

PART II - REQUIREMENTS FOR THE MANAGEMENT OF PROFESSIONAL RECOGNITION PROGRAMMES

The Global Food Safety Initiative aims to improve food safety and business efficiency. GFSI's work in benchmarking and harmonisation of Professional Recognition Programmes for food safety auditors fosters mutual acceptance of those auditors across the Certification and Food industries. This reduces inefficiencies from duplication of verification of auditor qualification, and facilitate access to the profession through a professional framework.

The GFSI Benchmarking Requirements for Professional Recognition Programmes are built through consensus of experts; they form a shared and widely accepted understanding of what constitutes a robust food safety Professional Recognition Programme.

The GFSI Benchmarking Requirements are furthermore submitted to extensive public consultation during their development; this ensures a wide review of the proposed approach and fosters the aforementioned mutual acceptance.

Part II of the GFSI Benchmarking Requirements defines the key elements required in a Professional Recognition Programme in relation to:

- Ownership, development and maintenance
- Accreditation
- Relationship with auditors
- Registration of auditors
- Continuing Professional Development (CPD)
- Evaluation of training and testing Evidence

It applies to any Professional Recognition Programmes being submitted for GFSI benchmarking.

GFSI requires Professional Recognition Bodies (or PRBs) to address each key element outlined in this document in their recognised Professional Recognition Programmes (or PRPs).

The detailed content of each individual Professional Recognition Programme shall however be independently developed and is not expected to be a direct copy of the GFSI Benchmarking Requirements.

GFSI has defined in a glossary terms used in key elements. The glossary is an integrated part of the GFSI Benchmarking Requirements and definitions shall be applied accordingly in Professional Recognition Programmes.

SECTION 1: Ownership, development and maintenance

REFERENCE	ELEMENT	REQUIREMENTS
1.1	Ownership	The Professional Recognition Body shall be a legal entity, or a partnership of legal entities.
1.2	Ownership	The Professional Recognition Body shall have the authority to establish and amend the Professional Recognition Programme.
1.3	Ownership	The Professional Recognition Body shall be independent from certification and/ or conformity assessment and/ or Certification Programme Owner activities related to the activities of the auditors they assess and certify, to avoid any collusion and/ or conflict of interest.
1.4	Capability/ Resources	The Professional Recognition Body shall ensure they have the capability/ resources to apply an effective Professional Recognition Programme.
1.5	Impartiality	Professional recognition activities shall be undertaken impartially. The Professional Recognition Body shall have a process in place to identify, analyse, evaluate, treat, monitor and document the risks related to conflict of interests arising from provision of professional recognition including any conflicts arising from its relationships on an ongoing basis. The risk assessment process shall include identification of and consultation with relevant interested parties to advise on matters affecting impartiality.
1.6	Self-promotion	The Professional Recognition Body shall not be “self-promoting” or “self-expanding”, by mandating auditors to attend training, testing or other services owned by the Professional Recognition Body or by implying that an auditor shall use a specific Professional Recognition Body.
1.7	Competence	The Professional Recognition Body shall ensure that all management, administrative, technical and assessment personnel involved in the Professional Recognition Programme are competent and fulfils GFSI Benchmarking requirements. Evidence of competence shall be recorded.
1.8	Quality Management System	The Professional Recognition Body shall establish, implement and maintain a Quality Management System, allowing documentation control and continuous improvement.
1.9	PRP development and maintenance	The Professional Recognition Programme shall be developed and maintained with the participation of technically competent representatives of direct stakeholders, or be subjected to formal review by such parties and subsequently determined as appropriate.
1.10	Normative Documents approval	The professional recognition normative documents shall be established by consensus and issued using a formalised and documented technical and administrative approval process.
1.11	Normative Documents Control	The Professional Recognition Programme’s normative documents shall be controlled. The documents submitted to GFSI shall be translated into English and their translation appropriately controlled.
1.12	PRP review	The Professional Recognition Programme’s normative documents shall be reviewed and re-issued as appropriate to remain current, address stakeholders’ expectations and be up to date with applicable legislation. This shall include revision in accordance with the issuing of new versions and sub-versions of the GFSI Benchmarking Requirements.
1.13	Assessment Procedure	The Professional Recognition Body shall establish, implement and maintain assessment procedures for the Professional Recognition Programme, with the aim to deliver consistent results. The Professional Recognition Body shall ensure that their assessment procedures are secure, consistent and comprehensive.
1.14	Code of Professional Conduct	The Professional Recognition Body shall establish, implement and maintain a Code of Professional Conduct that all registrants must commit to.

1.15	Professional Recognition criteria	The Professional Recognition Body shall define objective Professional Recognition criteria based on Annex 1 and this shall be made publicly available.
1.16	Assessment procedure	The Professional Recognition Body shall have a documented assessment procedure of auditors to verify that they comply with the Professional Recognition Criteria. This shall be publicly available.
1.17	Record keeping	The Professional Recognition Body shall maintain all registrant records during a period complying with legal requirements and allowing the provision of confirmation of any auditor's certification on request.
1.18	Evaluation process by auditors	The Professional Recognition Body shall have a documented process to evaluate whether auditors were satisfied with the Professional Recognition Body's Programme. Records shall be maintained.
1.19	Approval of suppliers/ service providers	Suppliers/ service providers having an impact on the professional recognition shall be identified and controlled, through agreed specified requirements.
1.20	Complaints management	The Professional Recognition Body shall implement an effective documented complaint procedure, which shall be publicly available without request. All complaints shall be recorded, a root cause analysis undertaken, and actions shall be taken to prevent recurrence. Records shall be maintained.
1.21	Disciplinary process	The Professional Recognition Body shall establish, implement and maintain a disciplinary process to implement relevant actions in case an auditor is deemed to fail to comply with the Code of Professional Conduct. The Professional Recognition Body shall conclude its investigations and actions regardless of whether the auditor resigns from the Professional Recognition Programme.
1.22	Whistleblowing	The Professional Recognition Body shall implement a whistleblowing policy to ensure that bad and/ or unprofessional practices can be addressed quickly.
1.23	Crisis management/ business continuity	The Professional Recognition Body shall establish, implement and maintain a crisis management procedure. The procedure shall include, among others, auditor notification and provisions to facilitate the transfer of auditors' professional recognition to an alternative GFSI-recognised Professional Recognition Body in the event of the cessation of the Professional Recognition Programme.
1.24	Communication	The Professional Recognition Body shall ensure that any stakeholder can make effective contacts with the Professional Recognition Body to clarify any question related to its Professional Recognition Programme.
1.25	Communication with GFSI	The Professional Recognition Body shall inform GFSI of any changes to the Professional Recognition Programme which may impact and are relevant to their GFSI recognition status, no later than 28 days before implementation of the change.
1.26	Communication with GFSI	The Professional Recognition Body shall take appropriate actions to mitigate any situations which could result in bringing their Professional Recognition Programme or GFSI into disrepute, and notify GFSI of such situation.
1.27	Communication with Certification Bodies	When allowed by an agreement, the Professional Recognition Body shall communicate to Certification Bodies any information which may impact the ability of the auditor to maintain their compliance with the Professional Recognition Criteria. This shall include, as a minimum, any actions from the disciplinary process.
1.28	Internal review	The operations of the Professional Recognition Body shall be subject to formal annual internal review of its relevance and compliance to internal processes and, where appropriate, revised. It shall assess the Professional Recognition Programme and address risks, problems or concerns raised by the review. The review and any arising actions shall be fully documented.

1.29	Data Management	The Professional Recognition Body shall have in place a clearly defined data management system holding and maintaining data for the effective management and operation of the Professional Recognition Programme.
1.30	Data Management	The Professional Recognition Body shall ensure that the data management system incorporates data in relation to the GFSI Benchmarking Requirements and GFSI contractual obligations.
1.31	Auditor Register	<p>The Professional Recognition Body shall have a Register for all auditors achieving professional recognition, which shall fulfil applicable legislation and GFSI requirements. At a minimum, the Professional Recognition Body's Register shall include the following information:</p> <ul style="list-style-type: none"> • Auditor's unique identifier issued by the Professional Recognition Body • Auditor's first name, surname, and date of birth • Auditor's country of operations • Auditor competence for the GFSI industry scopes as defined in Part I of the GFSI Benchmarking Requirements for Certification Programme Owners, • Auditor's qualification to audit against GFSI-recognised Certification Programme(s) when applicable • Date of validity of the registration.
1.32	Auditor Public Register	<p>The Professional Recognition Body shall make the following information available in a publicly available Register:</p> <ul style="list-style-type: none"> • Auditor's unique identifier issued by the Professional Recognition Body, • Auditor's first name and surname, • Auditor competence for the GFSI industry scopes as defined in Part I of the GFSI Benchmarking Requirements for Certification Programme Owners • Date of validity of the registration.
1.33	Auditor certificate authenticity	The Professional Recognition Body shall have a process in place to allow any interested parties to verify the authenticity of the certificates/ statements issued to a registered auditor.

SECTION 2: Accreditation

REFERENCE	ELEMENT	REQUIREMENTS
2.1	Accreditation	The Professional Recognition Body shall be accredited to ISO/ IEC 17024 for the relevant scope of GFSI recognition, by one or several Accreditation Bodies that are members of the International Accreditation Forum (IAF) and signatories of the Multilateral Recognition Arrangement (MLA).
2.2	Accreditation	When the Professional Recognition Programme is updated, the Professional Recognition Body shall be accredited within 12 months from the date of application to an Accreditation Body.
2.3	Accreditation	In the event that accreditation is not granted within 12 months, the Professional Recognition Body shall inform GFSI which will define applicable measures, as defined in the Sanctioning section of Part I. In situations where there is a delay, the Professional Recognition Body shall provide a plan to GFSI for approval to achieve accreditation and continue with the GFSI recognition process.
2.4	Accreditation	The Professional Recognition Body shall make their scope of accreditation publicly available and precisely defined in terms of the exact name of the Professional Recognition Programme in scope, including where applicable, its revision number and/ or date and its sector of application.

2.5	Accreditation	The Professional Recognition Body shall notify GFSI in case their accreditation related to the GFSI scope of recognition is withdrawn or suspended.
2.6	Accreditation	If a Professional Recognition Body has a pending application for extension of their scope with an Accreditation Body, the Professional Recognition Body shall inform GFSI.
2.7	Accreditation	If the range of professional recognition offered by the Professional Recognition Body is wider than the range of those accredited, the Professional Recognition Body shall make clearly and publicly available the limits and scope of their accreditation, to ensure transparency and avoid any confusion.

SECTION 3: Relationship with auditors

REFERENCE	ELEMENT	REQUIREMENTS
3.1	Auditor records	The Professional Recognition Body shall require auditors to submit professional recognition, competence development needs and CPD records on a regular basis. The auditor may delegate this to the Certification Bodies they are working with.
3.2	Agreement	The Professional Recognition Body shall have an agreement in place with all auditors applying for professional recognition/ CPD services, which shall include, as a minimum: <ul style="list-style-type: none"> • Data privacy and confidentiality requirements • Rights to share defined information in the Professional Recognition Body's public Register • Obligations to share defined information to comply with the Professional Recognition Programme • Commitment that all information provided to the Professional Recognition Body are authentic • Commitment that the information displayed in the Register are kept current. • Authorisation from the auditor for the Professional Recognition Body to contact the Certification Body(ies) they work with, and/ or organisations they have audited, as part of the ongoing assessment of auditor's competence.
3.3	Auditor declaration to audited organisations and Certification Bodies	The Professional Recognition Body shall require auditors to proactively declare their registration to Certification Body(ies) they're working with and to audited organisations, to confirm commitment to the Code of Professional Conduct and ensure an escalation process in case of issues.
3.4	Auditor notification on their Certification Bodies	The Professional Recognition Body shall require auditors to inform them about the Certification Body(ies) for which they are collaborating.
3.5	Auditor notification on their qualification	The Professional Recognition Body shall require auditors to notify them if their qualification is withdrawn/ suspended by the Certification Body and/ or the Certification Programme Owner: <ul style="list-style-type: none"> • For one or several GFSI scope(s) (product categories) • For one or several GFSI recognised Certification Programme(s). Auditors shall provide the reason of such withdrawal/ suspension, for the Professional Recognition Body to investigate and review auditor's registration accordingly.

3.6	Auditor information	<p>The Professional Recognition Body shall require that auditors make the following information available at all times to the Professional Recognition Body:</p> <ul style="list-style-type: none"> • Complaints related to the auditor's performance • Non-compliant results • Outcome of witness audits • Change of Certification Body.
3.7	Professional Recognition Body notification to auditor	<p>The Professional Recognition Body shall notify auditors in due time about any change to the Professional Recognition Program that may affect their ability to provide professional recognition.</p> <p>In case of Professional Recognition Program change, the Professional Recognition Body shall define and communicate and achievable transition period.</p>

SECTION 4: Registration of auditors

REFERENCE	ELEMENT	REQUIREMENTS
4.1	Registration of auditors	The Professional Recognition Body shall assess all information received from the auditor to ensure she/ he fulfils all Professional Recognition Criteria defined in the Professional Recognition Programme.
4.2	Scope of registration	The Professional Recognition Body shall define clear scopes of auditor registration aligned with GFSI scopes of recognition for GFSI-recognised Certification Programme Owners.
4.3	Code of Professional Conduct	The Professional Recognition Body shall ensure that the auditor has formally agreed to the obligations within its Code of Professional Conduct.
4.4	Duration of the registration process	<p>The Professional Recognition Body shall define a timeline for completing the registration process from application to ensure their assessment is performed in a timely manner. The defined timeline shall take into consideration challenges to demonstrate fulfilment of all criteria (e.g. audit availability).</p> <p>The duration from submission of all materials to registration shall be defined.</p>
4.5	Support to the auditor/ feedback loop	If any professional recognition criteria are not met for initial and renewal of registration, the Professional Recognition Body shall provide a gap assessment and support to the auditor to explain the path for ongoing compliance.
4.6	Renewal of registration	The Professional Recognition Body shall review at least every 5 years the registered auditor against the Professional Recognition Criteria to reassess the auditor's registration.
4.7	Renewal of registration	<p>The Professional Recognition Body shall verify at least annually the following auditor's declaration:</p> <ul style="list-style-type: none"> • Performance of at least five on-site audits per year at different organisations against each of the GFSI-recognised Certification Programmes the auditor is registered for, • Continued compliance with the Code of Professional Conduct. • Completion of CPD which complies with the Professional Recognition Body's requirements
4.8	Extension of scope of registration	The Professional Recognition Body shall have a clear process to allow auditors to extend their scope of registration. This shall ensure that the auditor is assessed against the Professional Recognition Criteria defined in Section 2 of Annex 1.

4.9	Renewal of registration	The Professional Recognition Body shall conclude its assessment and actions regardless of whether the auditor resigns from the registration process, to honour the required service.
4.10	Renewal of registration failure	If an auditor does not fulfil the requirements defined by the Professional Recognition Body, the Professional Recognition Body shall implement actions and, where relevant, will rescind the auditor registration and remove the auditor from the Professional Registration Body's public Register.

SECTION 5: Continuing Professional Development (CPD)

REFERENCE	ELEMENT	REQUIREMENTS
5.1	CPD design	The Professional Recognition Body shall establish, implement and maintain a CPD process to ensure that the auditor remains compliant with the Professional Recognition Criteria and develop their knowledge, skills, behaviours and attitudes.
5.2	CPD design	The CPD process shall allow verifying the following auditor's information, as a minimum: <ul style="list-style-type: none"> Acquisition of knowledge, skills, and behaviours using appropriate learning methods Any activities allowing maintenance of knowledge, skills and behaviours.
5.3	CPD design	The Professional Recognition Body shall define a process to revalidate returning auditors needing to take temporary leave of absence.
5.4	CPD design	The CPD process shall include the acquisition and assessment of any relevant knowledge, skills and behaviours undertaken by the auditor. This may, for example, include: <ul style="list-style-type: none"> Changes to application Standards, Codes, Professional Recognition Programme, etc. Changes to regulatory and legislative requirements that the auditor is required to know about and/ or that may affect the auditor's scope of registration. Industry sector best practices Food safety and technological developments Refresher training based on specific food safety/ audit related topics (e.g., metal detection, commercial sterilisation principles, microbiological testing, X-ray technology, software applications, etc.). New qualification against GFSI recognised Certification Programme(s) New competence leading towards recognition for one or several GFSI scope(s) (as defined in Part I of the GFSI BR v2020, or sub-scopes) New competence requirements from the Professional Recognition Body Emerging threats
5.5	CPD design	The Professional Recognition Body shall base their CPD validation requirements process on competence development needs identified with the registered auditor.

5.6	CPD frequency	The CPD shall be planned and completed in a timely manner to ensure that auditor competence is assured, and audit delivery remains effective. Learning outcomes, and personal reflections shall be recorded.
5.7	CPD frequency	The Professional Recognition Body shall verify auditor's self-declaration and records annually to verify the information at its source, through spot checks of received information with the relevant stakeholders.
5.8	CPD verification	The Professional Recognition Body shall use witness audit reports and CPD records to verify that the auditor remains competent. Such verification shall allow identifying CPD improvements for each auditor.
5.9	Support to the auditor/ feedback loop	The Professional Recognition Body shall provide feedback to the auditor on the outcome of their CPD verification, including feedback for comments related to auditor conduct from interested parties. This feedback shall be used to improve the CPD.
5.10	Record keeping	The Professional Recognition Body shall retain records, including submitted audit records and auditor's reflections on these audits, for all auditors all along auditor's qualification. Records and auditor history shall be kept to trace auditor's career path with Certification Bodies and Certification Programmes. The record retention period shall comply with legal requirements and allow the provision of confirmation of any auditor's recognition on request.

SECTION 6: Evaluation of training and testing evidence

When determining the acceptability of training / test results presented by auditors as evidence of competence against Annex 1, the Professional Recognition Body shall consider the following elements in relation to the Training / Testing organisation(s):

REFERENCE	ELEMENT	REQUIREMENTS
6.1	Quality Management System	The Training and/ or Testing Organisation has a documented management system for developing and delivering training and/ or testing.
6.2	Entrance prerequisites, learning needs and expectations	The Training Organisation defines the target learner group to determine the likelihood of success and identifies the minimum level of education/ experience of the learners, as defined in Annex 1 (Trainee Auditor entrance qualification prerequisites).
6.3	Entrance prerequisites	The Testing Organisation has defined entrance prerequisites for delegates before they can apply to provide transparency to the delegates and optimise their chance to pass.
6.4	Training design	The Training Organisation has defined processes when designing the training.
6.5	Testing/ assessment design	The Testing Organisation has defined the following when designing the testing/ assessment: <ul style="list-style-type: none"> • Testing/ assessment objectives • Applicable approach and method

		<ul style="list-style-type: none"> • Appropriate competence of the people involved in the testing/ assessment design • Pass criteria • Testing/ assessment validation.
6.6	Training material	<p>The Training Organisation has documented training materials and resources.</p> <p>The Professional Recognition Body shall maintain a summary for each accepted training.</p>
6.7	Testing/ assessment process	<p>The Testing Organisation runs the testing/ assessment by fulfilling the following:</p> <ul style="list-style-type: none"> • Effective Information Technologies capabilities (if relevant) • Appropriate invigilation (face-to-face or using a remote proctoring system). • Impartial and repeatable testing/ assessment criteria.
6.8	Verification of training and/ or testing effectiveness	<p>The Training and/ or Testing Organisation demonstrates that:</p> <ul style="list-style-type: none"> • Learner assessments are completed to determine fulfilment of learning outcomes • Learner assessments are evaluated impartially • The pass and fail rates are monitored and acted upon • Learning objectives are met.
6.9	Training and/ or testing review	<p>The Training and/ or Testing Organisation regularly reviews the training and/ or testing materials and methodology to remain current, and takes actions should the results of the review indicate that improvement is necessary.</p>
6.10	List of accepted Training/ Testing Organisations	<p>The Professional Recognition Body shall establish, implement and maintain a list of accepted Training / Testing Organisations.</p>

Annex 1 – Professional Auditor Competence Framework

1. Trainee Auditor Entrance Qualification Prerequisites

The following tables sets out the core requirements (competences) for anyone wishing to become a competent auditor or wishing to be re-admitted into the role. They shall be used as minimum criteria to determine suitability of a trainee auditor.

Requirement
1. Knowledge and skills through education and experience
<ul style="list-style-type: none">Knowledge and skills equivalent to a higher education or tertiary level education that includes general microbiology/ equivalent science-based discipline or equivalent experience.Knowledge and skills equivalent to a higher education or tertiary level education that includes courses in the food industry GFSI scope(s) in which they conduct FSMS audits.Successful completion of a Lead Auditor training programme accepted by the Professional Recognition Body (based on criteria defined in Part II, section 6).Successful completion of a “higher level” HACCP training programme based on Codex Alimentarius accepted by the Professional Recognition Body (based on criteria defined in Part II, section 6).
2. Audit standards, theory and methodology
<ul style="list-style-type: none">Recognition of the Code of Professional Conduct.Knowledge of the Standards to which the auditor audits.
3. Technical aspects of food
<ul style="list-style-type: none">Knowledge of the general, and sector specific regulatory and legal framework of the region/country in which the auditor works.Knowledge of food safety hazards and food safety controls within the food sector in which the auditor conducts audits.Experience in the food industry, taking an active role in food safety responsibility for at least five years full time work.
4. Auditing
<ul style="list-style-type: none">Can complete audits under supervision for those scopes and audit criteria assigned to the auditor.Knowledge and skills relating to the audit body’s procedures.Willing to adhere to a Code of Professional Conduct.

2. Professional Auditor Competence Framework

The following tables sets out the competence requirements (competences) which, in turn, informs the training curriculum for training and assessing trainee auditors. This same benchmark should form the basis of assessing the ongoing competence of professional auditors to inform on possible competence gaps and so drive CPD. This shall be ultimately evaluated by the Professional Recognition Body applying for GFSI recognition.

They shall be used by the Professional Recognition Body to define criteria against which to assess auditor’s competence and include them in the Professional Recognition Body’s Register.

Section 1 - Professional standards and conduct

Standards and conduct of professional auditors are based on the requirements of ISO 19011 (current version).

	Requirements	Knowledge and skills
1.1	Professional standards and principles	
1.1.1	The principles of ethics and integrity	K: Ethical principles S: Code of Professional Conduct (ISO 19011 current version, #4a and #7.2.2)
1.1.2	The need for independence	K: Sources of conflicts of interest S: Can maintain impartiality during audit process (ISO 19011 current version, #4a)
1.1.3	Recognition of own limits and need for specific external expertise	K: Principles of auditing (ISO 19011 current version, #4); sector-specific audit criteria, principles and practices S: Can recognise when external expertise is required (e.g. interpreters, technical experts, IT infrastructure) and able to accommodate this when audit planning, or can promote an alternative arrangement
1.1.4	Advocacy of the profession	K: Understands the importance and benefits of the audit function S: Can explain the value of the audit function
1.1.5	Continuing Professional Development	K: Understands the importance of maintaining Continuing Professional Development. Is aware of a range of learning and development approaches and their application in maintaining competence S: Can identify self-development needs and utilize a range of learning approaches

Section 2 – Sector Specific Technical aspects of food (ISO 17021-1 A.2.6; ISO 17021-1 A.2.5, ISO/TS22003 table C 2, 7, 8, 9)

	Requirements	Knowledge and skills
2.1	The external environment	
2.1.1	The regulatory and legal framework within which the auditee operates (ISO/TS22003 table C1)	K: Demonstrates understanding of applicable food safety regulation and legislation and the governing bodies applicable to the auditee S: Can identify when applicable regulatory and legislative requirements need to be considered and incorporates when verifying audit evidence to determine level of conformity
2.1.2	Food safety management appropriate to the audited organisation and audit scope when communicating with others	K: Food safety management principles K: Organization types, size, governance, structure and workplace practices (ISO 17021) S: Can apply food safety management principles during audit
2.1.3	Principal stakeholders' requirements appropriate to the organisation and their application	K: Stakeholders' requirements applicable to the audit S: Can identify, interpret and apply stakeholders' requirements applicable to the audit
2.2	Food safety management	
2.2.1	Food safety management system models and frameworks (the core elements of a management system and the interrelationship between top management responsibility, policy, objectives, planning, implementation, measurement, review, and continual improvement) and approaches to verify the adequacy and effectiveness of the management system during audit	K: Food safety management system requirements applicable to the audit S: Can identify, interpret and apply the management system model requirements applicable to the audit

2.2.2	Supply chain management practices and systems to assure the safety, quality, legality and authenticity of all raw materials, ingredients, goods and services and approaches to verify their adequacy and effectiveness during audit	K: Sector specific threats and vulnerabilities in the food supply chain
		S: Can identify and verify supply chain management controls applicable to the audit
2.2.3	Application of hazard analysis principles and categorisation, implementation, validation and verification of controls, and approaches to verify their adequacy and effectiveness during audit	K: Codex Alimentarius hazard analysis principles, control measure categorisation and validation methodologies, verification mechanisms
		S: Can identify and verify the extent of implementation of hazard analysis principles, control measure categorisation, control measure validation and verification arrangements applicable to the audit scope/ scope of registration of the auditor
2.2.4	Identification of food safety hazards and methods for control (food safety hazards encompass microbiological, physical, chemical, allergenic, radiological, and those arising from food threats and food fraud), and approaches to verify their adequacy and effectiveness during audit	K: Food safety hazards typically associated with organisation being audited and options/methodologies to control these hazards; food defence principles (PAS 96:2017); food fraud principles
		S: Can challenge the approaches to the identification of food safety hazards, food safety threats (defence) and food safety vulnerabilities (fraud) applied by the audited organisation
2.2.5	Identification of good manufacturing practices (prerequisite programmes) and approaches to verify their adequacy and effectiveness during audit	K: Prerequisite programmes typically associated with the scope of registration of the auditor
		S: Can challenge the extent to which the prerequisite programmes implemented conform to requirements and are effective at controlling food safety risks
2.3	GFSI Benchmark Requirements	
	Expertise specific to the scope of registration of the auditor. Competence is judged for each specific scope. Auditors do not require competence for all scopes – but shall only audit against scopes for which they have accredited as competent.	K: The knowledge required to practice as an autonomous professional practitioner in a specific scope
		S: Can demonstrate the skills needed to practice as an autonomous professional practitioner in a specific scope

Section 3 – Operational capability

	Requirements	Knowledge and skills
3.1	Auditing fundamentals	
3.1.1	Auditing principles (ISO 17021-1 A.2.11, ISO 17021-1 A.2.2, ISO/TS22003 table C 5)	K: Principles of auditing (ISO 19011 current version, #4)
		S: Can apply a process and risk-based audit approach as opposed to a clause-by-clause approach: (ISO 19011 current version #4g, 7.2.3.2)
3.1.2	Quality management and quality improvement (ISO 17021-1 A.2.11, ISO 17021-1 A.2.2)	K: Understanding risk-based approach to auditing (ISO 19011 current version, #7.2.3.2a)
		S: Can apply audit principles; ongoing professional development and improvement
3.2	Data Management and Protection	
3.2.1	Information gathering	K: How to gather audit evidence from documents, interviews, surveys and observations
		K: How to gather and process data in compliance with the law and certification programme requirements

		S: Can gather and prioritise information from documents, interviews, surveys and observations
3.2.2	Analysis of information	<p>K: Information analysis techniques using appropriate software tools where necessary</p> <p>S: Can establish links, or lack of them, between pieces of audit information using appropriate software tools where necessary</p> <p>S: Can audit information with audit criteria to identify conformity or non-conformity using appropriate software tools where necessary</p> <p>S: Can critically analyse information received using appropriate software tools where necessary and available</p> <p>S: Can interpret the findings and assess their meaning/ impact on food safety</p> <p>S: Can use Information and Communication Technologies, data systems and documentation systems as required</p>
3.2.3	Report writing (ISO 17021-1 A.2.8)	<p>K: How to report the audit and write clear and self-explaining audit findings</p> <p>S: Can write audit reports including clear and self-explaining audit findings</p>
3.2.4	Data protection	<p>K: How to manage confidential information, in line with applicable legislation, company and Certification Body's policies</p> <p>S: Can manage confidential information and fulfil applicable legislation, company and Certification Body's policies related to data protection</p>
3.3	Personal effectiveness	
3.3.1	Planning and preparation	<p>K: Audit planning principles and methods</p> <p>S: Can plan and prepare for an audit</p>
3.3.2	Decision making and evaluation	<p>K: Decision-making principles and methods</p> <p>S: Can make decisions based on objective evidence</p>
3.3.3	Monitoring and reviews	<p>K: How to monitor and review progress during an audit</p> <p>S: Can monitor and review an audit</p>
3.3.4	Feedback	<p>K: Knows that feedback is necessary</p> <p>S: Can offer feedback</p>
3.4	Communication (as skill)	
3.4.1	Oral communication for a range of audiences and contexts (ISO 17021-1 A.2.10) (ISO 17021-1 A.2.9) (ISO 17021-1 A.2.7)	<p>K: How to communicate orally in a range of styles</p> <p>S: Can use a range of techniques to effectively communicate orally to a variety of audiences in a range of contexts</p> <p>S: Can use a range of techniques to effectively ask the right person the right question</p> <p>S: Can listen to others for proper understanding</p>
3.4.2	Written communication for a range of audiences and contexts	<p>K: How to communicate in writing in a range of styles</p> <p>S: Can use a range of techniques to effectively communicate in writing to a variety of audiences in a range of contexts</p>
3.4.3	Managing and resolving conflict	<p>K: Is aware of processes for conflict resolution</p> <p>S: Can call on and use a range of techniques to manage conflict in a positive manner</p>

Section 4 – Behaviours

4.1	Objectivity
4.1.1	Demonstrates impartiality and objectivity in communications and when making audit conclusions
4.1.2	<p>Audit findings are based on fact not opinion and demonstrates:</p> <ul style="list-style-type: none"> a systematic approach consideration of all applicable food safety hazards, threats and vulnerabilities prerequisite programmes Inclusive of consideration of regulatory, legislative and other stakeholders' requirements
4.1.3	Gathers relevant information from documents, interviews, surveys and observations
4.1.4	Considers food safety management principles throughout the audit process and reports objectively and without bias or prejudice

4.1.5	Makes decisions taking into consideration audit evidence, audit criteria, the process being audited and food safety risk
4.1.6	Has consideration of regulatory and legislative requirements in conformity decision
4.1.7	Adopts a science-based approach when verifying the identification of hazards, threats and vulnerabilities
4.1.8	Considers regulatory and legislative requirements when determining if a management system is conforming
4.1.9	Considers all stakeholders' requirements within the context of the management system being audited (i.e. the auditor shall confirm whether the prerequisite programmes conform to all applicable requirements)
4.2	Communication (as behaviours)
4.2.1	Communicates the required information clearly accurately, adapting the language and style to suit the audience/recipient
4.3	Self-development
4.3.1	Continually self-evaluates performance and seeks opportunities to improve and grow – willing to learn from situations
4.4	Attention to detail
4.4.1	Accurately represents the audit process
4.4.3	Audit report demonstrates consideration of all applicable audit criteria, the audit scope and the audit objectives
4.5	Self-management
4.5.1	Does not take conflict personally – retains self-control and self-confidence even in the face of opposition or challenge
4.5.2	Acts with resilience and fortitude even when faced with challenges
4.5.3	Selects appropriate means to achieve the task, within the time available; identifies objectives for tasks; identifies areas of key importance and reflects these in the audit plans
4.5.4	Gives information accurately (and assertively and at appropriate times to appropriate people, in order to confidently make, present and support decisions, even if the auditee disagrees)
4.6	Other
4.6.1	Observant - Is perceptive to the immediate situation and circumstances in which they are operating. (ISO 19011)
4.6.2	Decisive - Makes timely and sound decisions based on the analysis of available information even in the face of ambiguous or conflicting evidence or when there is an associated risk. (ISO 19011)
4.6.3	Culturally sensitive – Behaves in a culturally sensitive manner (organisationally or regionally) and adapts approach or behaviours to these differences appropriately (ISO 19011)
4.6.4	Collaborative – Understands their role in a team and works collaboratively when needed, to ensure effective working relationships aimed at achieving the desired outcome. (ISO 19011)
4.6.5	Flexible - identifies when it is appropriate to amend approach to achieve desired outcome (ISO 19011 - 'Versatile')
4.6.6	Diplomatic – Behaves tactfully when dealing with individuals (ISO 19011)
4.6.7	Due care and attention to comply with site requirements

Section 5 – Attitudes

5.1	Professionalism
5.1.1	Demonstrates professionalism throughout the audit
5.1.2	Acts with integrity, honesty and ethically
5.1.3	Respects and complies with the Code of Professional Conduct
5.1.4	Only undertakes audit activities if competent to do so
5.2	Acts as an advocate
5.2.1	Advocates food safety management principles and their values
5.2.2	Advocates stakeholders' requirements and their implementation
5.2.3	Advocates management system principles, requirements, and their implementation with respect supply chain management
5.2.4	Advocates hazard analysis principles and requirements and their implementation

5.2.5	Speaks positively about the audit function, acting as an ambassador for its use
5.2.6	Advocates Certification Programme and GFSI
5.3	Professional development
5.3.1	Open to improvement – proactively seeks opportunities for self-assessment and improvement
5.3.2	Approaches self-development positively - recognises the importance of CPD in maintaining competence
5.4	Objectivity
5.4.1	Decisions are unbiased and related to the task
5.4.2	Remains objective and focused on the task
5.4.3	Seeks to communicate with maximum accuracy, transparency and without prejudice or bias
5.4.4	Report reflects an objective and focused approach to the audit; respectful in communication with all audiences
5.5	Sensitivity
5.5.1	Approaches conflict positively (aims for win/win)
5.5.2	Willing to consider alternative ideas or points of view (ISO 19011)
5.5.3	Applies emotional intelligence
5.6	Independence
5.6.1	Remains independent when resolving issues arising during audit where independence may be compromised