Ministry for Primary Industries
Manatū Ahu Matua

Guidance Document

Recognised Evaluators of Non-dairy Risk Management Programmes

A guide to gaining and maintaining recognition

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Title

Guidance Document: Recognised Evaluators of Non-dairy Risk Management Programmes

About this document

This guidance document contains the requirements for a person applying for recognition as a risk management programme evaluator (non-dairy) and to maintain recognition.

Related Requirements

The requirements to which this guidance document relates are:

- Animal Products (Fees, Charges, and Levies) Amendment Regulations 2015
- Animal Products (Recognised Agencies and Persons Specifications) Notice 2015
- Animal Products (Risk Management Programme Specifications) Notice 2008
- Animal Products (Requirements for Risk Management Programme Outlines) Notice 2008

Document history

Version Date	Section Changed	Change(s) Description
June 2006		
July 2017	All	Entire document and new sections
March 2019		General update Added information on Continued Professional Development model

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Disclaimer

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Contents

1 Purpose

This guide explains the requirements for applying to become a recognised evaluator of risk management programmes (RMP) which do not cover dairy products, and the process to maintain the recognition.

2 Background

The Animal Products Act 1999 (APA) requires businesses operating under a RMP to register their programme with the Ministry for Primary Industries (MPI) before they can manufacture products for trade. The operator must submit an independent evaluation report (unless the requirement is waived) at the time of registration to the Director-General (DG) that recognises the validity of the RMP and makes a recommendation that it be registered [APA 20(2)].

An evaluation is a systematic assessment of an RMP. Its main purpose is to ensure that the RMP is appropriate, effective and meets APA requirements. An RMP evaluation can only be carried out by a recognised person (i.e. a recognised evaluator) under the APA. Recognition is granted in order to assist MPI in managing the risks associated with third party involvement in the process of registering RMPs. MPI needs to have confidence that the people performing this role have the required skills.

To become recognised, a person must meet the requirements set out in Part 8 of the APA, particularly sections 103 and 105. The DG must be satisfied that the applicant is "a fit and proper person" to perform the functions and activities concerned [APA 103(2)]. The requirement to be "fit" relates to competencies and these stem from qualifications and/or experience, while "proper" relates to a person's character. The following factors are taken into account when MPI assesses an application for recognition:

- their competencies;
- their character and reputation;
- ability to maintain an appropriate degree of impartiality and independence; and
- ability to maintain appropriate confidentiality, particularly in relation to commercially sensitive matters.

Clauses 15 and 16 of the Animal Products (Recognised Agencies and Persons Specifications) Notice 2015 detail the competency requirements that must be met by any person seeking recognition.

An evaluator is contracted to and paid for by the operator as it is a user pays system. The evaluator is responsible for the full assessment of the RMP but must seek technical input from other recognised evaluators or technical experts for any aspect of the RMP that is outside their competency [RA Notice 25(1)].

3 How to interpret this document

Requirements and guidance are differentiated in this document.

A regulatory requirement is identified by having a citation at the end of the relevant sentence or clause and the specific legislation from which the requirement is derived. The word "**must**" is often used to indicate its mandatory status. For example, all inputs, including raw materials, ingredients, additives and packaging must be handled, processed, and stored in a manner that minimises any potential contamination or deterioration [AP Reg 9].

The abbreviations used for legislation citied in this document are:

APA	Animal Products Act 1999
AP Reg	Animal Product Regulations 2000
RA Notice	Animal Products (Recognised Agencies and Persons Specifications) Notice 2015

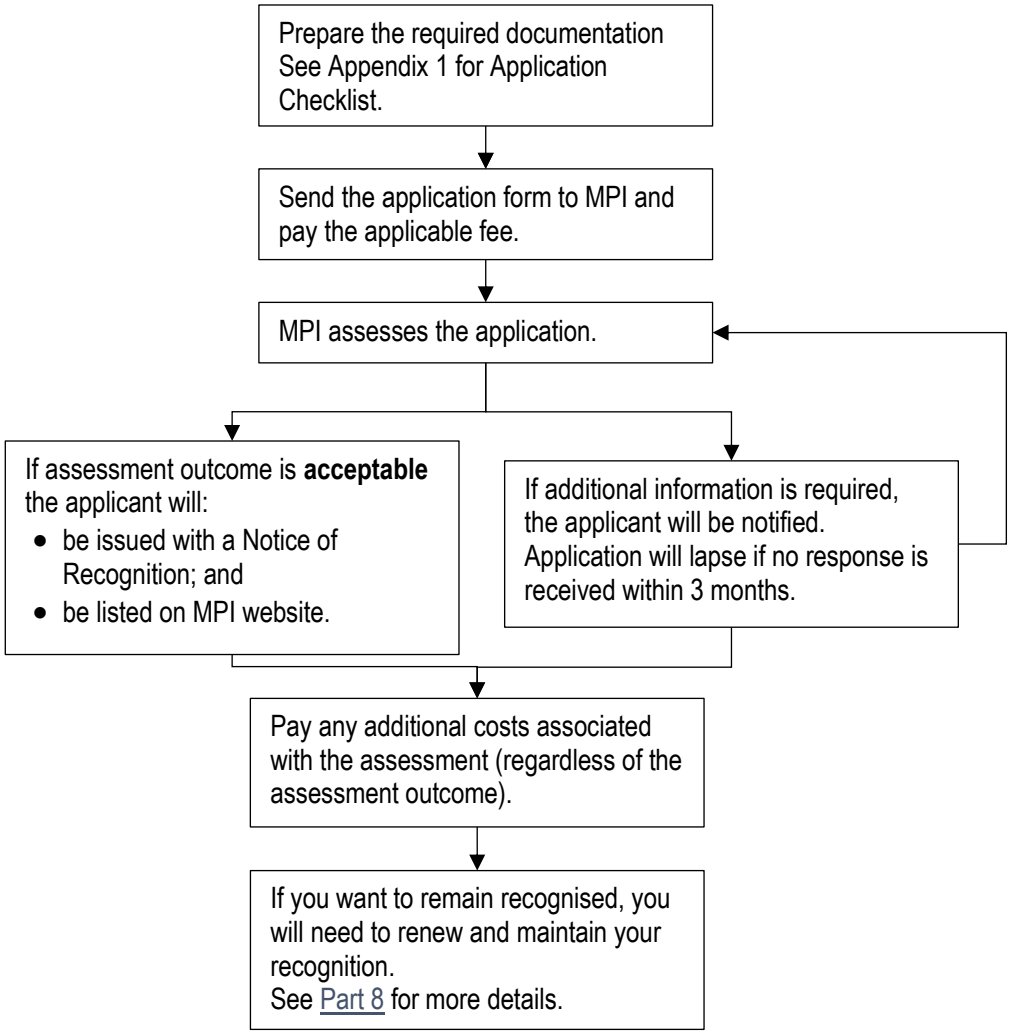
In many cases the regulatory requirements have been paraphrased or reworded using examples for context. You should refer to the cited legislation for the actual wording of the legal requirement.

Guidance information, indicated by "**should**", provides explanatory information, examples or options for achieving a particular outcome or requirement. Operators may use alternative methods or measures to those set out in the guidance information provided they do not in any way compromise good operating practices (GOP) and the achievement of the requirements.

4 Application Procedure

The steps to becoming a recognised evaluator for RMPs which do not cover dairy products are outlined in Figure 1 below.

Figure 1: Application procedure to becoming a recognised evaluator of RMPs which do not cover dairy products



Every effort will be made to ensure that the assessment is fair and transparent. However, if you are not satisfied with the outcome, section 162 of the APA provides for a review of the decision (see Part 4.4 for detail).

4.1 New Zealand Police Vetting

Under the APA, the DG must be satisfied that you are of an appropriate character and reputation to carry out evaluation [APA 103(2)]. To allow MPI to check this, you need to complete and sign the 'Vetting Service Request & Consent Form' which is attached to the AP7 application form.

The form provides MPI with written authority to obtain a report from the police of any convictions recorded. Convictions relating to crimes of dishonesty are of particular relevance. Convictions for other types of offences

may also be relevant depending on the type of offence, its severity and the length of time since conviction. Each case will be determined on its merits and the information will be kept confidential.

4.2 Outcome of Assessment and Conditions of Recognition

If you meet the recognition requirements you will be issued with a 'Notice of Recognition', which allows you to evaluate RMPs other than those RMPs processing dairy products and those requiring a mandatory activity endorsement.

You must not take responsibility for, or sign any evaluation report until you have received this Notice of Recognition. The Notice of Recognition must be retained for the duration of your recognition [APA 112B]. This will need to be returned to the DG if you stop being a recognised evaluator, or at any other time as requested by the DG.

Your recognition may be granted subject to conditions and the DG may by written notice, revoke, amend or add to any conditions applied and will notify you of the intention to do so. You must comply with any conditions on your Notice of Recognition [APA 111(1)].

4.3 Fees

There are 3 fees associated with evaluator recognition:

- an **application** fee, which is paid when you submit your application and documentation to MPI;
- an **assessment** fee, which is charged at the completion of the MPI assessment and is calculated on an hourly rate for the time involved in assessing your application. The fee will be invoiced and must be paid before the Notice of Recognition is issued; and
- an **annual** fee, which is paid when you renew your recognition.

The application and assessment fees must be paid regardless of the outcome of your assessment. Refer the Animal Products (Fees, Charges, and Levies) Regulations 2007 for the applicable fees and charge out rates.

4.4 Right of Review

If you are not satisfied with the decision relating to the granting of your recognition, you may seek a review under section 162 of the APA.

4.4.1 Decision made by the DG

If the DG refuses to grant your recognition, you will be notified of this in writing. The reasoning used to make the decision can be provided to you on request. You may make a written submission to the DG in an agreed timeframe, with the reasons why you think the decision should be overturned. The DG will review your submission and make a final decision. If the original decision is upheld, you will be notified in writing, including reasons, as soon as is practical (refer to section 109 of the APA).

The DG's decision will be final unless determined otherwise in a court of law.

4.4.2 Decision Made by a Person Acting Under Delegated Authority

If the decision to refuse recognition has been made by a person acting under delegated authority, you may seek a further review by the DG or a designated person who was not involved in the original decision. The application for review must be in writing and state the grounds on which you believe the original decision was not appropriate. Your submission must be made within 30 days of being notified of the refusal.

Your submission will be reviewed by MPI within 60 days. This may be extended a further 30 days on notification by the DG. You may be asked to provide additional information within a specified time. The time taken to supply this information is not included as part of the review period. The DG will notify you in writing, as soon as practicable, providing reasons if the decision to refuse recognition is upheld.

4.5 Public Register of Recognised Evaluators

MPI maintains a public register of recognised evaluators (under section 112 of the APA). The register can be viewed on the MPI website **Error! Hyperlink reference not valid.**or by searching for 'Animal Products Evaluators'. The register show who is recognised to undertake evaluation, along with any activity endorsements that have been granted. The register also facilitates compliance, audit, and other supporting functions of MPI.

5 Generic Recognition

When applying for generic recognition, you will need to provide written evidence that addresses the following requirements:

a) baseline skills and knowledge (Part 5.1);
a) knowledge of the APA (Part 5.2);
b) validation (Part 5.3);
c) Hazard Analysis and Critical Control Points (HACCP) (Part 5.4);
d) audit (Part 5.5); and
e) references (Part 5.6).

You must have written procedures (i.e. a quality system, see Part 6) to deal with the processes and administration of an evaluation. If you are part of an organisation, the policies and procedures of the organisation can be submitted to fulfil this requirement.

For some of these requirements, evidence that you have the required qualification is sufficient (e.g. a New Zealand Qualifications Authority (NZQA) Unit Standard) or you can provide written answers to the questions posed. Make sure you include enough detail in your answers.

When assessing your application, MPI may seek additional information, which may include examples of work you have carried out.

Each of the requirements listed above are expanded upon in the following sections.

5.1 Baseline Skills and Knowledge

You will need to provide evidence of holding at least 1 NZQA Level 4 qualification in animal health, public health, seafood technology, food engineering, food technology or any other qualification or experience appropriate to the role of the evaluator.

5.2 Knowledge of the APA

You will need to provide **either:**

A copy of your NZQA record of learning, or a certificate from the relevant industry training organisation as evidence of having obtained NZQA Unit Standard 19515 “Explain Development and Implementation of Risk Management Programmes under the Animal Products Act”.

Or written answers to the following questions:

(1) What are the objectives of the APA?

(2) Describe the relationship between RMPs and the other provisions for managing risks under the APA, including regulated control schemes, standards and specifications, and export requirements.

(3) Describe the relationship of the following legislation with the APA, and more particularly, its impact on a RMP evaluation:

a) Food Act 2014;
b) Australia New Zealand Food Standards Code;
c) Agricultural Compounds and Veterinary Medicines Act 1997;
d) Animal Welfare Act 1999;
e) Medicines Act 1981.

(4) Explain whether you would evaluate requirements that fall under other legislation.

(5) Explain what duties are and the duties that would apply to you as a recognised evaluator.

(6) What is a RMP?

(7) Which legislation specifically defines which operators must have a RMP?

(8) Outline each component of a RMP as listed in the Table 2: Components of a RMP of the RMP Manual. Using scenario(s) you are familiar with, provide examples of what you would expect to see in a RMP for each component. Ensure that all specific legal requirements in the following documents are addressed in your answer:

a) Animal Products (Risk Management Programme Specifications) Notice 2008; and
b) Animal Products (Requirements for Risk Management Programme Outlines) Notice 2008;

(9) List the 4 factors that must be considered by the operator when developing a RMP. Describe the difference between hazards and other risk factors. Provide an example of a processing operation that would require the following hazards to be addressed in the RMP:

a) hazards to human health; and
b) hazards to animal health.

(10) Provide 8 different examples of risk factors:

a) one for each of the 3 hazard categories for both human and animal health (6 in total); and
b) one for wholesomeness; and
c) one for false or misleading labelling.

(11) Give an example of a regulatory limit and/or an operator-defined limit for each of the hazards listed above and indicate whether the limit is regulatory or operator-defined.

(12) List and provide a brief overview of the Animal Products regulations and notices (excluding notices covering requirements for dairy products) and comment on the legal status of them in relation to the RMP.

(13) For secondary processors of animal products intended for human consumption, describe the possible regulatory options available to address food safety. Include RMPs, Food Control Plans (FCP) and National Programmes in your answer and a brief description of how these programmes may interface within a premises.

(14) Describe the role of resources in developing a RMP (include all resources outlined in RMP Manual). Your answer should clarify the legal standing of each of these resources and discuss why some resources are more likely to be used than others. Make sure you include the MPI hazard data sheets and the hazard database in your answer.

(15) Describe the options for incorporation or alignment of general requirements for export (GREX) and overseas market access requirements (OMARs) with the RMP and the effect on the evaluation and the RMP itself.

(16) Outline the evaluation process and what you need to assess when carrying out an evaluation, including what you would do if the RMP applied to more than one business.

(17) Outline the evaluation process for a significant amendment and how you would decide if an amendment is significant.

(18) What is, and how would you manage a conflict of interest?

(19) Describe when a technical expert or other recognised evaluator should be used, and how you would go about sourcing and using such a person.

(20) What must be included in the evaluation report and how is the report endorsed? Make sure you provide the legal reference for the contents of the evaluation report.

5.3 Validation

You will need to provide written answers to the following questions:

(1) Responsibilities:

a) Explain who is responsible for validation.
b) Explain the options available if the skills to carry out validation do not exist within the business.

(2) Timing:

a) Explain when validation and re-validation must be done.
b) Give examples of situations when complete validation and incomplete validation are likely.

(3) Complete validation:

a) Describe the 2 key components of validation and how it relates to a RMP.
b) What justification would you expect to see documented in a RMP for the selection of each operator-defined limit?
c) Describe the validation of regulatory limits and operator-defined limits, giving examples of the validation evidence that could be collected.
d) Describe the validation of Supporting Systems or prerequisite programmes (e.g. cleaning), giving examples of the validation evidence that could be collected.
e) Describe the validation of Critical Control Points, giving examples of the validation information that could be collected.
f) Discuss how (c), (d) and (e) above interrelate.
g) Describe the validation required when an operator implements a process or procedure directly from a Code of Practice, compared to an operator developing their own procedures (e.g. a novel process).
h) Describe how validation information should be presented for evaluation.
i) Describe how the evaluator documents that they are satisfied that validation is complete.

(4) Incomplete validation:

a) Describe how much validation is expected for incomplete validation and how the lack of some information is managed.
b) Describe the 2 main components of a validation protocol and the importance of each.
c) Describe how the evaluator documents that they are satisfied that the validation protocol is adequate.
d) Describe how incomplete validation impacts on the evaluation and the conditions of registration of the RMP.
e) Explain who recommends and who finalises the conditions mentioned in d).
f) Describe the process for completing validation and registration of the fully validated RMP.
g) Describe how the evaluator documents that a RMP has been completely validated.

(5) Amendments:

a) Explain the role of the evaluator when a company makes a minor amendment to their RMP.
b) Explain the role of the evaluator when a company makes a significant amendment to their RMP.
c) Explain the operator's options in terms of the:

i) timing of registering the significant amendment and the collection of validation information; and
ii) impact that the timing of the registration has on product disposition.

5.4 HACCP

You will need to provide a copy of your NZQA record of learning, or a certificate from the relevant industry training organisation as evidence of having obtained at least one of the following NZQA unit standards:

a) 12626 “Co-ordinate the Development and Verification of a HACCP plan for a Meat Processing Operation”;
b) 12316 “Co-ordinate the Development and Verification of a HACCP plan for a Seafood Processing Operation”;
c) 19514 “Explain the Application of HACCP Principles”;
d) 28265 “Develop, implement and review a HACCP application for a food processing operation”;[1]
e) 28264 “Implement a HACCP system in a food processing operation”; or
f) any other qualification acceptable to MPI.

You will need to provide evidence to demonstrate use of the unit standard in the last 2 years, in any of the following ways:

a) developing a HACCP plan in a RMP or custom FCP;
b) implementing a HACCP plan in a registered RMP or custom FCP, including operator verification activities; or
c) verifying a HACCP plan in a registered RMP or custom FCP.

The evidence may be a summary report of your work including the company involved, product, process, time period, extent of involvement and responsibility (examples of HACCP plans or verification reports may be attached). This should be accompanied by at least 2 references from senior management confirming that the involvement was of a satisfactory standard. A report on your work from an independent and qualified auditor may be used as an alternative to references from senior management.

Depending on the nature of the evidence supplied, a MPI assessor may discuss this further with you.

5.5 Audit

You will need to provide **either**:

Evidence of having a quality system audit qualification. This can either be:

a) certified by a Joint Accreditation System of Australia and New Zealand (JAS-ANZ) accredited personnel certification body; or
b) attended a NZQA recognised audit course (e.g. a lead auditor course); or
c) obtained a NZQA unit standard in auditing at level 6 or above.

If the audit qualification was completed more than 3 years previously, provide evidence to demonstrate a meaningful involvement in performing verification or evaluation over the intervening years or you must re-qualify.

Or (as an interim measure for up to 6 months from your date of recognition):

(1) If you do not have an auditor qualification, provide a detailed résumé of the training you have completed and the audit work you have undertaken to date and your role in that work.

(2) Ensure that the following aspects of the audit process (sourced from ISO standard 19011 “Guidelines for auditing management systems”) have been covered:

a) decide on the type of audit and standard against which audit is to be done;
b) notify the auditee;
c) obtain information prior to premises audit;
d) assess pre-audit information and if necessary target specific concerns;
e) select audit team;

[1] Current unit standard available through NZQA.

f) brief the audit team;
g) visit premises and carry out entry meeting;
h) carry out audit;
i) carry out exit meeting and deliver conclusions;
j) write formal report;
k) follow up on non-conformances.

(3) A condition will be added to your recognition that will require your audit qualification to be obtained within 6 months (or other time as agreed with MPI) from the date of recognition.

(4) Please copy the following declaration at the end of your answers and sign and date it. MPI can accept scanned copies of signatures or electronic signatures.

Declaration:

I declare that the responses submitted to the Ministry for Primary Industries in response to the recognised evaluator questions supplied have been prepared by me and are all my own work.

Applicant Signature_____ Date_____/_____/_____

5.6 References

You will need to give the names and contact details of 2 referees who can provide information such as your job performance, work record, technical ability, personal attributes, character and reputation.

6 Quality System

As part of your application, you will need to provide your written quality system (policies and procedures) that deals with:

a) traceability of the evaluation process and associated documentation;
b) confidentiality;
c) conflict of interest;
d) notifying MPI of certain things;
e) reporting certain things to MPI;
f) evaluation process; and
g) assessment and use of technical experts.

If you are part of an organisation, the policies and procedures of the organisation can be submitted to fulfil this requirement. Once these policies and procedures have been assessed as part of your application, they must be followed for all evaluations [RA Notice 26(1)]. This includes ensuring that any sub-contractors you employ follow these procedures.

Any MPI audit of your competency as an evaluator will include an assessment of your compliance with these policies and procedures. It is important that these reflect your operation and are up-to-date.

6.1 Written Policies and Procedures

You will need to provide a copy of your written policies and procedures which address the following:

(1) How you will store and trace all relevant documentation associated with the evaluation, including records and any correspondence with MPI, operators, technical experts and any other businesses associated with the evaluation.

Describe how your records will be kept under secure conditions in a manner that will minimise deterioration. You should also describe how documentation will be made available to the DG, an animal product officer or person authorised by the DG, upon request within 24 hours.

All documentation (including records and correspondence) must be retained for at least 4 years from the date of signing of the particular evaluation report and must be auditable [RA Notice 26 (2)]. This retention period applies even if you cease to work as a recognised evaluator[2].

(2) How you will manage confidentiality in relation to information, operations and activities you come in contact with. You must ensure that proprietary rights are protected [RA Notice 26 (3)].

(3) How you will manage independence and conflict of interest. You must be free of any commercial, financial, management and other pressures (other than that associated with the evaluation) from those to whom the service is provided [RA Notice 26 (3)]. You must have procedures that describe how the results of an evaluation will not be affected by external influences.

The procedures should include how you will ensure that, within the past two years, you will not evaluate a RMP that you have been involved in the design, development, validation or verification of. This also applies to any person to whom you sub-contract work (refer to Appendix 1 of the Evaluation Manual for more information).

An exception to this applies if you have disclosed the conflict to MPI and MPI has been agreed in writing that the conflict can be managed. You must inform the operator if any technical expert of other

[2] If you cease to work as a recognised evaluator, arrangements should be made with MPI regarding record storage. Please contact MPI to discuss further.

recognised evaluator is to be used in an evaluation. Your procedures must describe how you would go about getting MPI agreement or notifying the operator in relation to these 2 scenarios.

(4) Your procedure for notifying MPI as soon as practicable and recommending any actions to be taken if you are prevented from performing an evaluation or exercising your duties and rights [RA Notice 23 (3)].

(5) Your procedure for reporting to MPI as soon as practicable and recommending any actions to be taken if you identify any uncorrected deficiency or non-compliance with any requirement under the APA when performing an evaluation and that you consider may:

a) result in exposure of humans or animals to an unacceptable level of hazard;
b) has the potential to jeopardise overseas market access; or
c) threaten the integrity of the official assurance system [RA Notice 24].

(6) Your procedure for notifying MPI if you leave or join a recognised agency or organisation that performs evaluation, including the name of the agency or organisation and the date that you left and/or joined it. Your procedure must ensure that MPI is notified before the move takes place. If you are no longer covered by a quality system as a result of this move, you will need to document policies and procedures to meet the requirements of this section [RA Notice 26(4)].

(7) The procedure for how you will carry out evaluations, including when a RMP is incompletely validated, and when evaluating a significant amendment. The procedure must include how you will obtain supporting reports from a technical expert with appropriate expertise, or another recognised evaluator (with the appropriate activity endorsement where required), for any aspect of the evaluation that is outside your expertise [RA Notice 25(1)].

(8) Your procedure for assessing the competency of any technical expert to whom you sub-contract evaluation work [RA Notice 25(2)]. This should include an assessment of the following information:

a) records of relevant training and qualifications;
b) résumé of relevant experience;
c) information relating to job performance, work record, technical ability and personal attributes relevant to the role sought, from at least one independent reference;
d) if being used for an activity with a mandatory competency requirement, evidence that the person meets the requirement (e.g. low-acid canned products); and
e) checking that there is no conflict of interest and independence will be maintained.

7 Activity Endorsements

Activity endorsements are used to identify evaluators' areas of specialist expertise and is publicly available on the MPI register of evaluators. A recognised evaluator with an activity endorsement is expected to have a high level of competence in the process or processes covered by that endorsement. You will need to be able to evaluate the complexities of a process and provide specialist knowledge to other recognised evaluators who do not have the same activity endorsement. An activity endorsement is required if you are evaluating a sector that has a mandatory competency requirement, e.g. low-acid canned foods, otherwise it is optional.

If you want to apply for an activity endorsement, you can select for specific sectors or processes within a general or specific area. For example, you may want an activity endorsement for all types of rendering operations, or for a specific type of rendering. There are no restrictions on what activity endorsements you can be recognised for. You may seek one or more activity endorsements.

If seeking an activity endorsement you will need good knowledge and experience of:

- the process or technology;
- hazards and other risk factors associated with the particular product, process or technology;
- detailed aspects of current industry practice;
- installation and commissioning of the equipment, process or technology (if applicable);
- MPI Operational Codes, Codes of Practice, HACCP plans, generic models or other guidance in the selected area;
- reputable international standards and/or peer reviewed scientific information in the selected area (if available); and
- how to assess the acceptability of the validation information provided by the operator.

To apply for recognition with an activity endorsement you will need to provide sufficient information to demonstrate your competence. The following are some examples of the types of activities that evaluators could receive an endorsement in:

- aseptic processing;
- slaughtering, dressing, boning, cutting and size reduction of mammals and/or birds;
- deer velvet processing;
- dual operator butchering;
- feed milling;
- seafood primary processing;
- further processing of seafood;
- ready-to-eat product processing (e.g. seafood);
- depuration of shellfish;
- primary processing and further processing of eggs;
- bee product processing;
- thermal processing of low-acid canned products;
- thermal processing of products other than low-acid canned foods;
- further processing (e.g. high pressure processing, freeze drying);
- rendering;
- tallow processing;
- biologicals processing.

MPI personnel with knowledge in the appropriate area(s) will assess the application. Input will be sought from external sources if the activity is outside the competencies of MPI personnel.

You can apply for an activity endorsement(s) as part of your initial application, or at any other time once you have been recognised.

7.1 General Requirements for an Activity Endorsement

For each activity endorsement you are applying for, you must provide written answers to the following questions [RA Notice 16]. You should ensure your answers are as complete as possible. If the information provided is sufficient to warrant further assessment, MPI will arrange an interview to discuss technical aspects of this activity. If not, you will be asked to provide more information or will be informed that insufficient information has been provided and that your application has been declined.

(1) Please state the activity you are seeking endorsement for (complete a separate response for each activity that you are applying for).

(2) Please supply any evidence of specialist training and qualifications relevant to the activity endorsement.

(3) Technical knowledge:

a) What type of product(s) is/are produced under this activity?
b) What type of production technology (process, equipment, preservation system etc.) is used for this activity?
c) List and discuss the features of this activity that need to be taken into account to minimise hazards to human or animal health and other risk factors.
d) What resources (that you are aware of) describe or outline the currently accepted industry practice for this activity?
e) Discuss the resources in d), commenting in particular on:

i) the practicality of implementing the industry practice;
ii) whether (amongst these resources) any conflicting advice may be present;
iii) how would you deal with such a conflict.

f) What, in your experience, presents the greatest difficulty to industry in applying industry practice? Provide specific examples in relation to the selected activity.
g) Have you had practical experience with this activity, including:

i) the identification, analysis and control of hazards; and
ii) the validation of processing parameters, regulatory or operator-defined limits?

If yes, please provide examples.

h) If an operator chooses not to apply all or part of an industry practice, what validation evidence would you accept to demonstrate that the process will produce products that are fit for their intended purpose?
i) Are you knowledgeable in the principles of statistics and experimental design or would you seek the assistance of another person when dealing with validation of non-standard processes? Please explain your response.

(4) Supply the names and contact details of 2 references who can provide information such as your job performance, work record and technical ability relevant to the tasks to be performed.

(5) Where an activity endorsement is sought at the same time as a generic recognition, only 2 references may be supplied, provided their knowledge of you is sufficient to cover both the generic recognition and the activity endorsement.

7.2 Specific Activity Endorsement for Thermal Processing of Low-Acid Canned Products

An evaluator of RMPs involving the thermal processing of shelf stable low-acid canned products for human and/or animal consumption must provide evidence of having passed **at least one each** of the Supervisors and the Qualified Persons courses:

Supervisors of low-acid canned products operations

a) Principles of Thermal Process Control, Acidification and Container Closure Evaluation, Massey University, New Zealand; or
b) Retort Supervisors Certification course, DWC FoodTech Pty Ltd, Australia; or
c) New Zealand Retort Supervisors and Process Control School, Food Processing Specialists Pty Ltd, Australia; or
d) another course acceptable to the DG.

AND

Qualified persons

a) Qualified Cannery Persons (Thermal Processing) Course, University of Western Sydney (Hawkesbury) Australia; or
b) Approved Persons Course for Thermally Processed Low-Acid Foods, DWC FoodTech Pty and CSIRO Australia; or
c) Introduction to the Fundamentals of Thermal Process Evaluation, Massey University, New Zealand (no longer available); or
d) another course acceptable to the DG.

For assessment in this activity you must also provide:

a) a résumé of relevant experience; and
b) evidence of knowledge of current infrastructure and industry practice for the sector.

7.3 Specific Activity Endorsement for Aseptic Processing and Packaging Operations

An evaluator of RMPs involving the aseptic processing and packaging of shelf stable low-acid products for human and/or animal consumption must provide evidence of having passed **at least one each** of the Supervisors and Qualified persons courses:

Supervisors of aseptic processing and packaging operations

a) Principles of Thermal Process Control, Acidification and Container Closure Evaluation, Massey University, New Zealand; or
b) another course acceptable to the DG.

AND

Qualified persons

a) Approved Persons Course for UHT Processing and Aseptic Packaging, DWC FoodTech Pty Ltd and CSIRO, Australia; or
b) another course acceptable to the DG.

For assessment in this activity you must also provide:

a) a résumé of relevant experience; and
b) evidence of knowledge of current infrastructure and industry practice for the sector.

7.4 Specific Activity Endorsement for Depuration of Bivalve Molluscan Shellfish

An evaluator of an RMP covering the depuration of Bivalve Molluscan Shellfish (BMS) must provide evidence of successfully completing at least one of the following courses:

a) SIS Training and Consulting Ltd Depuration Course, Solutions in Seafood Ltd, New Zealand;

b) Aquabio Consultants Depuration Training Course, Aquabio Consultants ltd, New Zealand; or
c) another course acceptable to the DG.

For assessment in this activity you must also provide:

a) a résumé of relevant experience; and
b) evidence of knowledge of current infrastructure and industry practice for the sector.

8 Maintaining Recognition

As a recognised person, you must comply with the duties of recognised persons and are accountable to the DG when carrying out evaluation activities [APA 112IA and 112H].

It is your responsibility as a recognised person under the APA to make sure the activities you perform as an evaluator are up to the expected standard. MPI needs to have confidence that recognised persons performing RMP evaluations are up-to-date with APA requirements and have maintained their level of competency.

To maintain your recognition you must:

a) conduct effective evaluations and prepare evaluation reports that accurately reflect the operation and the evaluation you have carried out;
b) maintain and follow the procedures in your quality system;
c) comply with any conditions on your Notice of Recognition;
d) renew your recognition annually, or in accordance to the date on your Notice of Recognition; and
e) maintain your level of competency [RA Notice 23(2)].

If it is found that you have failed to maintain the required competencies, or that your performance impacts negatively on the RMP or its ability to be registered, you will be notified of this.

If there is a serious deficiency in your performance, MPI may look into suspending and/or withdrawing your recognition. In these cases, the right of review will apply.

8.1 Recognition Renewal

To renew your recognition, you must demonstrate how you have maintained your level of competency [RA Notice 23(2)]. You can do this by completing the written record of the Continued Professional Development (CPD) model as described in 8.2 below.

MPI will endeavour to notify you a month prior to when the renewal and annual fee is due, otherwise you must complete AP7 application form and pay the annual fee. Make sure you notify MPI if your contact details change so you continue to receive the renewal notification reminder. If the renewal fee is not paid, continued activities as a recognised evaluator may be in breach of the APA. Any failure to pay the fee within 30 days of the due date may result in withdrawal of recognition under section 112N of the APA.

8.2 Continued Professional Development (CPD) Model

You are responsible for ensuring that your competence is maintained and improved upon prior to renewal of your recognition. A Continued Professional Development (CPD) model was developed to assist with providing written evidence of maintaining your level of competency.

The CPD model requires you to demonstrate you have met time requirements for 3 competencies of technical knowledge, industry or customer interaction, and evaluation calibration. You will need to attend at least 2 different activities to satisfy all 3 competencies. Examples of activities for each competency are listed in table 1 below. You will need to demonstrate how the activities have helped you to maintain your level of competency in a written record, a template is attached in Appendix 2. You will need to demonstrate on the written record the activities you have completed, what you've learnt from the activity and its impact on your work.

Table 1: CPD model competencies and relative time requirements

Competencies	Requirement	Example of activities
Technical knowledge To ensure the evaluator remains up-to-date with current legislative requirements, any relevant new technical information, and be able to apply them readily. Attendance at the RMP Evaluators' Workshops is expected while technical conferences, seminars and training courses is encouraged.	At least 7 hours	• RMP Evaluators' workshop • Online or refresher courses • Technical workshops • International or NZ conferences • Verification of RMPs (where appropriate) • Regular review of requirements and guidance documents • Review literature and research from overseas regulators and Codex etc. • Review microbiological modelling tools
Industry or customer interaction To ensure the evaluator can connect and communicate clearly with industry and their customers. Evaluators should have an up-to-date understanding of the current industries' needs.	At least 7 hours	• Conducting an evaluation for a client • Technical reviews
Evaluation calibration To ensure consistency among evaluators so all RMPs recommended for registration are of a consistent high standard.	At least 2 exercises OR At least 3 hours of other activities	• Calibration exercises at the RMP Evaluators' workshop • Calibration exercise as part of Evaluators' Newsletter • Calibration meetings with other evaluators

The activities used to satisfy the competencies must be completed in the time period prior to the recognition date renewal (e.g. if an evaluator renews their recognition in February on an annual basis, they can use activities from February of the previous year up to the end of January of the current year).

If your recognition renewal is before October 2019 and you submitted a written record as part of the trial CPD model, you do not need to send in any additional CPD written records as part of your recognition renewal.

If you cannot meet the CPD requirements at the time of your recognition renewal, you will need to provide a written justification to MPI. MPI will endeavour to assess each situation and work with you to find a solution. Recognition may not be renewed if MPI has reasons to believe your level of competency as an evaluator has not been maintained.

8.3 Compliance Audits

You may be subject to periodic compliance audits by MPI. The audit could involve:

- a desk top assessment of your work;
- observing you undertaking an on-site assessment; or
- assessment of your compliance with the policies and procedures in your quality system.

These audits form part of the system to ensure the competency of recognised evaluators and the overall performance of the RMP evaluation system. You will need to receive an acceptable outcome from any compliance or systems audit carried out by MPI to be able to maintain your recognition.

8.4 Additions or Changes to Recognition

8.4.1 Activity Endorsements

To amend your endorsed activities, submit a completed AP7 application form, together with the documentation required in Part 7 of this guide, to MPI. The application procedure described in Part 4 will apply. Fees are payable with each application.

If you want to remove an activity endorsement, please notify MPI in writing.

8.4.2 Substituted Notice of Recognition

Where the terms or conditions of recognition are varied, or your existing Notice has been damaged, lost, destroyed or contains a mistake, MPI may cancel the Notice of Recognition and issue a new one. A fee may apply.

Refer the Animal Products (Fees, Charges, and Levies) Regulations 2007 for the applicable fees.

8.4.3 Changes to Organisations

Moving from or joining an organisation for the purpose of evaluation will require you to notify MPI in writing. [RA Notice 26(4)].This enables MPI to track your movements and to check that you will continue to operate under an MPI assessed quality system. You will also need to notify MPI of the dates of cessation and commencement as appropriate.

If, as a result of a move you are no longer covered by a quality system you must submit your written procedures (to address the information required by Part 6) to MPI for assessment. This needs to occur within 4 weeks of leaving the organisation. You should not carry out new evaluations until these procedures have been submitted for assessment. If joining an organisation that has MPI assessed procedures, you must ensure that you conduct your evaluations in accordance with those procedures. Contact MPI to discuss further.

8.5 Suspension of Recognition

Under Section 112J of the APA, where there are reasonable grounds to believe that the performance of a recognised person is unsatisfactory, the DG may suspend recognition for up to 3 months, with the option of extending for a further 3 months. In this case you will be required to provide MPI with a full list of the evaluations that are currently underway. The DG may impose conditions or requirements that must be satisfied for the suspension is to be lifted. You would be notified of this in writing.

If the decision to suspend recognition has been made by a person acting under delegated authority of the DG, the right of review process as described in Part 4.4 will apply.

8.6 Withdrawal of Recognition

Section 112N of the APA provides that where necessary, the DG may withdraw recognition. You would be notified of this in writing and would be required to provide MPI with a full list of the evaluations that are currently underway. The following circumstances would be considered grounds for withdrawal.

An evaluator:

a) is no longer fit and proper to undertake the activities for which recognition was granted; or
b) has failed to comply with any terms or conditions of recognition; or
c) has failed to meet any performance criteria specified by the DG; or
d) has failed to comply with the requirements of the APA.

If MPI plans to withdraw recognition, you will be given a reasonable opportunity to be heard and if the decision was made by a person acting under delegated authority of the DG, the right of review process as described in Part 4.4 would apply.

If your recognition is to be reviewed for withdrawal you would be required to:

a) take all reasonable steps to notify all clients of the impending withdrawal; and
b) surrender your Notice of Recognition to the DG on withdrawal of the recognition; and
c) retain your evaluation records for 4 years from the date of signing of each evaluation report, unless other arrangements have been made in writing with the DG.

8.7 Surrender of Recognition

You may surrender your recognition at any time by notifying MPI in writing. The surrender will take effect on a date you specify, or the date of receipt of the notice by the MPI. On surrender of your recognition, you must:

a) take all reasonable steps to notify all clients of the impending surrender; and
b) surrender your Notice of Recognition to the DG; and
c) retain your evaluation records for 4 years from the date of signing of the evaluation report, unless other arrangements have been made in writing with the DG.

Appendix 1: Application Checklist

The following lists the information that you must submit to MPI when applying for recognition as an evaluator. The information should be sent to the e-mail address at the top of the AP7 application form.

Generic Recognition (required):

☐ Completed Recognised Person application form, including the form for the New Zealand Police vetting service of convictions (AP7);

☐ Evidence of achieving NZQA standards (if any) (Part 5.1);

☐ Written answers to the assessment questions and/or other required evidence and the signed declaration (Part 5.2-5.6);

☐ Documentation to fulfil the quality system requirements (Part 6);

☐ Applicable fees (as per AP7).

Activity endorsement (optional):

In addition to the above:

☐ Documentation to fulfil the activity endorsement requirements (Part 7).

Appendix 2: Continued Professional Development (CPD) Model Record Sheet

Name:_____ Date:_____

Category	**Description of the activity** *Make sure you include information on the type of activity anddates, and provide any supporting information (e.g. meeting agenda, minutes etc.).*	**Number of hours**	**Date of activity**	**What I have learnt from this activity** *How has this increased your knowledge?*	**The impact of this activity on my work** *How will this activity impact on your future evaluator work?*
Technical Knowledge					
Evaluation Calibration					
Industry Interaction					