Audit Management Program (AMP)

United States Department of Agriculture

Marketing and Regulatory Programs

Agricultural Marketing Service

Fruit and Vegetable Programs

Processed Products Branch

AIM Instructional System

Inspection Series

January 2011

TABLE OF CONTENTS

Section	Title	Page
1	Scope	2
2	References	2
3	Definitions	2
4	Processed Products Branch	4
4.1	General Provisions	4
4.2	Organization	4
4.3	Operations	7
4.4	Subcontracting	7
4.5	Audit Management System	7
4.6	Conditions for Granting, Maintaining, Extending, Suspending, and Withdrawing Approval	10
4.7	Internal Audits and Management Reviews	10
4.8	Documentation	11
4.9	Records	12
4.10	Confidentiality	13
5	Processed Products Branch Personnel	13
5.1	General	13
5.2	Qualification Criteria	13
6	Change in the Audit Services Requirements	14
7	Complaints, Disputes, and Appeals	14
8	Application for Audit Services	15
8.1	Information on the Procedure	15
8.2	The Application	16
9	Preparation for Audit	17
10	Audit	17
11	Audit Report	17
12	Decision on Approval	18
13	Surveillance Activities	19
14	Use of Certificates and Marks/Shields of Conformity	19
15	Complaints to Applicants	19

Appendix	Title
A	AMP A1.0 - Audit Management Program Manual Index
	AMP A2.0 - Audit Management Structure Diagram
	AMP A3.0 - Audit Performance and Approval Diagram

AMP A4.0 - Qualification, Training, and Experience Requirements for Auditors
AMP A5.0 - Qualification, Training, and Experience Requirements for PPB Personnel, Other Than Auditors, Involved in Audit Services

B AMP B1.0 - Procedure for Selecting Personnel to Be Involved in PPB Audit Services

INTRODUCTION

This manual is designed to give guidance to Processed Products Branch (PPB) personnel of the United States Department of Agriculture (USDA), establish an audit management system for continuous improvement, and provid the policies and procedures for audit services.

The information has been compiled or developed from sources available to the public as well as from technical knowledge of personnel in the USDA.

Compliance with the Agricultural Marketing Service (AMS) guidelines does not excuse failure to comply with the Food, Drug, and Cosmetic Act or any other applicable Federal or State laws or regulations. If needed, contact your immediate supervisor for any situation not addressed in this Manual.

This Manual contains links to various internal and external sources of information. For inspection personnel without internet or intranet access, please contact your immediate supervisor to obtain hard copies of documents as needed.

GUIDE FOR ELECTRONIC USAGE

The Administrative, Inspection, and Management (AIM) System of instructional manuals is available electronically in Adobe Acrobat Portable Document Format (PDF) at the following intranet address: http://agnis/sites/FV/PPB/default.aspx.

When accessed electronically, AIM materials have hyperlinks and hypertext (visible as underlined blue text) available to the PDF user. Clicking on a hyperlink takes the reader to a web site with information relating to the subject. Hypertext will link the reader to a different page within the current manual - or even a different manual - with information relating to the subject. For example, the hypertext in the Table of Contents allows a reader to go directly to the section of interest in the manual by clicking on the section title within the Table of Contents.

PDF offers a variety of tools depending on the Adobe version the reader has. The newer the version, the more tools available. To learn about the variety of PDF search options available:

- Click on the “Help” tab on the top of this page,
- Then click on the “Adobe Acrobat Help” bar,
- Type the word “Search” in the “Search” box, and click on the “Search” button,
- A series of options will become available,
- Click on the “Access Search Features” link and follow the instructions for the type of search you are interested in.

This document format allows a PDF user to easily search for content within a document, or within multiple documents.

1 Scope

This document outlines the audit management program of the United States Department of Agriculture (USDA), Agricultural Marketing Service (AMS), Fruit and Vegetable Programs (F&V), Processed Products Branch (PPB). This document is based on the AMS Industry Services Audit and Accreditation Program (ISAAP), Branch Audit Management Program requirements.

The audit management program covers the PPB audit programs that correspond to the types of audit programs outlined in the AMS ISAAP Manual.

2 References

The following referenced documents are indispensable for the application of this manual. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

2.1 AMS ISAAP Manual (AMS 1), dated 12/10/2007

2.2 AMS ISAAP, Branch Audit Management Program (AMS 2), dated 12/10/2007

2.3 ISO 9000:2005 Quality Management Systems – Fundamentals and Vocabulary

2.4 ISO 19011:2002 Guidelines for quality and/or environmental management systems auditing

2.5 PPB Quality Management System Manual

3 Definitions

PPB adopts the definitions outlined in ISO 9000 and AMS ISAAP, and incorporates Branch terminology into those definitions as follows:

3.1 Audit: A systematic, independent and documented process for obtaining evidence and evaluating it objectively to determine the extent to which criteria are fulfilled. The evaluation determines an applicant's ability to meet the requirements of a Specific Audit Program. The evaluation shall be conducted in accordance with ISO 19011 Section 6 Audit Activities. This term is used in conjunction with the PPB Audit Management Program.

3.2 Audit Service: Audit activities provided under the PPB Audit Management Program which include (1) the development of Specific Audit Programs; and (2) audit activities as outlined in ISO 19011 Section 6 Audit Activities.

3.3 Auditee: Audited entity.

3.4 Applicant: A company or entity that voluntarily requests specific audit services provided by PPB.

3.5 Application for Audit Services: A written request for service, for example, a contract, a completed Application for Service, an applicant's release form, or a letter.

3.6 Approval or Approved: The status granted based on the audit results of a Specific Audit Program. The approval may be granted for a specific point in time or for a period of time. If approval for a period of time is granted, it may be for a period of time no longer than one year; exceptions are allowed on a case by case basis per applicant. The terms "approval" and "approved" are used in conjunction with the PPB Audit Management Program.

3.7 Consultation: The action of giving professional advice or opinions to an applicant regarding how to specifically meet the requirements of an audit program in such a way that impartiality would be compromised.

> *NOTE: A PPB employee who is involved in the audit activities or a decision making process may give information on the audit program requirements, but is not allowed to give advice or opinions on how an applicant can meet those requirements.*

3.8 Management Review: The forum in which the PPB Management meet to review and take appropriate action on issues relating to the quality management system to ensure the continuing suitability and effectiveness in satisfying customer requirements and the stated quality policy and objectives.

3.9 PPB Manager: The person in the highest position at each management level within PPB as follows: Branch Chief, Section Heads, Eastern Regional Director, Western Regional Director, and all the Officers-in-Charge of the Area Offices.

3.10 PPB Top Management: The people who direct and control PPB at the highest level; the Branch Chief and Assistant Branch Chief.

3.11 PPB Management: The group consisting of the Branch Chief, Assistant Branch Chief, Section Heads, Regional Directors, and Assistant Regional Directors.

3.12 Responsible Party: The person who is accountable for (1) taking action to resolve a specific non-conformance or potential non-conformance identified and (2) ensuring the action is implemented and effective.

3.13 Specific Audit Program: A program developed by PPB that meets the requirements of one the following types of audit programs: (1) USDA Process Audit Program, (2) USDA Quality Management System Program, (3) USDA Process Verified Program, (4) USDA

Environmental Management System Program, (5) USDA Hazard Analysis and Critical Control Point (HACCP) Audit Program, or (6) USDA Regulatory Audit Program.

3.14 Surveillance Activity: Audits that determine continuing conformance (compliance) during the approval period. They may be announced or unannounced. They may be complete audits or they may be limited in scope. PPB shall determine the surveillance activities necessary for a Specific Audit Program.

4 Processed Products Branch

4.1 General Provisions

4.1.1 The policies and procedures under which PPB operates and administers are non-discriminatory.

4.1.2 PPB makes its services accessible to all applicants whose activities fall within PPB's declared field of operation. There are no constraints or other conditions imposed on applicants for eligibility for service, e.g., an operation's size, etc.

4.1.3 The criteria against which an applicant's program is evaluated are those outlined in the Specific Audit Program.

4.1.4 PPB confines its audit processes and related decisions to the requirements of a Specific Audit Program within the scope of the audit.

4.2 Organization

The structure of PPB ensures integrity in its audit services.

PPB:

a) Is impartial when providing services.

b) Is responsible for its decisions relating to granting, maintaining, extending, suspending, and withdrawing approval with respect to PPB's Specific Audit Programs.

c) Identifies a management structure which has overall responsibility for:

1) Performance of audits and approvals as defined in Section 10 and Section 12 of this document;

2) Formulation of policy matters relating to the operation of PPB's audit services;

3) Decisions on approvals within each Specific Audit Program;

4) Supervision of the implementation of PPB policies;

5) Supervision of the handling of PPB finances;

6) Delegation of authority to committees or individuals as required to undertake defined activities on management's behalf; and

7) Identification of the technical basis for granting approval.

d) Is deemed to be a legal entity on the basis of its governmental status under the Agricultural Marketing Act (AMA) of 1946, as amended. PPB is responsible for identifying itself in a way such that no conflict of interest occurs with applicants.

The AMA gives PPB the authority to provide services so that agricultural products may be marketed to their best advantage, that trade may be facilitated, and that consumers may be able to ascertain characteristics involved in the production and processing of products to obtain the quality of the product they desire. The AMA also provides for the collection of fees from users of these services that are reasonable and cover the cost of providing services. Within the context of the AMA, audit services may facilitate the global marketing and trade of agricultural products, provide consumers the opportunity to distinguish specific characteristics involved in the production and processing of agricultural products, and ensure that product consistently meets program requirements.

e) Safeguards impartiality, including provisions to assure the impartiality of the operations of PPB. This structure enables the participation of all PPB stakeholders in the development of policies and principles regarding their content and function.

f) Ensures that an applicant’s audit approval is made by someone other than the person who perfomed the audit.

g) Has rights and responsibilities relevant to its audit services provided by the AMA of 1946, as amended.

h) Has adequate financial stability and arrangements to cover liabilities arising from its operations and/or activities. AMS requires that PPB maintain adequate financial reserves to cover liabilities arising from its operations and/or activities. State agencies which are subcontracted shall provide evidence of having adequate legal and financial arrangements to cover liabilities.

i) Has resources required for the operation of PPB.

j) Employs a sufficient number of staff, who have the necessary education, training, technical knowledge, and experience for performing audit services relating to the type, range, and volume of work performed.

k) Has a management system as outlined in section 4.5 of this document which lends confidence in PPB's ability to provide audit services.

l) Has policies and procedures that distinguish between audit services and other activities in which PPB is engaged.

m) Is free from any commercial, financial, and/or other pressure(s) that might influence the results of the audit services.

n) Does not have committees involved in audit services, but if PPB has the need for such committees, it will develop documented rules and structures for the appointment and operation of any internal committees to be involved in audit services. Such committees shall be free from any commercial, financial, and/or other pressure(s) that might influence decisions. (A structure in which members are chosen in order to provide a balance of interests and where no single interest predominates will be deemed to satisfy this provision.)

o) Ensures that related government bodies' activities do not affect the confidentiality, objectivity, or impartiality of PPB's audit services. Further, PPB ensures that it does not:

1) Supply or design programs or products of the type it audits;

2) Give advice or provide consultation services to an applicant as to methods of dealing with matters which are barriers to the approval requested; and

3) Provide any other products or services which could compromise the confidentiality, objectivity, or impartiality of its audit services and decisions.

p) Has policies and procedures for the resolution of complaints, appeals, and disputes received from applicants or other parties about the handling of audit services or other related matters.

4.3 Operations

PPB takes all steps necessary to evaluate conformance to (1) the applicable AMS ISAAP type of audit program when developing a Specific Audit Program, (2) AMS ISAAP Audit Management Program requirements, and (3) other documents relevant to providing audit services. PPB specifies the requirements for each of its Specific Audit Programs and any other requirements which form the basis for the audit services.

4.4 Subcontracting

PPB policies, procedures, and instructions do not provide for subcontracting work related to audit services.

If PPB were to modify policies, procedures, and instructions to provide for subcontracting of audit related services, a properly documented agreement covering the arrangements, including confidentiality and conflict of interests, shall be drawn up by PPB. Further, PPB would:

a) Take full responsibility for such subcontracted audit services and maintain its responsibility for granting, maintaining, extending, suspending, or withdrawing approval(s).

b) Ensure that persons under the subcontracted audit services are competent and comply with (1) the applicable provisions of this document, (2) the requirements of the PPB audit program, and (3) other documents used in providing audit services. PPB would also ensure that persons under the subcontracted audit services are not involved either directly or through the person's employer with the design or implementation of an applicant's program in such a way that impartiality would be compromised.

4.5 Audit Management System

4.5.1 Policy and Objectives

It is the policy of PPB's Audit Management Program to provide a range of audit services in an effective and efficient manner which is recognized at a national and international level as competent and reliable.

The PPB Audit Management Program has four objectives:

a) To ensure uniform audit services;

b) To facilitate the marketing of U.S. agricultural products in a cost effective and timely manner;

c) To provide assurances to U.S. and international customers that agricultural products and/or services meet the requirements of a Specific Audit Program; and

d) To provide the highest professional standards aiming for continual improvement and customer satisfaction.

4.5.2 PPB operates its audit management system in accordance with this document and appropriate to the type, range and volume of work performed.

The PPB Audit Management Program is documented in this manual and is available for use by PPB employees. The management of each Specific Audit Program is described in a PPB instructional manual, as appropriate.

PPB ensures effective implementation of its documented management system, procedures, and instructions, by using internal audits, periodic reviews, and verifications, as appropriate.

PPB has assigned a Designated Coordinator with direct access to top management. The Designated Coordinator has defined authority for:

a) Ensuring that the PPB Audit Management Program is established, implemented, and maintained in accordance with this document; and

b) Reporting on the performance of the audit management system to PPB's management. This reporting provides for review and serves as a basis for improvement of the audit management system.

4.5.3 PPB maintains this Audit Management Program manual and associated documented procedures. Areas contained or referenced in these documents include, but are not limited to:

a) A policy statement regarding the provision of audit services.

b) A brief description of PPB’s legal status, including the names of the person(s) with overall responsibility for the Branch.

c) The names, qualifications, experience, and terms of reference of the top management and other PPB personnel (see AMP A2.0, Audit Management Structure Diagram; and AMP A5.0, Qualification, Training and Experience Requirements for Personnel, Other than Auditors, Involved in PPB Audit Services).

d) An organizational chart showing lines of authority, responsibility, and allocation of functions stemming from the top management (see AMP A3.0, Audit Performance and Approval Diagram).

e) A description of PPB, including details of the management, PPB's constitution, terms of reference, and rules of procedure (see Organization of U.S. Department of Agriculture).

f) The policy and procedures for conducting management reviews (see QMS B2.0, Management Review Procedure).

g) Administrative procedures including document control (see QMS B1.0, Document Control Procedure).

h) The operational and functional duties and services pertaining to PPB's Specific Audit Programs, so that the extent and limits of each person's responsibility are available to all concerned (see each Specific Audit Program manual).

i) The policy and procedures for recruitment, selection, and training of PPB personnel involved in audit services, including auditors, and the monitoring of their performance (see AMP A4.0, Qualification, Training and Experience Requirements for Auditors; AMP A5.0, Qualification, Training and Experience Requirements for Personnel, Other than Auditors, Involved in PPB Audit Services; and AMP B1.0, Procedures for Selecting Personnel to Be Involved in PPB Audit Services).

j) A list of PPB's approved subcontractors and related agreements, including Federal-State Cooperative Agreements, and details of the procedures for assessing, recording, and monitoring their competence. PPB does not have subcontractors for audit services; however, if PPB were to use subcontractor(s) for audit services, PPB would develop a list of subcontractors, including the procedures for assessing, recording and monitoring their competence.

k) Its procedures for handling non-conformances and for assuring the effectiveness of any corrective and preventative actions taken (see QMS B5.0, Control of Non-Conforming Services and Products Procedure; and QMS B4.0, Corrective and Preventive Action Procedure).

l) The procedures for evaluating an applicant's program and implementing audit services, including the following (see each Specific Audit Program manual or instruction):

1) The conditions for issue, retention, and withdrawal of audit documents; and

2) Controls over the use and application of documents used in providing audit services.

m) The policies and procedures for dealing with appeals, complaints, and disputes (see QMS B6.0, Complaints, Disputes, and Appeals Procedure).

n) The procedures for conducting internal audits (see QMS B3.0, Internal Audit Procedure).

4.6 Conditions for Granting, Maintaining, Extending, Suspending, and Withdrawing Approval

4.6.1 PPB specifies the conditions for granting, maintaining, and extending approval, and the conditions under which approval may be suspended or withdrawn, partially or in total. These conditions are stated in each Specific Audit Program.

4.6.2 PPB determines procedures to:

a) Grant, maintain, withdraw and, if applicable, suspend approval;

b) Extend or reduce the scope of approval; and

c) Re-evaluate an applicant’s approval status in the event of (1) changes significantly affecting an applicant's approved program; (2) changes in the requirements of the PPB audit program under which an applicant's program is approved; (3) changes in the ownership, structure, or management of an applicant’s operation, if relevant, or (4) any other information indicating that an applicant's approved program may no longer comply with the requirements of the PPB audit program.

These procedures are outlined in each Specific Audit Program and/or Application for Audit Services.

4.7 Internal Audits and Management Reviews

4.7.1 PPB conducts periodic internal audits of its Audit Management Program, at least annually, in a planned and systematic manner to:

a) Verify that audit services are implemented, maintained, and effective; and

b) Verify conformance to this document and other documents relevant to providing audit services.

The internal audit program follows a plan which takes into consideration the status and importance of the processes and areas to be audited, as well as the results of previous internal audits. The internal audit criteria, scope, frequency and methods are defined. Selection of auditors and the way in which the audits are conducted ensures objectivity and impartiality of the internal audit process.

Auditors do not audit their own work.

The responsibilities and requirements for planning and conducting internal audits, and for reporting results and maintaining records, is defined in the PPB Internal Audit Instruction. Under its internal audit program, PPB ensures that:

a) Personnel responsible for the area audited are informed of the outcome of the audit;

b) Corrective action is taken in a timely and appropriate manner; and

c) The results of the audit are documented.

4.7.2 The Management Review team performs a management review, at least annually, after the completion of the internal audit of the audit services. The purpose of the management review is to ensure the Branch's continuing effectiveness in satisfying the requirements of this document and the stated policy and objectives relating providing and conducting auditing services. This review includes assessing opportunities for improvement and the potential need for changes to PPB's audit management system, including the policy statement and objectives related to providing audit services. Records from the management reviews will be maintained consistent with the AMS record retention policy.

Procedures for management review are described in the Management Review Procedure.

4.8 Documentation

4.8.1 PPB regularly updates each PPB Specific Audit Program and provides updated audit program information on the website at www.ams.usda.gov/processedinspection, under Audit Survey and Verification Programs. It also provides information to interested parties (through publications, electronic media, or other means) and makes available, on request, the following:

a) Information about the authority under which PPB operates, which is the Agricultural Marketing Act of 1946, as amended;

b) Documented statements regarding PPB’s audit services, including the rules and procedures for granting, maintaining, extending, suspending, and withdrawing approval;

c) Information about the audit procedures and approval process related to each Specific Audit Program;

d) A description of the means by which PPB obtains financial support and general information on the fees charged for services;

e) A description of the rights and duties of applicants, as specified, including requirements, restrictions or limitations on the use of PPB official grade marks or shields and on the ways of referring to the approval granted;

f) Information on procedures for handling complaints, appeals, and disputes; and

g) A directory of approved applicants for certain audit programs.

4.8.2 PPB establishes and maintains a documented procedure to control all documents and data that relate to its audit services.

The documented procedures define the controls needed to:

a) Approve documents for adequacy prior to issue;

b) Review and update as necessary and re-approve documents;

c) Ensure that changes and current revision status of documents are identified;

d) Ensure that relevant versions of applicable documents are available at points of use;

e) Ensure that documents remain legible and readily identifiable;

f) Ensure that documents of external origin are identified and their distribution controlled; and

g) Prevent the unintended use of obsolete documents and apply suitable identification to them if they are retained for any purpose.

PPB maintains a listing of all appropriate documents with the respective issue and/or amendment status identified.

4.9 Records

4.9.1 PPB maintains records in a manner to suit its particular circumstances and to comply with existing regulations. The records are established and maintained to provide evidence of conformity to the requirements of the specific audit program and of the effective operation of PPB, particularly with respect to application forms, audit reports, surveillance activities, and other documents relating to granting, maintaining, extending, or withdrawing approval. The records are identified, managed, and disposed of in such a way as to ensure the integrity of the process and confidentiality of the information. The records are kept for no less than 3 years, including the current year, or as required by law. PPB follows the “Fruit and Vegetable Division, File/Disposition Plan, Change 1, September 1996.”

4.9.2 PPB has a policy, and associated procedures, for retaining records for a period consistent with contractual, legal, or other obligations. PPB's policy and procedure(s) concerning access to these records are consistent with section 4.10.1 of this document.

4.10 Confidentiality

4.10.1 PPB has adequate arrangements, consistent with applicable laws, to safeguard confidentiality of the information obtained in the course of its audit activities at all levels of its organization (5CFR 2635.703). For audit services, PPB does not utilize committees, external bodies, or individuals acting on its behalf.

4.10.2 Except as required in this document, by law, or Memorandum of Agreement, information gained in the course of audit activities about a particular applicant or applicant's program is not disclosed to a third party without the written consent of an applicant. Where the law requires information to be disclosed to a third party, an applicant is informed of the information provided, as permitted by law. PPB complies with all laws regarding the Freedom of Information Act (FOIA) 5 USC §552; the Privacy Act of 1974 5 USC §552a; AMS Directive 160.1, Freedom of Information; and AMS Directive 160.2, Privacy Act.

5 Processed Products Branch Personnel

5.1 General

5.1.1 Processed Products Branch (PPB) personnel are assigned to positions in which they are competent for the functions they perform, including making required technical judgments, framing policies, and implementing policies.

5.1.2 Clearly documented instructions are available to PPB personnel describing their duties and responsibilities. These instructions are maintained up to date and are described within the Specific Audit Program manual, related procedures, and instructions.

5.2 Qualification Criteria

5.2.1 In order to ensure that audits and audit approvals are carried out effectively and uniformly, the minimum relevant criteria for the competence of personnel are defined in AMP A4.0, Qualification, Training and Experience Requirements for Auditors; and AMP A5.0, Qualification, Training and Experience Requirements for Personnel, Other than Auditors, Involved in PPB Audit Services.

5.2.2 PPB requires its personnel involved in providing audit services to commit themselves:

a) To comply with the rules defined by PPB, including those relating to confidentiality and those relating to independence from commercial and other

interests as defined in the Department of Agriculture, Personnel Bulletin 735-1, "USDA Employee Responsibilities and Conduct;" and

b) To declare any prior and/or present association on their own part or on the part of PPB, with an applicant/auditee if they have a potential conflict of interest. PPB ensures and documents that any subcontracted personnel, including Federal-State personnel, for their own part and on the part of their employer if any, satisfy all of the requirements for personnel outlined in this document.

5.2.3 Information on the relevant qualifications, training, and experience of each employee involved in PPB audit services is maintained. Records of training and experience are kept up to date, including the following:

a) Name and duty point;

b) Affiliation and position held in PPB;

c) Educational qualifications;

d) Experience and training in each Specific Audit Program of PPB;

e) Date of most recent record revision; and

f) Performance evaluation relating to auditing.

6 Change in Audit Services Requirements

PPB provides due notice of any changes to requirements called for under PPB audit services. PPB provides updates to each PPB Specific Audit Program on the website at www.ams.usda.gov/processedinspection, under "Audit Survey and Verification Programs." It is an applicant's responsibility to periodically check the pertinent website for any updates that may affect compliance with a Specific Audit Program. PPB verifies that each applicant with an approved program makes any necessary adjustments within such time as PPB determines is reasonable.

7 Complaints, Disputes, and Appeals

7.1 Complaints, disputes, and appeals brought before PPB by applicants or other parties are subject to PPB procedures.

7.2 PPB will:

a) Keep a record of all written complaints, disputes, and appeals, and remedial actions relative to audit services;

b) Take appropriate subsequent action; and

c) Document the action taken and its effectiveness.

8 Application for Audit Services

8.1 Information on the Procedure

8.1.1 PPB provides applicants an up-to-date detailed description of the audit services, including the documents which contain the requirements for the audit service.

The information PPB provides includes, but is not limited to, the following:

a) How an applicant applies for audit services;

b) How PPB conducts the audit;

c) How PPB issues approval, denial, or suspension;

d) How an applicant addresses audit findings;

e) How an applicant requests withdrawal; and

f) Explain an applicant's rights and responsibilities (including fees to be paid by applicant).

8.1.2 PPB requires that an applicant:

a) Complies with the relevant provisions of this document and other documents applicable to receiving audit services;

b) Provides all necessary arrangements for conducting the audit, including provisions for: examining documentation and records (including internal audit reports), accessing all areas of the facility, interviewing personnel, and resolution of complaints;

c) Limits claims regarding approval to those only within the scope for which approval has been granted;

d) Does not use its program approval in such a manner as to bring PPB into disrepute and does not make any statement regarding its program approval which PPB may consider misleading or unauthorized;

e) Upon suspension or cancellation of approval, discontinues its use of all advertising matter that contains any reference thereto and returns any approval documents as required by PPB;

f) Uses its audit approval status only to indicate that it and the products produced under its program are in conformance to the requirements of a Specific Audit Program;

g) Endeavors to ensure that no approval or report, including e-mail, or any part thereof, is used in a misleading manner; and

h) Seeks and obtains approval from PPB prior to referencing its approval status in a Specific Audit Program, specifically within communication media such as brochures or advertising.

8.1.3 PPB provides audit services information, including explanations, to an applicant.

8.1.4 If requested, PPB provides additional application information to an entity interested in PPB audit services.

8.2 The Application

8.2.1 PPB requires an applicant to complete an application for audit services, signed by a duly authorized representative of an applicant, which provides the following:

a) The scope of the desired audit service; and

b) A statement that an applicant agrees to comply with the requirements of the Specific Audit Program and will supply any information needed for audits.

8.2.2 An applicant will provide the following information, at a minimum:

a) The applicant’s general characteristics, such as corporate entity, name, address, and legal status;

b) A description of an applicant's program to be audited, including products produced under the program, if applicable;

c) The Specific Audit Program under which the applicant's program is to be audited; and

d) A copy of an applicant's program or requirements and associated documentation, as applicable to the requirements of the Specific Audit Program.

9 Preparation for Audit

Preparation for audit activities is in accordance with *ISO 19011:2002 Section 6 Audit Activities*, as applicable.

9.1 Before proceeding with the audit, PPB conducts a review of the application for audit services and maintains a record of the application to ensure that:

a) The requirements for audit services are clearly defined, documented, and understood;

b) Any difference in understanding between PPB and an applicant is resolved; and

c) PPB has the capability to perform audit services with respect to the scope of the approval sought, the location of an applicant's operations, and any special requirements, such as language used by an applicant.

9.2 PPB prepares a plan for its audit activities to allow management of the necessary arrangements, as applicable, for each Specific Audit Program.

9.3 PPB assigns an auditor who is appropriately qualified to perform the tasks for the specific audit. PPB Auditors are not assigned within a time period which could conflict with impartiality if they have a conflict of interest as defined by AMS Directive 365.1 Employee Responsibility and Conduct.

9.4 To ensure that a comprehensive and correct audit is carried out, the AMS Auditor(s) involved is provided with the appropriate working documents.

10 Audit

Audits are performed in accordance with *ISO 19011:2002 Section 6 Audit Activities*, as applicable.

PPB evaluates an applicant's program with respect to the requirements of a Specific Audit Program covered by the scope defined in the application or in the audit plan.

11 Audit Report

Audit reports are completed in accordance with *ISO 19011:2002 Section 6 Audit Activities*, as applicable.

PPB has adopted reporting procedures that suit its needs. At a minimum, a Specific Audit Program’s procedures ensure that:

a) PPB Auditor(s) assigned to audit an applicant for conformance to a Specific Audit Program provide PPB and the applicant with a report of findings as to the applicant's conformity with the requirements of a Specific Audit Program.

b) A full report on the outcome of the audit is promptly brought to an applicant's attention by PPB, identifying any non-conformance that needs to be addressed. Each Specific Audit Program specifies the extent to which an applicant is required to correct a non-conformance, the time limit for correction, and PPB auditor's actions to verify the effectiveness of an applicant's corrective action.

12 Decision on Approval

12.1 PPB decides whether or not to approve an applicant's program based on the information gathered during the audit process and any other relevant information. The person who approves an applicant's program is someone other than the person who perfomed the audit.

12.2 PPB does not delegate authority for granting, maintaining, extending, suspending, or withdrawing approval to an outside person or body.

12.3 PPB provides each applicant with formal notification, such as a letter, e-mail, or a certificate signed by a PPB representative who has been assigned such responsibility if/when the applicant's program has been approved. The notification procedure is established within each Specific Audit Program.

The formal notification identifies the following:

a) Name and address of the applicant whose program has been approved;

b) The scope of the approval granted, including, as appropriate:

1) The program approved, including any products produced under the program, if applicable;

2) The Specific Audit Program under which the approved program was audited; and

3) PPB as the approving authority.

c) The effective date of approval and the time period of the approval, if applicable.

12.4 In response to an application for an amendment to the scope of approval already granted, PPB makes the determination regarding which, if any, audit procedure is appropriate to determine if an amendment should be granted. Procedures for handling an amendment to the scope are established within each Specific Audit Program.

13 Surveillance Activities

13.1 PPB maintains documented procedures and requirements to enable surveillance to be carried out in accordance with each Specific Audit Program, as applicable.

13.2 PPB requires that an applicant inform the Branch, if applicable to the Specific Audit Program, about any changes cited in 4.6.2.c, such as intended modification to the program, manufacturing process or, if relevant, its management system, which may affect the conformity of the program, including product produced under the program. PPB determines whether the announced changes require further review(s). If product is produced under a modified applicant's program where the Branch was not informed of this modification, that product may be excluded from Specific Audit Program acceptability.

13.3 PPB maintains documentation and records of its surveillance activities, where applicable. Procedures for this documentation reside in each Specific Audit Program.

13.4 Where PPB authorizes the continuing use of its mark/shield for an approved program or on products produced under an approved program, PPB periodically evaluates the marked/shielded programs and/or products to confirm that they continue to conform to the requirements of a Specific Audit Program.

14 Use of Certificates and Marks/Shields of Conformity

14.1 PPB maintains proper control over ownership, use, and display of certificates and marks/shields of conformity.

14.2 PPB ensures that the use of certificates and marks/shields of conformity meet applicable regulations, the requirements of the U.S. Department of Agriculture and the Agricultural Marketing Service, and the requirements of the Specific Audit Program.

14.3 Incorrect references to an applicant's program approval or misleading use of certificates or marks/shields found in advertisements, catalogues, etc., is dealt with by suitable action.

15 Complaints to Applicants

PPB requires applicants, when outlined in a Specific Audit Program, to:

a) Keep a record of all complaints the applicant receives or is aware of relating to the applicant's conformance with audit program requirements, or conformance of products produced under the audit program, and the applicant shall make these records available to PPB when requested;

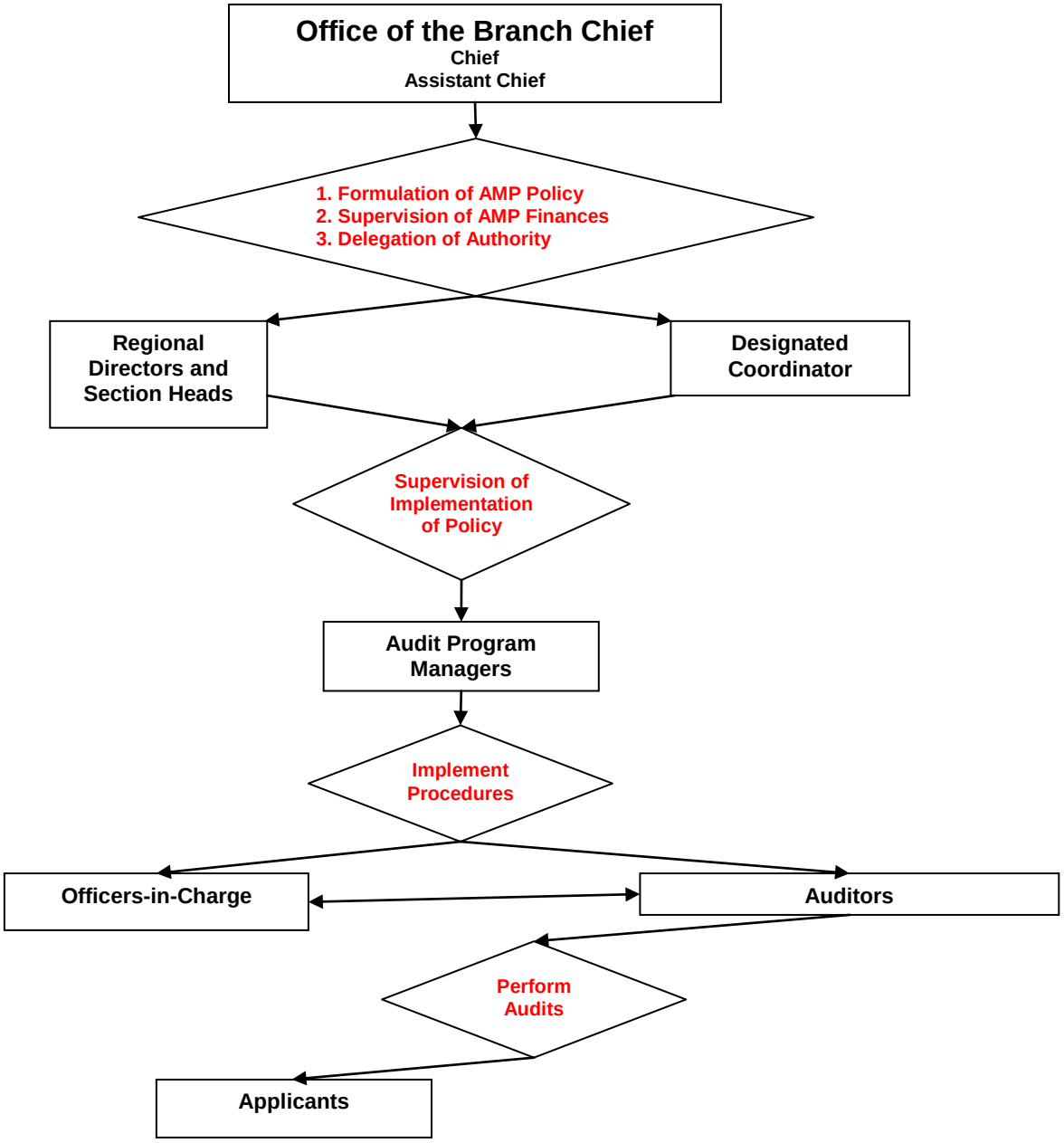
b) Take appropriate action with respect to such complaints and any deficiencies found in an applicant's program, or products, if applicable, that affect conformance with the requirements for approval; and

c) Document the actions taken.

Section	**Title**	**Alphanumeric Identification**
Index		
1	Audit Management Program Manual	
AMP Appendix A – Contains the following Supplemental AMP Documents.		
2	Audit Management Program Manual Index	AMP A1.0
3	Audit Management Structure Diagram	AMP A2.0
4	Audit Performance and Approval Diagram	AMP A3.0
5	Qualification, Training, and Experience Requirements for Auditors	AMP A4.0
	Audit Participation Journal	AMP A4.0a
	Auditor Refresher Knowledge and Skills Journal	AMP A4.0b
6	Qualification, Training, and Experience Requirements for PPB Personnel, Other Than Auditors, Involved in Audit Services	AMP A5.0
AMP Appendix B – Contains the following AMP Procedures, Instructions, and Worksheets.		
7	Procedure for Selecting Personnel to Be Involved in PPB Audit Services	AMP B1.0
	Worksheet for Evaluating Employee's Education, Experience, Skills, and Attributes for Auditor Training	AMP B1.0a
QMS Appendix B – Contains the following QMS Procedures, Instructions, and Worksheets which cover both AMP and QMS. See the QMS Manual Appendix B on the AGNIS AIM Management Intranet Site.		
8	Document Control Procedure	QMS B1.0
	Identification Instructions for Quality Management System and Audit Management Program Documents	QMS B1.1
9	Management Review Procedure	QMS B2.0
	Management Review Summary Report	QMS B2.0a

	Management Review Work Plan	QMS B2.0b
10	Internal Audit Procedure	QMS B3.0
	Internal Audit Instruction	QMS B3.1
	Internal Audit Matrix for QMS	QMS B3.1a
	Internal Audit Matrix for AMP	QMS B3.1b
	Defining Scope of Internal Audit	QMS B3.1c
	Internal Audit Plan	QMS B3.1d
	Internal Audit Report	QMS B3.1e
	Internal Audit Checklist for the QMS	QMS B3.1f
	Internal Audit Checklist for the AMP	QMS B3.1g
11	Corrective Action and Preventive Action Procedure	QMS B4.0
	Corrective Action and Preventive Action Instruction	QMS B4.1
	Corrective Action/Preventive Action Report (CPAR)	QMS B4.1a
	Corrective Action/Preventive Action Status Summary	QMS B4.1b
12	Control of Non-conforming Services and Products Procedure	QMS B5.0
13	Complaints, Disputes, and Appeals Procedure	QMS B6.0
	Complainant Information Summary	QMS B6.0a

Audit Management Structure Diagram



Audit Management Structure Diagram

Office of the Branch Chief

Chief – Terry B. Bane
Assistant Chief – Randle A. Macon

Regional Directors

Eastern Region – Sharon Hart-Braun
Western Region – Anthony D. Giannetta Jr.

Section Heads

Inspection and Standardization Section – Albert K. Hoover
Defense Contract Inspection Section – Richard B. Boyd

AMP Designated Coordinator

Renee L. Wassenberg

Audit Program Managers

Domestic Origin Verification Program – Renee L. Wassenberg

Plant Systems Audit Program – Renee L. Wassenberg

Qualified Through Verification – Lydia E. Berry

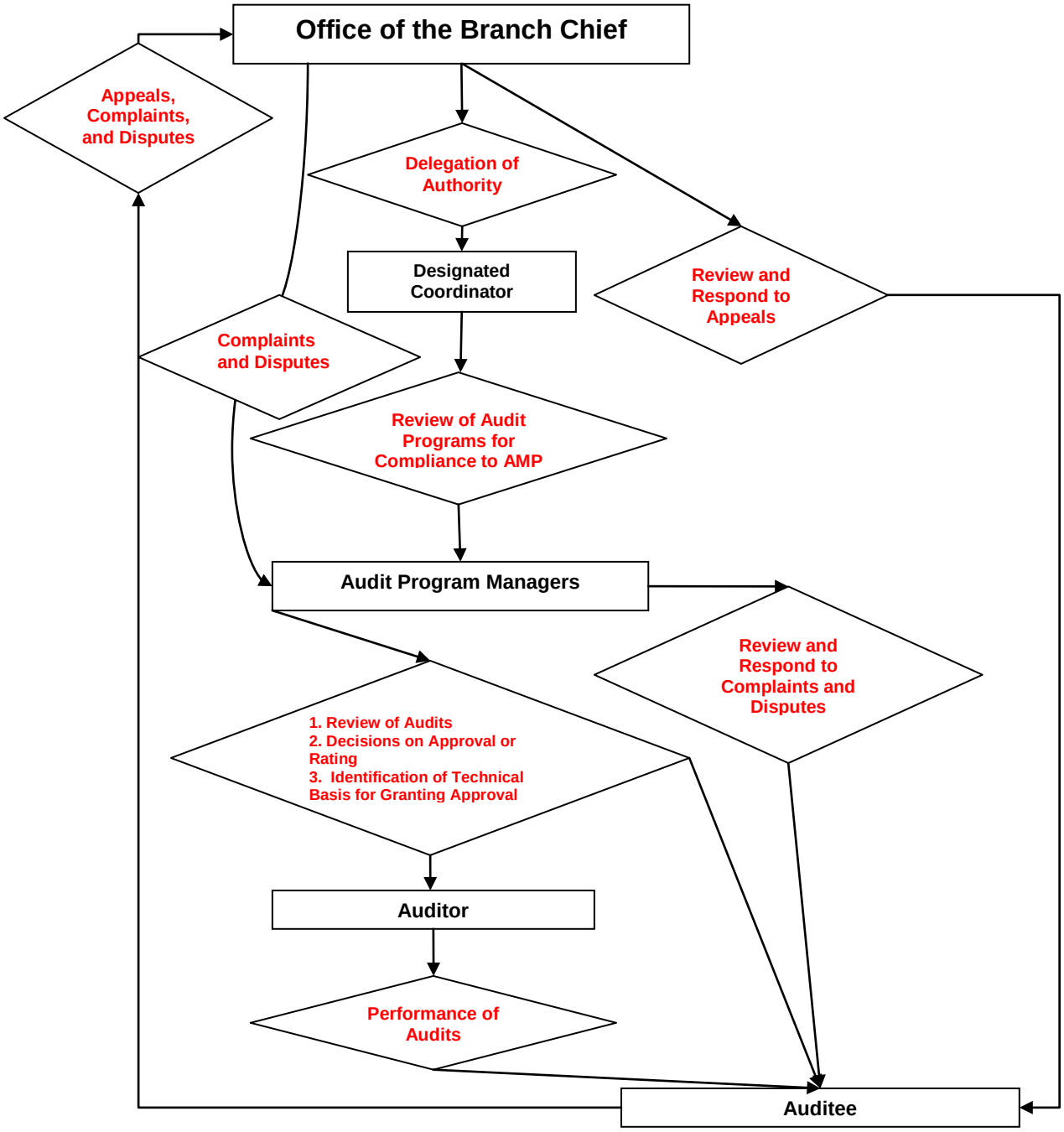
Officers-in Charge

Refer to the current OIC List

Auditors

Refer to the current Auditor List

Audit Performance and Approval Diagram



Qualification,Training, and Experience Requirements for Auditors

1.0 Scope

1.1 This document provides the qualification requirements including training, experience, and education requirements for Processed Products Branch (PPB) personnel performing audits, and the requirements for evaluating Auditors and Auditors-in-Training.

2.0 References

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

2.1 PPB Audit Management Program Manual, Section 5.2, Qualification Criteria

2.2 AMS Industry Services Audit and Accreditation Program (ISAAP), Auditor Criteria, AMS1C, dated 12/10/2007

2.3 ISO 19011:2002 Guidelines for quality and/or environmental management systems auditing

3.0 Definitions

3.1 PPB Auditor: An employee who has met all of the Fundamental Requirements, Training, and Audit Experience Requirements for the following Specific Audit Programs: Qualified Through Verification (QTV), Plant Systems Audit (PSA), Domestic Origin Verification (DOV), or other PPB audit program meeting the requirements of AMS ISAAP. An auditor must be competent to assume responsibility for all phases of the audit, is qualified to be a Lead Auditor, but may be part of an audit team not acting as the Lead Auditor on a specific audit; in this case the person will still be referred to as a PPB Auditor.

3.2 PPB Auditor-in-Training: (1) an employee who has met the Fundamental Requirements for a PPB Auditor, but has not met all the Training and Audit Experience Requirements for a QTV, PSA, or DOV program Lead Auditor, or (2) a PPB Auditor who has successfully met the all the requirements for one Specific Audit Program is considered a PPB Auditor-in-Training when he/she is training to meet the Training and Audit Experience Requirements for another Specific Audit Program. In this instance, the PPB Auditor must also successfully complete the Specific Audit Program training as defined by PPB.

Qualification, Training, and Experience Requirements for Auditors

3.3 Audit: A systematic, independent, and documented process for obtaining evidence and evaluating it objectively to determine the extent to which the criteria are fulfilled. The evaluation determines an applicant's ability to meet a Specific Audit Program.

3.4 Client Developed Program: A program in which the client sets the program requirements and PPB provides the personnel to perform the service. An example of a Client Developed Service Program is the Florida Quality Systems Certification (FQSC) Program.

3.5 Evaluator: A person knowledgeable of the policies and procedures applicable to the Specific Audit Program for which the audit is conducted. An evaluator usually is a Lead Auditor, but may be a supervisor, trainer, or a program manager.

3.6 Internal Audit: A process in which an objective and impartial evaluation is made of all or part of an organization's quality management system's implementation against agreed-upon criteria. Internal audits are used to evaluate the adequacy of documents used to implement the quality management system, whether quality management system requirements are being met, and the effectiveness of system implementation. (For the PPB QMS, which is based on ISO 9001, a process based standard, the effectiveness of the system implementation is determined by management review. Internal audits are used as an input to the management review). Internal audits are conducted by, or on behalf of, an organization for internal purposes and can form the basis for the organization's self-declaration of conformity.

3.7 Lead Auditor: An employee who is competent to assume responsibility for all phases of the audit or assessment and performs at the Team Leader during an audit. For the purpose of this document, Lead Auditor is used instead of "Team Leader" however, the terms are interchangeable.

3.8 Observer: A person who may accompany the audit team but is not a part of it and should not influence or interfere with the conduct or outcome of the audit. A PPB employee may attend an audit as an observer to get an understanding of the auditing process but may not participate (no auditing activities assigned).

3.9 Personal Attributes: The traits an auditor has. Personal attributes which help ensure audits and assessments are effective and reliable include: ethical, open-minded, diplomatic, observant, perceptive, versatile, tenacious, decisive, and self-reliant.

3.10 Specific Audit Program: QTV, PSA, DOV, or other audit programs which are defined by PPB and meet the AMS ISAAP requirements.

Qualification, Training, and Experience Requirements for Auditors

3.11 Witness Appraisal: An appraisal where an "Evaluator" attends an audit as an observer for the purpose of evaluating a PPB Auditor-in-Training's, or PPB Auditor's audit performance.

4.0 Fundamental Requirements for Selecting Personnel for Auditing (Prerequisites)

4.1 Prior to selection for training in a PPB Specific Audit Program or a Client Developed Program, all personnel selected for auditor training must possess the following:

4.1.1 Personal attributes important in the performance of auditing activities.

4.1.2 A high school diploma or equivalent.

4.1.3 Have completed a minimum of 36 months experience post-high school which shall be in an agricultural related field, such as: (1) an Agricultural Commodity Grader (ACG), (2) an Agricultural Marketing Specialist, (3) quality assurance, (4) food processing, (5) applicable farm experience, (6) auditing, (7) process control application, or (8) ISO application.

a) Education may be substituted for experience as follows: a 4 year course of study leading to a bachelor's degree in a related field (agriculture, statistics, science or business, etc.) will meet the experience requirement.

b) A combination of education and experience may be substituted for the 36 months of experience as follows: Combinations of successfully completed post-high school education and experience may be used to meet total qualification requirements for the 36 months experience. Combinations may be computed by (1) determining the total qualifying experience as a percentage of the 36 months experience required, (2) determining the education as a percentage of the education required for the grade level, and (3) adding the two percentages. The total percentage must equal at least 100 percent to qualify. (For examples of how to calculate the percentage see the OPM's Group Coverage Qualification Standards for Administrative and Management Positions.)

4.1.4 Demonstrate the ability to communicate effectively orally and in writing.

4.2 Personnel selected for training in a PPB Specific Audit Program (QTV, PSA and DOV) or a Client Developed Program (e.g., FQSC) must have the following specific experience:

4.2.1 GS-9 PPB Inspector-in-Charge (or higher), with experience in performing in-plant inspection or grading, or experience in technical areas applicable to the Specific Audit Program.

Qualification, Training, and Experience Requirements for Auditors

a) For the DOV program, experience in technical areas applicable to the DOV program must include reviewing or supervising domestic origin commodity traces.

4.2.2 An auditor from another AMS Program may be consider as meeting this experience requirement, providing they have equivalent experience.

a) For the QTV program, a person would be considered as meeting the experience requirement if he/she has 2 years HACCP auditing experience.

b) For the PSA and DOV programs, a person may be considered as meeting this requirement providing he/she has equivalent experience in a program similar to the PSA, or DOV program, respectively.

c) For the FQSC program, a person must have equivalent experience in a program similar to the FQSC program, for example the Partners-in-Quality audit program.

5.0 Training Courses Required Prior to Participating in an On-Site Audit as an Auditor-in-Training for a Specific Audit Program or Client Developed Service Program

5.1 For PPB Specific Audit Programs and the Client Developed Service Program, a trainee must successfully complete the following:

5.1.1 A PPB approved course for ISO 19011, Section 4, Principles of Auditing, and Section 6, Audit Activities.

5.1.2 A training course specific for the audit program as follows:

a) For the QTV, PSA, and DOV programs, a training course administered by PPB for the respective program.

b) For the FQSC program, a trainee must successfully complete the 20 hour Florida Department of Agriculture Consumer Services (FDACS) approved classroom auditor training for the FQSC program.

5.2 Additional training courses required for Specific Audit Programs are as follows:

5.2.1 The QTV and PSA programs require successful completion of a Good Manufacturing Practices (GMP) course which includes sanitation, and may either be conducted by PPB, or an external source.

Qualification, Training, and Experience Requirements for Auditors

5.2.2 The QTV program requires successful completion of Hazard Analysis Critical Control Point (HACCP) training, and certification from an external source is required.

5.2.3 The PSA program requires successful completion of Better Process Control School, and certification from an external source.

6.0 Auditor-in-Training On-site Audit Training Requirements for a Specific Audit Program, or Client Developed Service Program to be Qualified as a Lead Auditor

6.1 The QTV, DOV, and PSA programs' on-site training requirements for an Auditor-in-Training is participation in three (3) audits within a two (2) year period, and two (2) acting as Lead Auditor for the respective program, under the supervision of a Lead Auditor qualified in the respective audit program.

6.1.1 An Auditor-in-Training will be evaluated on at least two (2) audits where he/she acts as the Lead Auditor under the supervision of an evaluator, to demonstrate his/her ability to manage and coordinate audit activities. A complete audit is one which evaluates the entire program of a system.

6.1.2 AMS 1C1A, AMS ISAAP, Auditor-in-Training Evaluation Worksheet will be used to record performance, and he/she must perform at a "Satisfactory" level on these two audits prior to being considered a qualified auditor for that Specific Audit Program.

6.2 The FQSC program has the same three-audit participation requirement, but the audits may be under the supervision of a Lead Auditor for the Fresh Products Branch's Partners-in-Quality program.

6.2.1 An Auditor-in-Training for the FQSC program must act as the Lead Auditor on a FQSC audit under the supervision of a qualified FQSC auditor to demonstrate his/her ability to manage and coordinate FQSC audit activities.

6.2.2 The Lead FQSC Auditor will provide recommendations to the FQSC audit program manager concerning the Auditor-in-Training's performance as a Lead Auditor for the FQSC program.

7.0 Lead Auditor Training Course Requirement for Specific Audit Programs

7.1 Prior to acting as a Lead Auditor for QTV, PSA, or DOV, an Auditor-in-Training must successfully complete an AMS approved course for ISO 9001 Lead Auditor Training.

8.0 Training Requirement for an Auditor "Qualified" in One or More Specific Audit Programs to Train for Another Specific Audit Program for which He/She is Not Qualified

Qualification, Training, and Experience Requirements for Auditors

8.1 An Auditor who is qualified for one Specific Audit Program will be considered an Auditor-in-Training when training for another Specific Audit Program.

8.1.1 The Auditor-in-Training must satisfactorily complete the course work in section 5.1 and 5.2 of this instruction, and participate in two (2) audits acting as the Lead Auditor for the Specific Audit Program for which he/she is training.

8.1.2 The Auditor-in-Training must perform at a "Satisfactory" level while acting as Lead Auditor prior to being considered a qualified Auditor for that Specific Audit Program.

9.0 Refresh Knowledge and Skills

9.1 PPB Auditors qualified in one or more Specific Audit Programs are required to refresh their knowledge and skills every 3 years with 80 hours of training and/or attendance at meetings, conferences, seminars, or workshops.

9.1.1 Audit related on-line courses are strongly encouraged. Trainers will also receive credit for courses they instructed.

9.1.2 Each auditor is required to keep a journal of their professional development activity, AMP A4.0b, PPB Auditor Refresher Knowledge and Skills Journal.

9.2 Auditors are encouraged to seek advanced training, and it is strongly recommended that they become certified as American Society for Quality, Certified Quality Auditors (ASQ CQA) or Certified HACCP Auditors (ASQ HACCP).

9.3 For FQSC auditors, four (4) hours of FDACS approved auditor refresher training is required each year.

10.0 Number of Annual Audits

10.1 PPB Auditors for Specific Audit Programs are required to perform 2 audits, annually, in each Specific Audit Program for which they are qualified to remain an "active" PPB Auditor.

10.2 PPB Auditors and Auditors-in-Training are required to keep an audit log of the audits where they were a Lead Auditor, Lead Auditor-in-Training, Auditor, or Auditor-in-Training.

10.2.1 Audit personnel are required to continuously enter audit and audit training information into the AMP A4.0a, PPB Audit Participation Journal.

10.3 For a PPB Auditor to become "active" after a period of inactivity, the Specific Audit

Program manager will evaluate the auditor's previous history of audits, performance, period of inactivity, and will determine what will be required of the auditor to become active again.

10.4 Audits where the Lead Auditor takes the role as an evaluator will be counted toward the number of audits for that Specific Audit Program for the evaluator.

11.0 Auditor Performance Evaluation

11.1 An evaluator shall prepare an AMS 1C1, AMS ISAAP, Performance and Training Evaluation Procedure for AMS Auditors, at least annually, concurrent with the annual employee performance appraisal for each Specific Audit Program (QTV, PSA, and DOV) and for the Client Developed Service Program (FQSC) program for which the Branch considers the auditor qualified.

11.2 The PPB Auditor shall perform at a "Satisfactory" level while acting as the Lead Auditor to remain qualified for the Specific Audit Program.

12.0 Audit Team Requirements

12.1 FQSC Audit Team Requirements are as follows:

12.1.1 At least two (2) FQSC Auditors will make up a team,

12.1.2 At least one (1) auditor shall be experienced in Florida Citrus Processing, and

12.1.3 Each audit team shall have a Lead Auditor assigned.

12.2 QTV Audit Team Requirements are as follows:

12.2.1 At least (2) auditors, preferably three (3), will make up a team (an auditor may be a Lead Auditor qualified in the QTV Program, or an Auditor-in-Training), and

12.2.2 Each audit team shall have a Lead Auditor assigned.

12.3 There is no Audit Team Requirement for PSA Audits. Only (1) Lead Auditor qualified in the PSA Program is required for each audit.

12.4 Most DOV audits require only one Lead Auditor qualified in the DOV Program to conduct DOV audits.

Qualification, Training, and Experience Requirements for Auditors

12.4.1 The complexity of the facility may require a two (2) or three (3) person audit team. The number of DOV auditors will be determined by the DOV Program Manager concurring with the Lead Auditor assigned.

13.0 PPB Internal Auditors

13.1 A PPB internal auditor shall be competent in, and possess, the skills, training, education, background, and experience to perform assigned internal audits.

13.1.1 A PPB Internal Auditor shall meet the following requirements:

a) Meet the fundamental requirements as identified in Section 4.1 of this document,

b) Successfully complete an AMS approved course for ISO 9001Lead Auditor Training,

c) Successfully complete a PPB approved course for Internal Auditing, or have other training or experience to understand the difference between internal auditing and third party auditing.

d) Have acted as the Lead Auditor on at least 3 audits,

e) Be objective so that personal feelings, opinions, or interests do not influence any audit result,

f) Be impartial so as not to favor one part of the organization, one manager, or one process over others,

g) Have an evidence-based focus so that the audit process is focused on determining the truth,

h) Have the ability to garner cooperation and trust from those who are audited (field offices, regions, etc.),

i) Have the ability to gather evidence with Branch performance improvement in mind,

j) Not be the individual who performed or supervised the activity being audited,

k. Be able to make good judgments based on the sample sizes drawn to achieve high statistical confidence levels,

l. Have an understanding of the structure and processes within the PPB

Quality Management System, including those at the field, region, and headquarters levels,

m) Be knowledgeable of the process(es) audited, e.g., for the Audit Management Program, the internal auditor shall, within the last 3 years, have met the PPB Auditor (Lead Auditor) requirements for at least one of PPB's Specific Audit Programs, and

n) Be available to prepare the audit plan, conduct the audit, and prepare or assist in preparing the audit report.

14.0 Audit Team Requirements for Internal Auditor

14.1 PPB Internal Audit Team Requirements are as follows:

14.1.1 At least two (2) Auditors will make up a team,

14.1.2 At least one (1) auditor shall be experienced in each process identified to be audited for the specific internal audit, and

14.1.3 Each audit team shall have a Lead Auditor assigned.

15.0 Associated Documents

15.1 AMS ISAAP, AMS 1C1, Performance and Training Evaluation Procedure for AMS Auditors

15.2 AMS ISAAP, AMS 1C1A, Auditor-in-Training Evaluation Worksheet

15.3 AMS ISAAP, AMS 1C1B, Auditor Evaluation Worksheet

15.4 PPB AMP, AMP A4.0a, PPB Audit Participation Journal

15.5 PPB AMP, AMP A4.0b, PPB Auditor Refresher Knowledge and Skills Journal

Audit Participation Journal

PPB Audit Participation Journal
Beginning January 1, 2007
Name:
Field Office:

Date(s) of Audit: ***MM/DD/ YY***	***Specific Audit Program: QTV, PSA, DOV, or Other*** ***(If other explain)***	***Indicate Scope:*** ***ALL (Audited all Requirements) or LS (Limited in Scope)***	***Name of Auditee***	***Corresponding City and State where audit was conducted***		***Designate your role:*** ***LA - Lead Auditor*** ***LAIT - Lead Auditor-in-Training*** ***A - Auditor*** ***O - Observer***
Example: 12/13/07	*DOV*	*ALL*	*Tarkenton Processing*	*Temple*	*TX*	*LA*

Auditor Refresher Knowledge and Skills Journal

PPB Auditor Refresher Knowledge and Skills Journal
Three (3) Year Period Beginning
Name:
Field Office:

Activity Key
1. ***Attended conferences, seminars, workshops, and forums sponsored by USDA, AMS , another AMS Branch, or technical Society/Organization applicable and/or relevant to auditing or accreditation***
2. ***Attended PPB approved courses that clearly apply to audit and/or accreditation***
3. ***Attended PPB approved meetings related to audit and/or accreditation, such as: monthly membership meetings for ASQ, or other technical societies that are technically or professionally based and applicable and/or relevant to auditing or accreditation***
4. ***Taught AMS approved courses that clearly apply to audit and/or accreditation***
5. ***Participated on AMS approved committees related to audit and/or accreditation services, ASQ, or other professional associations that contribute to the advancement of the quality profession which may be on a section, division, technical, or national level***
6. ***Other, describe/explain relevance, etc.***

Month/ Day/ Year *1-2-07*	***Activity:*** *Indicate 1 - 6 from the above list*	**Title of Activity:**	***Hours Claimed:***	***Sponsored by:*** *Indicate Organization (AMS, PPB, ASQ, AMSTI, etc.)*

Qualification, Training, and Experience Requirements for PPB Personnel, Other than Auditors, Involved in Audit Services

1.0 Scope

1.1 This document provides the qualification requirements including training, experience, and education requirements for Processed Products Branch (PPB) personnel, other than auditors, who are involved in PPB audit services.

2.0 References

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

2.1 PPB Audit Management Program Manual, Section 5.2, Qualification Criteria

3.0 Qualification and Experience Requirements

3.1 The Branch Chief and Assistant Branch Chief have official position descriptions which establish the qualifications and experience necessary to administer the Audit Management Program (AMP) and include the following:

3.1.1 Expert understanding of the structure and processes within PPB including those at the field, regional, and headquarter levels.

3.1.2 Knowledge of the overall aspects and functions of PPB audit programs.

3.1.3 Expert knowledge of fruits, vegetables, and related products inspected by PPB with respect to growing, harvesting, preparation for processing, packing procedures, warehousing, and distribution.

3.1.4 A thorough understanding of food processing.

3.1.5 A thorough understanding of the administrative procedures of PPB.

3.1.6 Familiarity with the requirements of the Federal and State regulatory agencies.

3.1.7 Expert knowledge of the financial responsibilities of administering the business operations of PPB.

3.1.8 Knowledge of PPB operations and programs to formulate PPB policy within the umbrella of USDA and the Agricultural Marketing Service.

Qualification, Training, and Experience Requirements for PPB Personnel, Other than Auditors, Involved in Audit Services

3.1.9 Ability to provide technical direction, analyze PPB programs, supervise managers, and maintain good relationships with industry.

3.1.10 Ability to administer the development and implementation of new programs to meet industry needs.

3.1.11 Effective oral and written communication skills to convey the vision and goals of PPB's AMP.

3.1.12 Knowledge of the Agricultural Marketing Service, Industry Services Audit and Accreditation Program (ISAAP), to ensure PPB meets AMS, ISAAP requirements.

3.2 The Regional Directors, Assistant Regional Directors, Branch Section Heads, and Officer's-in-Charge of Area Offices have official position descriptions which establish the qualifications and experience necessary to administer the responsibilities assigned to them regarding the AMP and include the following:

3.2.1 Understanding of the structure and processes within the PPB including those at the field, regional, and headquarter levels, as appropriate for their position.

3.2.2 Knowledge of the overall aspects and functions of the PPB audit programs.

3.2.3 Knowledge of fruits, vegetables, and related products inspected by PPB with respect to growing, harvesting, preparation for processing, packing, warehousing, and distribution.

3.2.4 A thorough understanding of food processing.

3.2.5 A thorough understanding of the administrative procedures of PPB.

3.2.6 Familiarity with the requirements of the Federal and State regulatory agencies.

3.2.7 Knowledge of the financial responsibilities of administering the business operations of PPB.

3.2.8 Knowledge of PPB operations and programs to participate in the formulation of PPB policy within the umbrella of USDA and the Agricultural Marketing Service.

3.2.9 Ability to provide technical direction, analyze PPB programs, supervise subordinates, and maintain good relationships with industry.

Qualification, Training, and Experience Requirements for PPB Personnel, Other than Auditors, Involved in Audit Services

3.2.10 Ability to administer the development and implementation of new programs to meet industry needs.

3.2.11 Effective oral and written communication skills to convey the vision and goals of PPB's AMP to all PPB employees.

3.3 Designated Coordinator for PPB Auditing Programs will possess the following:

3.3.1 Understanding of the auditing structure and processes within PPB including those at the field, regional, and headquarter levels.

3.3.2 Knowledge of the overall aspects and functions of the PPB audit programs.

3.3.3 Knowledge of the Agricultural Marketing Service, ISAAP, to ensure PPB meets AMS, ISAAP requirements.

3.3.4 Effective oral and written communication skills to:

a) Relate findings, conclusions, and suggested corrective actions resulting from internal and external quality system audits;

b) Administer the information sharing on audit related PPB business;

c) Analyze data and information to prepare reports for PPB Management;

d) Coordinate internal training for auditing personnel; and

e) Communicate with other AMS audit personnel, including ISAAP, to provide the Branch Chief with pertinent information to assist in decisions related to audit programs.

3.3.5 Ability to review audit and accreditation program activities, and recommend new and innovative approaches to assure optimum efficiency, effectiveness, and utilization of PPB audit programs and potential accreditation program.

3.3.6 General knowledge of fruits, vegetables, and related products inspected by PPB with respect to growing, harvesting, preparation for processing, packing procedures, warehousing, and distribution.

3.3.7 General knowledge of statistical and analytical methods and procedures, in order to evaluate the relevance and effectiveness of quality systems.

Qualification, Training, and Experience Requirements for PPB Personnel, Other than Auditors, Involved in Audit Services

3.3.8 Knowledge of computers and software including their use in summarizing and transmitting information.

3.3.9 Ability to act as a team leader.

3.3.10 Experience managing at least one of the PPB Specific Audit Programs.

3.4 Audit Program Managers for Specific Audit Programs will:

3.4.1 Possess an understanding of the structure and processes within the PPB Audit Management Program including those at the field, regional, and headquarter levels.

3.4.2 Meet the Fundamental Requirements for Selecting Personnel for Auditing, see Section 4.0 of AMP A.3, Qualifications, Training, and Experience Requirements for Auditors, which includes experience requirements.

3.4.3 Have acted as the Lead Auditor on at least 3 audits.

3.4.4 Be objective so that personal feelings, opinions, or interests do not influence any audit result.

3.4.5 Be impartial so as not to favor part of the organization, a manager, an auditor, or a process over others.

3.4.6 Display evidence-based thinking so that the audit process is focused on determining the truth.

3.4.7 Have the ability to garner cooperation and trust from those who are audited (field offices, regions, etc.).

3.4.8 Be able to make good judgments.

3.4.9 Be knowledgeable of the process(es) required by the Specific Audit Program.

3.4.10 Be available to assist and train auditors in preparing audit plans, conducting audits, preparing audit plans, and all other functions of the auditing process.

Qualification, Training, and Experience Requirements for PPB Personnel, Other than Auditors, Involved in Audit Services

4.0 Training Requirements

4.1 Branch Chief, Assistant Branch Chief, Regional Directors, Assistant Regional Directors, Section Heads, Officer's-in-Charge, and Designated Coordinator will:

4.1.1 Successfully complete an AMS approved course for ISO 9001 or other course appropriate to the management level in which they are acting.

4.1.2 Successfully complete an approved Hazard Analysis Critical Control Pont (HACCP) course.

4.1.3 Successfully complete an approved Better Process Control School course.

4.2 Audit Program Managers for Specific Audit Programs will:

4.2.1 Meet the training requirements for the applicable Specific Audit Program for which they are selected to manage, see Section 5.0, 6.0, 7.0 and 8.0 of AMP A4.0, Qualification, Training, and Experience Requirements for Auditors.

5.0 Associated Documents

5.1 PPB AMP, AMP A4.0, Qualification, Training, and Experience Requirements for Auditors

Procedure for Selecting Personnel To Be Involved in PPB Audit Services

1.0 Purpose

1.1 This procedure sets out the requirements for defining responsibility and authority for selecting Processed Products Branch (PPB) personnel to be involved in the PPB Audit Services as defined in PPB's Audit Management Program (AMP).

2.0 References

The following referenced documents are indispensable for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

2.1 PPB Audit Management Program Manual, Section 5.2, Qualification Criteria

2.2 PPB Audit Management Program Manual, AMP A4.0, Qualification, Training, and Experience Requirements for Auditors

2.3 PPB Audit Management Program Manual, AMP A5.0, Qualification, Training, and Experience Requirements for Personnel, Other Than Auditors, Involved in PPB Audit Services

3.0 Responsibility

3.1 The PPB Branch Chief has overall responsibility for the effectiveness of the selection process for auditors and other personnel involved in PPB audit programs. The PPB Branch Chief will:

3.1.1 Ensure that the PPB audit management personnel are competent to perform their assigned duties.

3.1.2 Designate an AMP Coordinator with direct access to top management who, irrespective of other responsibilities, has defined authority for (1) ensuring that an audit management system is established, implemented and maintained, and (2) reporting on the performance of the audit management system to top management during the management review. Specific qualification requirements are outlined in AMP A.4, PPB Qualification, Training, and Experience Requirements for PPB Personnel, Other Than Auditors, Involved in Audit Services.

Procedure for Selecting Personnel To Be Involved in PPB Audit Services

Note: This selection is at the discretion of the Branch Chief.

a) Coordinates the activities of the AMP with the PPB Specific Audit Program Managers, Regional Directors, Field Offices, Internal Auditors, and others inside and outside the Branch.

3.1.3 Designate a Program Manager for each Specific Audit Program PPB administers based on the qualification, training, and experience requirements cited in AMP A.4.

Note: These selections are at the discretion of the Branch Chief.

a) Each Program Manager is responsible for ensuring that:

1) PPB auditors assigned to perform audits are qualified for the respective Specific Audit Program for which they are assigned,

2) the required training is provided for employees selected to perform PPB audits, and

3) personnel involved in PPB audit services are evaluated on their performance.

3.1.4 Assign Internal Auditors based on recommendations by the AMP Coordinator and the qualification, training, and experience requirements cited in AMP A.3.

Note: These selections are at the discretion of the Branch Chief.

3.2 PPB Regional Directors will:

3.2.1 Ensure that the personnel selected for auditor training meet the PPB Fundamental Requirements as cited in Qualification, Training, and Experience Requirements for Auditors, AMP A4.0.

3.2.2 Select personnel for auditor training, giving consideration to the following:

1) Current employee's work assignment and availability to perform audits,

2) Employee's interest in becoming an auditor,

3) Area office's workload, and

4) Any other factor affecting the workload of a specific area office, or employee's

assignment(s), including financial impact.

3.2.3 Submit a list of personnel selected for auditor training to the Branch Chief for review.

3.3 PPB Officer's-in-Charge of Area Offices will:

3.3.1 Provide all employees the opportunity to state their interest in auditing.

4.0 Process for Selecting Personnel to Be Trained as Auditors

4.1 Specific Audit Program Managers will:

4.1.1 Notify PPB Management of the need for additional auditors for a Specific Audit Program, the geographical areas where auditors are needed, and the number of auditors needed.

4.2 PPB Regional Directors will:

4.2.1 Review the education, skills, attributes, and experience requirements necessary for personnel involved in the Specific Audit Program.

4.2.2 Confer with the Officers-in-Charge who are responsible for the areas where auditors are needed to determine if there are any available personnel with the education, skills, attributes, and experience required.

4.2.3 Confer with the Specific Audit Program Manager, as applicable, regarding the personnel considered for auditor training.

4.2.4 Select for auditor training, the most highly qualified personnel who possess the required education, experience, skills, and attributes.

4.3 PPB Officers-in-Charge of Area Offices will:

4.3.1 Provide a Worksheet for Evaluating Employee's Education, Experience, Skills, and Attributes for Auditor Training (AMP B1.0a) to each interested employee.

4.3.2 Verify the information on the AMP B1.0a provided by each employee, using the same worksheet to record the results of the verification.

4.3.3 Compile a list of interested employees based on the AMP B1.0a worksheets received.

4.3.4 Provide the list of interested employees and completed AMP B1.0a worksheets to the respective Regional Director.

Procedure for Selecting Personnel To Be Involved in PPB Audit Services

5.0 Records

Records of PPB employees' qualification, training, and experience will be kept at the Area Office. The completed AMP B1.0a worksheets will be kept at the respective Regional Office.

6.0 Associated Documents

6.1 PPB AMP, AMP B1.0a, Worksheet for Evaluating Employee's Education, Experience, Skills, and Attributes for Auditor Training

Worksheet for Evaluating Employee's Education, Experience, Skills, and Attributes for Auditor Training

Employee's Name:	
Position:	
Field Office:	
Specific Audit Program(s) (PSA, QTV, DOV, or other) under consideration	

Requirements	**Employee's Self Evaluation**		**Information Verified** *(Officer-in-Charge)*	
Section 1 **Education Required**	**Yes**	**No**	**Yes**	**No**
High school diploma or equivalent.	☐	☐	☐	☐
Higher education, Please indicate the degree or years of higher education and your field of study:				
Number of years above 12:				
Field:				
Completed 36 months experience post-high school in the field of agricultural/food technology. *If No, do not proceed, not qualified.*	☐	☐	☐	☐
GS-9 Inspector-in-Charge level employee or higher, or the equivalent of seven (7) years full-time experience performing in-plant inspection or grading, or experience in technical areas applicable to PPB audit programs. *If No, do not proceed, not qualified.*	☐	☐	☐	☐
Section 2 **Personal Attributes Required**				
Candidate understands that the successful auditor will be expected to demonstrate the following attributes: Ethical, Open minded, Diplomatic, Observant, Perceptive, Versatile, Tenacious, Decisive, and Self Reliant	☐	☐	☐	☐

Worksheet for Evaluating Employee's Education, Experience, Skills, and Attributes for Auditor Training

Section 3 Skills Required	**Employee's Self-evaluation**		**Evaluator - Assign a Rating of 1 (Low) to 5 (High) or "NA" if not applicable**
	Yes	**No**	
Demonstrated ability to effectively communicate orally	☐	☐	
Demonstrated ability to effectively communicate in writing	☐	☐	
Interest in learning new jobs	☐	☐	
Computer skills - Microsoft Word	☐	☐	
Ability to use e-mail	☐	☐	
Ability to use Microsoft Excel	☐	☐	
Other relevant skills – list:			
Total Score (add all ratings in section 3):			

Section 4 Experience Required prior to either QTV or PSA Training	**Yes**	**No**	**Experience verified**	
			Yes	**No**
2 years specific experience in performing PPB plant surveys or PPB internal audits	☐	☐	☐	☐
Section 5 Experience Required prior to DOV Training			**Experience verified**	
			Yes	**No**
2 years specific experience in performing or supervising domestic origin commodity traces	☐	☐	☐	☐
Audit Related Training			**Training Verified**	
	Yes	**No**	**Yes**	**No**
HACCP – Hazard Analysis Critical Control Point *(Required for QTV)*	☐	☐	☐	☐
Sanitation Training Class *(Required for QTV and PSA)*	☐	☐	☐	☐
Better Process Control School *(Required for PSA)*	☐	☐	☐	☐
Other relevant training – list:				
	☐	☐	☐	☐
	☐	☐	☐	☐
	☐	☐	☐	☐

Evaluator's Signature:	**Recommend Training (Yes or No):**	**Date:**
Regional Director's Signature:	**Recommend Training (Yes or No):**	**Date:**