AMS ISAAP
AMS Auditor Criteria

ISAAP 1C

This document summarizes the qualifications necessary to achieve AMS Auditor status and the requirements necessary to maintain AMS Auditor status. This document specifically outlines the fundamental, standard, and advanced training options and defines audit experience and continual professional development requirements for AMS Auditors, AMS Internal Auditors, and technical experts.

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1 Scope

This document provides the requirements for AMS Auditors who conduct audits and/or assessments under the AMS Industry Services Audit and Accreditation Programs (AMS ISAAP).

2 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 AMS Auditor-in-Training Evaluation Procedure (ISAAP 1C1)
2.2 AMS Auditor Performance Evaluation Procedure (ISAAP 1C2)
2.3 Managing AMS Auditor Qualifications Procedure, Guidelines for the AMS Auditor Database, (ISAAP 1C3)
2.4 ISO 19011:2002 Guidelines for quality and/or environmental management systems auditing
2.5 Office of Personnel Management (OPM) Qualification Standards for General Schedule Positions, Group Coverage Qualification Standards for Administrative and Management Positions.

3 AMS Auditor Criteria

The AMS Auditor Criteria are based on 5 core requirements: personal attributes, education, work experience, auditor training, and audit experience. The core requirements for an AMS Auditor are outlined below and in Figure 1 – Five Core Auditor Requirements.

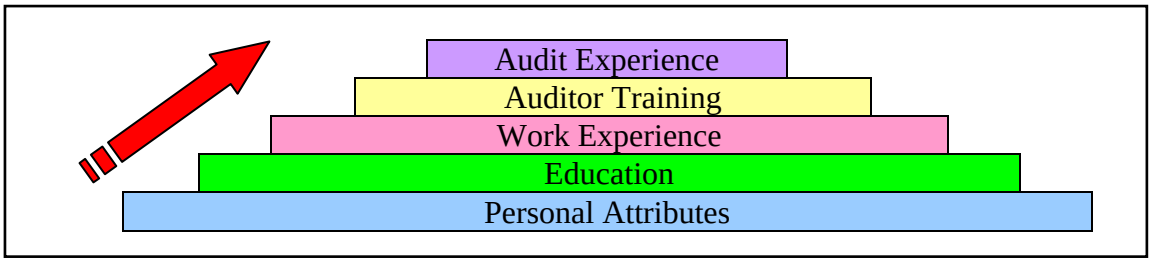

Figure 1C-1 Five Core Auditor Requirements

The 5 core requirements are further defined and grouped into the following 4 modules: Fundamental Requirements, Standard Training Requirements and Audit Experience, Training and Performance Evaluations, and Continual Professional Development. AMS Auditors may choose to complete the Advanced Training Recommendation, an optional module.

The Fundamental Requirements Module incorporates 3 of the 5 core requirements including personal attributes, education and work experience. The Standard Training Requirements and Audit Experience Module incorporates the remaining 2 AMS Auditor Criteria core requirements; auditor training and audit experience. The Training and Performance Evaluations Module, Continual Professional Development Module, and the optional Advanced Training Recommendation Module illustrate AMS' commitment to the continuous development of AMS Auditors and improvement of AMS audit and accreditation services

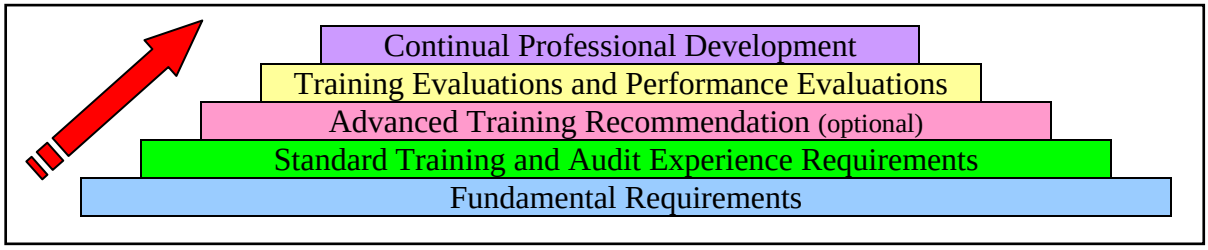

Figure 1C-2 AMS Auditor Criteria

3.1 Fundamental Requirements

3.1.1 An employee seeking to qualify as an AMS Auditor-in-Training, shall meet all of the following Fundamental Requirements:

a. Possess personal attributes important in the performance of auditing activities.
b. Have a high school diploma or equivalent.
c. Have completed a minimum of 3 years 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.
    1. Education may be substituted for experience. A 4-year course of study leading to a bachelor's degree in a related field (agriculture, statistics, science or business) will meet the experience requirement.
    2. A combination of education and experience may be substituted for the 3 years of experience: Combinations of successfully completed post-high school education and experience may be used to meet total qualification requirements for the 3 years experience. Combinations may be computed by (1) determining the total qualifying experience as a percentage of the 3 years 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.)
d. Demonstrate the ability to effectively communicate orally and in writing.
e. Have successfully completed an AMS approved course for ISO 19011 Section 4 Principles of Auditing and Section 6 Audit Activities.
f. Have successfully completed Specific Audit Program Training and/or Specific Accreditation Program Training as defined by the AMS Branch.

3.1.2 An employee who completes the Fundamental Requirements is considered an AMS Auditor-in-Training.

3.1.3 An employee who does not meet the Fundamental Requirements may participate only as an observer.

3.2 Standard Training and Audit Experience Requirements

3.2.1 The Standard Training and Audit Experience Requirements require an AMS Auditor-in-Training to:

a. Demonstrate the ability to manage and coordinate audits and/or assessments.
b. Meet the training requirements based on the type of audit or accreditation program:
   1. Client Developed Service Program – No additional requirements.
   2. USDA Process Audit Program – successfully complete an AMS approved course for process-based auditing.
   3. USDA Quality Management System (QMS) Program - successfully complete an RABQSA/IRCA certified ISO 9001:2000 Lead Auditor training course.
   4. USDA Process Verified Program - successfully complete a RABQSA/IRCA certified ISO 9001:2000 Lead Auditor training course.
   5. USDA Environmental Management System (EMS) Program - successfully complete a RABQSA/IRCA certified ISO 14001:2004 Lead Auditor training course.
   6. USDA HACCP Audit Program - successfully complete an AMS ISAAP approved HACCP training course.
   7. USDA Testing and/or Calibration Laboratory Accreditation Program - successfully complete a RABQSA/IRCA certified ISO/IEC 17025:2005 Lead Auditor training course; or an AMS ISAAP approved training course for calibrations and/or tests performed, as applicable.
   8. USDA Certification Body Accreditation Program - successfully complete an AMS ISAAP approved ISO/IEC Guide 65:1996 training course.

NOTE: Where training requirements state "RABQSA/IRCA certified", this means that the training course must be approved by either the Registrar Accreditation Board Quality Society of Australasia (RABQSA) International, Inc. or the International Registrar of Certificated Auditors (IRCA) and administered through their respective certified trainers.

When a RABQSA/IRCA certified training course is not available, the AMS Branch may request an exemption to use an AMS ISAAP approved training course. The AMS Branch shall submit the request to the AMS ISAAP Manager for approval by the AMS ISAAP Functional Committee.

c. Participate in a minimum of 3 complete audits and/or assessments within a 2-year period. (A complete audit or assessment is one that evaluates the entire program or system.)
   1. Two complete audits and/or assessments shall be for a Specific Audit Program or a Specific Accreditation Program.
   2. The Auditor-in-Training shall act in the capacity of a team leader under the supervision of an evaluator for 2 audits or assessments.
   3. For every audit or assessment the AMS Auditor-in-Training participates in, the evaluator must complete the AMS Auditor-in-Training Evaluation Worksheet.
   4. The AMS Auditor-in-Training must perform at an overall "Satisfactory" level for 2 complete audits or assessments in which he/she acted as a team leader in order to be eligible to become an AMS Auditor.

3.2.2 An AMS Auditor must:

a. Participate in at least three complete audits or assessments in which he/she is qualified every 2 years; and
b. Refresh their knowledge and skills in accordance with Section 6 of this document.

3.2.3 An AMS Team Leader must:

a. Participate in at least two audits or assessments annually, acting in the capacity of a team leader for the specific program they are qualified for; and
b. Refresh their knowledge and skills in accordance with Section 6 of this document.

NOTE: A Program Manager who participates in at least two audits or assessments annually, regardless of capacity, meets the requirement outlined in 3.2.3.a.

3.3 Advanced Training Recommendation

3.3.1 AMS Auditors are encouraged to become an American Society for Quality, Certified Quality Auditor (ASQ CQA).

4 Performance and Training Evaluation Procedures

4.1 All AMS Auditors-in-Training shall be evaluated according to the AMS Auditor-in-Training Evaluation Procedure (ISAAP 1C1).

4.2 All AMS Auditor's performance shall be evaluated according to the AMS Auditor Performance Evaluation Procedure (ISAAP 1C2).

5 Continual Professional Development

5.1 To maintain AMS Auditor status, an AMS Auditor shall fulfill continual professional development requirements by completing a combined total of 80 hours continual professional development, excluding travel and social time, during a 3-year period. This period starts when initial AMS Auditor status is achieved and ends on its third anniversary; then consecutively satisfied every 3 years thereafter.

5.2 The following areas qualify for continual professional development:

a. Complete AMS ISAAP Approved AgLearn courses;
b. Attend AMS approved conferences, seminars or workshops related to audit and/or accreditation services;
c. Teach AMS approved courses that apply to audit and/or accreditation services;
d. Attend AMS approved courses that apply to audit and/or accreditation services;
e. Attend AMS approved meetings related to audit and/or accreditation services such as monthly membership meetings for ASQ or other technical societies that are technically or professionally based; or
f. Participate 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, national, or international level.
g. Certification as American Society for Quality, Certified Quality Auditor (ASQ CQA), Certified Hazard Analysis and Critical Control Point (HACCP) Auditor, or Manager of

Quality/Organizational Excellence (CMQ/OE) is considered as meeting the requirement to refresh knowledge and skills for a combined total of 80 hours.

6 Internal Auditor Criteria

6.1 An AMS ISAAP Internal Auditor shall meet all of the following requirements:

a. Have successfully met the AMS Auditor requirements for at least one Specific Audit Program or Specific Accreditation Program, and
b. Have successfully completed an AMS ISAAP approved RABQSA/IRCA certified ISO 9001:2000 Internal Auditor course.

6.2 An AMS ISAAP Internal Auditor is qualified to conduct internal audits for the AMS ISAAP.

NOTE: An AMS Branch shall identify its own internal auditor criteria based on its AMS Branch Audit Management Program (see Section 4.7.1 of that management program) or it's AMS Branch Accreditation Management Program (see Section 5.7 of that management program).

7 Technical Expert Criteria

7.1 A technical expert shall meet all of the following fundamental requirements:

a. Possess personal attributes important in the performance of auditing activities.
b. Have a high school diploma or equivalent.
c. Have completed a minimum of 3 years experience post-high school in the specific field of knowledge or expertise.
    1. Education may be substituted for experience. A 4-year course of study leading to a bachelor's degree in the specific field of knowledge or expertise will meet the experience requirement.
    2. A combination of education and experience may be substituted for the 3 years of experience: Combinations of successfully completed post-high school education and experience may be used to meet total qualification requirements for the 3 years experience. Combinations may be computed by (1) determining the total qualifying experience as a percentage of the 3 years 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.)
d. Demonstrate the ability to effectively communicate orally and in writing.
e. Have signed a conflict-of-interest disclosure statement and a confidentiality statement on file with the appropriate AMS Branch.

8 Managing AMS Auditor Qualifications

8.1 The *Managing AMS Auditor Qualifications Procedure* (ISAAP 1C3) outlines the requirements for the AMS ISAAP Manager and the various positions within an AMS Branch responsible for managing AMS Auditor qualifications through the AMS Auditor Database.

Table A – AMS Auditor Criteria:

Requirement	AMS Auditor-in-Training	AMS Auditor	AMS Team Leader
Fundamental Requirements:			
Personal Attributes	Possess	Possess	Possess
Education	High School Diploma or Equivalent	High School Diploma or Equivalent	High School Diploma or Equivalent
Work Experience (See Section 3.1)	Minimum of 36 months	Minimum of 36 months	Minimum of 36 months
Demonstrate the ability to effectively communicate orally and in writing	Yes	Yes	Yes
ISO 19011 Sections 4&6 Training Course	Yes	Yes	Yes
Specific Audit Program Training or Specific Accreditation Program Training Defined by the AMS Branch	Yes	Yes	Yes
Standard Training and Audit Experience Requirements			
Demonstrate the ability to manage and coordinate audit activities	Yes	Yes	Yes
Training Requirement Based on the Type of Program	Yes (3.2.1.b)	No	No
Audit Experience	Yes, Participate in a minimum of 3 audits within a 2-year period, where 2 of the audits shall be for the Specific Audit Program or Specific Accreditation Program acting in the capacity of a team leader under the supervision of an evaluator. (See Section 3.2.1)	Yes, participate in at least 3 complete audits or assessments every 2 years, in which s/he is qualified.	Yes, participate in at least 2 audits or assessments annually; acting in the capacity of a team leader for the specific program s/he is qualified.
Advanced Training Recommendation			
RABQSA ASQ CQA Certification	No	Strongly Recommended	Strongly Recommended
Training and Performance Evaluations			
Training Evaluations	Yes	No	No
Performance Evaluations	No	Yes	Yes
Continual Professional Development			

80-hours training	No	Yes, achieve within 3 years after initially achieving AMS Auditor status; then renew every 3 years.	Yes, achieve within 3 years after initially achieving AMS Auditor status; then renew every 3 years.
Internal Auditor Criteria			
Successfully complete the AMS Auditor requirements for a Specific Audit or Accreditation Program; and an AMS ISAAP approved RABQSA/IRCA certified ISO 9001:2000 Internal Auditor course. (See Section 6)			
Technical Expert			
Meet a. through d. of the Fundamental Requirements.			

Table B – Training Requirement Based on the Type of Audit or Accreditation Program

Program	Training Requirement
Client Developed Service Program	No Additional Requirements.
USDA Process Audit Program	Successfully complete an AMS approved course for process-based auditing (*see note below).
USDA Quality Management System (QMS) Program	Successfully complete an RABQSA/IRCA certified ISO 9001 Lead Auditor training course.
USDA Process Verified Program	Successfully complete an RABQSA/IRCA certified ISO 9001 Lead Auditor training course.
USDA Environmental Management System (EMS) Program	Successfully complete an RABQSA/IRCA certified ISO 14001 Lead Auditor training course.
USDA HACCP Audit Program	Successfully complete an AMS ISAAP approved HACCP training course.
USDA Testing and/or Calibration Laboratory Accreditation Program	Successfully complete an RABQSA/IRCA certified ISO/IEC 17025 Lead Auditor training course; or an AMS ISAAP approved training course for calibrations and/or tests performed, as applicable.
USDA Certification Body Accreditation Program	Successfully complete an AMS ISAAP approved course for ISO/IEC Guide 65 training course.

* AMS approved courses for process-based auditing include AMS ISAAP developed process-based auditing courses and AMS ISAAP recognized process-based auditing courses including but not limited to the following RABQSA/IRCA certified training courses and certifications:

- ISO 9001:2000
- ISO 14001:2004
- ISO/IEC 17021:2006
- ISO 17025:2005
- ASQ CQA certification
- ASQ HACCP certification
- ASQ CMQ/OE certification