and submit directly to BAP.

BAP Auditors who are not Current


Anyone who attended a BAP course prior to 2010, who has not maintained active status conducting BAP audits, and/or has not been to a course in 3 years or more, will need to submit full updated credentials to requalify.

New Independent Auditors

Independent auditors not currently working for or subcontracted by a BAP approved Certification Body – Independent candidates wishing to apply to attend the BAP course as an independent auditor candidate have two options:

- Contact a BAP-approved certification body in advance to find out if any of them might be interested in hiring you if you pass the course. If so, make arrangements with that certification body to send them all required credentials and have them screen your candidacy. Once the candidate has been confirmed by the certification body to meet the requirements the certification body is to send the candidates name and credentials to BAP for final approval and invoicing.
- Submit your credentials as described in this document directly to BAP for screening. State the exact BAP categories you are seeking approval for, and ensure you meet the requirements. Once screened and approved by BAP, pay the invoice for the course. If you pass the course, you may seek to be hired by one or more of the BAP approved certification bodies after-the-fact.

All fees must be paid before the first day of your scheduled class or you will not be allowed access to the classroom component or access to pre-work online.

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10.0 Pre-Work, Tests and Case Studies

All approved auditors will have pre-work, case studies and final exams as part of the course. Pre-work and exams will be graded and those scores will be used to determine if a candidate passes the course. Observers will not be given pre-work or tests. You will receive an email from BAP on how to complete your pre-work online, prior to the beginning of class and it must be completed and submitted electronically before the first day of the class. Failure to complete any required tests or pre-work will result in an automatic failure for that competency.

11.0 Course Completion and Next Steps

All auditors must attend their required classroom days and complete and pass all pre-work, case studies and tests for each of the competencies they are applying/extending for. Candidates that meet both the competency requirements and pass the pre-work and tests for the area of competency applied for will be approved as BAP Auditors but cannot audit alone until they have gone through training/shadow/witness auditing to the satisfaction of one or more of the BAP-approved certification bodies.

Please, do not hesitate to contact BAP with any questions or concerns!

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