Course Announcement
Best Aquaculture Practices (BAP)
A division of the Global Aquaculture Alliance (GAA)

Auditor & Industry Observer Training Course
Remote Classroom via Zoom
September 7 – 11 – Eastern Hemisphere
October 19 – 23 Western Hemisphere

Course Subject Material - Best Aquaculture Practices (BAP) Standards for:

- Seafood Processing Plants Issue 5.0 – 01-February-2019
- Farms:
  - Finfish and Crustacean Farm Standard, which covers land-based aquaculture systems: ponds, raceways, recirculating aquaculture systems, fresh/brackish water cage farms and also marine cage (non-salmon) farms 2.4 – 23-May-207
  - Mollusk Farm Standard Version 1, May 2016
  - Salmon Farm Standard Issue 2, Revision 3 October 2016
- Hatchery: Finfish, Crustacean, and Mollusk Hatcheries and Nurseries Standard Version 1, September 2014
- Feed Mills: Feed Mill Standard Issue 3.0 – 15-June-2020

Instructors:

- Chris Weeks, Program Integrity Manager
- Ken Corpron, Program Integrity Analyst
- Murali Bujji, Senior Program Integrity Specialist
- Avery Siciliano, Corporate Responsibility Manager
Remote Classroom Course Details

September 7 - 11, 2020 – Eastern Hemisphere
20:00 Eastern Daylight Time – 05:00 Eastern Daylight Time
Course Venue: Zoom

October 19 - 23, 2020 Western Hemisphere
08:00 Eastern Daylight Time – 17:00 Eastern Daylight Time
Course Venue: Zoom

Online Training Rules

Hardware Rules
1) Recording - Zoom sessions may be recorded. You can tell when that is the case given a little light that shows up at the top left hand of the Zoom screen. It is the presenter’s sole decision as to whether to record or not. No one outside of your class may see these recordings. GAA/BAP may archive these recordings for internal training purposes.
2) Camera – You must keep your cameras on to ensure that you are fully participating.
3) Microphone - Always mute your Zoom when you are not speaking. This will help prevent background noise and feedback from distorting the audio for other participants.

Lecture Rules
Please show up in full attire, just as you would in a professional business meeting, and please do not place distracting items on screen. We ask that you set yourself up in a well-lit environment for optimal video. Consider using headphones or a headset with microphone if you find difficulties with audio or hearing.
When in class, give your full attention to the class. You should not be working on other items. You should be fully engaged and ready for impromptu responses that you might need to give at a moment’s notice within the class.
Each participant must have their own account for the course and be on camera. No additional persons should be watching the course from your device.
Please use the “Raise Your Hand,” tool to indicate when you would like to make a comment.
<table>
<thead>
<tr>
<th>New Auditor Candidates</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Auditor Competencies</strong></td>
<td><strong>Fee</strong></td>
</tr>
<tr>
<td>Candidates with more than one competency</td>
<td>USD 2000</td>
</tr>
<tr>
<td>Seafood Processing Plants only (Cat.1)</td>
<td>USD 1450</td>
</tr>
<tr>
<td>Feed Mills only (Cat. 6)</td>
<td>USD 1450</td>
</tr>
<tr>
<td><strong>Farms &amp; Hatcheries Only</strong></td>
<td><strong>Fee</strong></td>
</tr>
<tr>
<td>• Land-Based Farm Systems (ponds, raceways, etc., Cat. 2)</td>
<td>USD 1175</td>
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<tr>
<td>• Cages in Fresh, Brackish, &amp; Marine Water (Cats. 3 &amp; 4)</td>
<td></td>
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<tr>
<td>• Mollusk Farms (Cat. 5)</td>
<td></td>
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<tr>
<td>• Related Hatcheries</td>
<td></td>
</tr>
<tr>
<td>Returning Auditors</td>
<td></td>
</tr>
<tr>
<td>Candidates with more than one competency</td>
<td>USD 1500</td>
</tr>
<tr>
<td>Seafood Processing Plants Only</td>
<td>USD 1100</td>
</tr>
<tr>
<td>Feed Mills Only</td>
<td>USD 1100</td>
</tr>
<tr>
<td><strong>Farms &amp; Hatcheries Only</strong></td>
<td><strong>Fee</strong></td>
</tr>
<tr>
<td>• Land-Based Farm Systems (ponds, raceways, etc., Cat. 2)</td>
<td>USD 900</td>
</tr>
<tr>
<td>• Cages in Fresh, Brackish, &amp; Marine Water (Cats. 3 &amp; 4)</td>
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<td>• Mollusk Farms (Cat. 5)</td>
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<tr>
<td>• Related Hatcheries</td>
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<tr>
<td>Observers</td>
<td></td>
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<tr>
<td>USD 1350</td>
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Deadlines:

1. No registrations will be accepted for any attendee categories after August 7th, 2020 for the Eastern Hemisphere Course or after September 19th for the Western Hemisphere Course.
2. All fees are due before the start of class or there will be no admittance.
3. Pre-Work MUST be complete and submitted no later than start of class for each session.
4. Where applicable, the Pre-Qualifier exam must be completed before access to Pre-Work will be given.

Pre-Qualifier Exam

All new auditor applicants, or current BAP auditors looking to extend their scope of competence will be required to complete a general aquaculture exam for each of the competencies that they are applying for. This online exam must be taken and passed prior to receiving access to any course pre-work. A passing grade is 70% This exam can be taken at no cost and is required for all NEW applicants and for current BAP approved auditors wishing to extend their scope only. Auditors who are recertifying and not adding additional competencies do not need to take the Pre-Qualifier Exam.

Process Flow:

1. Submit an application to BAP with all required documents and formatting.
2. BAP will determine eligibility for competencies and send an approval/denial notice for each competency you are applying for.
3. If you are a new auditor, or extending your scope, you will be required to take an online Pre-Qualifier Exam for each competency you were approved for. BAP will provide you directions on how to log-in and take the online exam. Failure of an exam will result in no admittance to the course for that competency.
4. Upon successful passing of the qualifying exam you will then be given access to course Pre-Work which will be due before the starting day of class. Pre-Work is required of all attendees.
5. Attend the classroom portion of the training course
6. Take a final exam for each competency you were approved for based on material from the pre-qualifier, pre-work and classroom portions.

*Access to the Pre-Qualifier Exam(s) is currently open to all approved NEW auditor candidates*
Testing and Passing the Course

- All auditors will be required to complete online Pre-Work modules prior to the start date of the course. Pre-work scores must be at a minimum 70% for the Social Accountability Courses Only.
- The candidate must score at least 70% on the final exam to pass regardless of the scores on Pre-Work.

Course Schedule

<table>
<thead>
<tr>
<th>Course Days</th>
<th>Mon Sept 7th</th>
<th>Tues Sept 8th</th>
<th>Weds Sept 9th</th>
<th>Thurs Sept 10th</th>
<th>Fri Sept 11</th>
</tr>
</thead>
<tbody>
<tr>
<td>All Auditors and Competencies</td>
<td>Food Safety</td>
<td>Social Accountability</td>
<td>Environmental</td>
<td>Animal Welfare</td>
<td>Exam</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Course Days</th>
<th>Mon Oct 19</th>
<th>Tues Oct 20</th>
<th>Weds Oct 21</th>
<th>Thurs Oct 22</th>
<th>Fri Oct 23</th>
</tr>
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</tbody>
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Course Materials

Paid registrants will be sent an email with the in-class presentation, detailed schedule and BAP Standards.

Auditor Information

BAP Conflict of Interest Policy

- Individuals that work in the seafood industry for a processor, trader, importer/exporter, farm, hatchery, feed company, government organization or other similar type of organization may attend as observers but cannot be admitted as auditor candidates.
- Auditor candidates must be independent/third party individuals to avoid conflict of interest.
BAP Course Attendee Categories and Registration Instructions

There are three attendee categories:

- Returning Auditors
- New Auditor Candidates
- Observers

Returning Auditors:

Currently Approved and Active BAP Auditors:

Currently approved and active BAP auditors that must take refresher training may register by:

1. Having the Certification Body they work for contact BAP for approval.
2. Or, if an independent approved auditor (not an employee of a CB), contact BAP directly.
3. Once approved you will receive a confirmation email from BAP with further instructions.

Currently Approved and Active BAP Auditors Wishing to Extend the Scope of Their Approval:

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

1. Ensure the competency requirements for the new category have been met (see “Auditor Applicant Competencies” and “Minimum Auditor Competency Requirements” sections).
2. Update credentials (CV, audit log, any training certificates obtained) to clearly show the competency requirements for the category have been met.
3. Submit above credentials to the CB you work for screening and approval. CB is NOT to send the information on to BAP until it has been properly screened.
4. Or, if an independent auditor not working as an employee of a particular CB, update credentials and submit directly to BAP.
5. Pass the competency pre-qualifier exam.

New Auditor Candidates

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

1. Contact a BAP-approved CB in advance to find out if any of them might be interested in hiring you if you pass the course. If so, make arrangements with that CB to send them all required credentials and have them screen your candidacy. Once the candidate has been confirmed by the CB as having met the BAP requirements, the CB is to send the candidates name and credentials to BAP for final approval and invoicing.
2. Submit your credentials as described in this document directly to BAP for screening. State the exact BAP categories you are seeking approval for, and ensure you meet the requirements. Once screened and approved by BAP, pay the invoice for the course. If you pass the course, you may seek to be hired by one or more of the BAP approved CBs.
For competency categories, competency requirements, and document submittal requirements, see: “Auditor Applicant Competencies”, “Overview of Requirements to Become a New BAP Auditor or for BAP Auditors That Are Not Current to Re-Qualify”, “Minimum Auditor Competency Requirements”, and “Documents Required to be Submitted for Screening” sections.

To All BAP-Approved Certification Bodies (CBs)

1. Any new or returning auditor that is an employee of a BAP-approved CB MUST be properly screened by that CB BEFORE submitting anything to BAP.
2. All GAA BAP approved Certification Bodies are responsible for ensuring the proper information, registration steps and screening have taken place for any auditor they are submitting for a course.
3. Improper information and submittals will be rejected and returned to the CB for correction. The CB must state the exact category(ies) the candidate was approved for by the CB.

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

In order to become an approved auditor under BAP, the procedure for admittance to courses and auditor competency requirements are in the following pages. Please read thoroughly the requirements and follow the instructions.

Overview: To become an approved auditor under BAP, candidates must:

- Meet the competency requirements for each BAP category they wish to audit against. Candidates must clearly indicate which of the categories they are applying to audit for.
- Submit credentials and other information in compliance with the steps specified in this document and be approved to attend a BAP auditor course.
- Complete and pass the pre-qualifier exam for each competency they are applying for.
- Pass the course for the area(s) of competency(ies).
- Work for or be subcontracted by a BAP-approved Certification Body (CB).
- Obtain final approval to audit from a BAP-approved CB by undergoing required shadow and witness audits.
- Maintain competency and perform the minimum number of audits per year for each category

The specific competency requirements and credentials required to be submitted are described in the next 3 sections below:
BAP Auditor Applicant Competencies

New auditor candidates, returning auditors wishing to extend their scope of recognition, or outdated/not current auditors, must demonstrate competence in the specific categories covered by the BAP standards they wish to audit against.

The BAP Auditor Competency categories are:

<table>
<thead>
<tr>
<th>Auditor Category</th>
<th>Competency</th>
</tr>
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<tbody>
<tr>
<td>1</td>
<td>Seafood Processing Plants</td>
</tr>
<tr>
<td>2</td>
<td>Land-based Aquaculture Systems (Including ponds, raceways, recirculating systems, fresh and/or brackish water cages - all species and related hatcheries)</td>
</tr>
<tr>
<td>3</td>
<td>Salmon and Marine Cage Farms (all marine finfish species and related hatcheries)</td>
</tr>
<tr>
<td>4</td>
<td>Marine Cage Culture Farm Systems Only (no salmon experience) And related hatcheries</td>
</tr>
<tr>
<td>5</td>
<td>Mollusk farms and related hatcheries (including mussels)</td>
</tr>
<tr>
<td>6</td>
<td>Feed Mills</td>
</tr>
</tbody>
</table>

Applicants shall submit **seafood competency** information to either their CB or, if independent, to BAP as described below.

Please Note:
- All information submitted such as CVs and audit logs must include **ONLY** seafood related information relevant to the category(ies) being applied for.
- Experience not related to seafood (such as audits of dairy plants or agricultural farms) must be removed. Inclusion of large amounts of non-BAP category related areas will cause the submittal to be rejected and returned for correction.
- Applicant information submitted to BAP where the competency requirements have not been clearly met, where all required documents listed herein were not sent, or where the CB did not properly screen their candidates will be rejected and returned to the applicant or CB for correction.

Minimum Auditor Competency Requirements

1. **Seafood Related Experience**: At least 5 years of direct experience in Seafood Processing Plants, or at least 3 years of direct experience in each of the other categories mentioned above that an applicant wishes to potentially audit to. Experience can take the form of positions held, performing audits of seafood-related facilities, or both.
   - Examples of positions held: quality assurance, production, food safety, product inspection, operation of aquaculture farms or hatcheries, key position in a feed mill, etc., Feed mill experience need be in animal or aquaculture feed mills.
2. **Language Skills**: Demonstrated good written and verbal English capabilities.

3. **Education**: A degree in a relevant scientific field and/or other relevant education (see “other education” below)
   - Examples of relevant degrees include: Food Science, Microbiology, Fisheries Science, Aquaculture, Veterinary Medicine, Biology, or Chemistry.

4. **Recognized Auditor Course**: Candidates must have successfully completed a recognized course in audit techniques.

5. Examples of recognized audit courses include: ISO 9000, ISO 9001 or CB-supplied auditor training.

6. **Other Education**: Other education combined with experience can be substituted in place of a degree requirement provided that education is deemed sufficient and can be verified through certificates. The other education must be directly applicable.
   - Examples of other education include training or courses in: Aquaculture science or management, feed mill courses, HACCP, GMPs, Sanitation, Hygiene, Quality Assurance, Microbiology, and additional audit courses beyond the one already required under item no. 4.

Auditor candidates must meet the above qualifications for each auditor competency category they wish to be considered for. Auditors need only meet the requirements under one category to attend. Auditor candidates that meet the qualifications for one category and that also wish to be considered in the future for additional categories may obtain the necessary experience and training through their CB or on their own and request approval from a CB and Best Aquaculture Practices.

The documents required to be submitted to demonstrate the competency requirements have been met are described below.

**Please Note:**
- Approved auditor candidates must attend the ENTIRE course and do all of the pre-work, case studies and tests for every category for which they are applying.
- Auditor candidates are not allowed to do the homework and tests for the categories they are not approved for.
- Candidates that meet both the competency requirements and pass the homework and tests for the area of competency applied for will be approved as BAP Auditors for that category but cannot audit alone until they have gone through training/shadow and witness auditing to the satisfaction of one or more of the BAP-approved certification bodies.

**Documents Required to be Submitted for Screening**

Certification Bodies are required to screen their potential candidates for the above minimal qualifications and to obtain and thoroughly review for each applicant, the below information at a minimum.

Independent candidates not applying through a CB are required to submit the same information listed below to BAP for screening.

1. **CV/Resume**: An up-to-date CV/Resume in English, describing positions and experience related to seafood and the specific BAP category(ies), education, certifications, etc.
2. **Audit Log**: An audit log in English for those with auditing experience related strictly to seafood facilities within one or more of the BAP categories. The audit log should go back 1-2 years depending on the amount of auditing experience, but can go back as much as 3 if necessary. The log must list the auditor name, type of facility, products/species, whether or not the person was a lead auditor, sole auditor, part of a team, or an observer, and type of audit done and to what standard. For processing plant audits products should be listed where applicable in low and high risk forms and their species (cooked, Ready to Eat, Raw, breaded, smoked, canned, marinated etc.). Where species can be both farmed and wild, specify which. (If there is no audit log or auditing experience, state that in the submittal)

3. **Degree(s)**: Copy of related degree, if applicable.

4. **Other Education**: **IF you do not have a relevant degree** – submit at least 3 copies of certificates showing other education, see item no. 5 “other education” above.

   **Please Note**: Any reference to certifications in food safety schemes that do not specify the competency category, where appropriate, will not be accepted without documented evidence of the competency/category. For example, BRC and SQF certifications referenced on a CV/Resume require that such certificates be sent and the category(ies) of approval included, in order to verify seafood is part of the scope.

**Submittal to BAP**

BAP will review the above information from all candidates - those that have passed the CB screening and/or those applying to BAP directly as independents. The BAP division of the GAA will make the final decision as to approval for attendance.

- For auditor credential submittals, including CVs and audit logs, please contact David Yunker and Haven Hatch at the email address below:
  training@bapcertification.org
- For payment submittal contact Alyx Catanuso at the email address below:
  Alyx.catanuso@aquaculturealliance.org

Your cooperation in providing highly qualified auditor candidates is truly appreciated. Please do not hesitate to contact Best Aquaculture Practices with any questions or concerns.