

**Ministry of Agriculture and Forestry
P O Box 2526, Wellington, New Zealand**

MAF Food: Dairy & Plants

Circular No. 57

Dairy Industry Regulations 1990

***Performance Measurement of Third Party
Agencies and Approved Individuals (D504.1)***

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Issue of Circular

Regulation 59 of the *Dairy Industry Regulations 1990* allows the Director-General of the Ministry of Agriculture and Forestry to issue Circulars setting out criteria for matters which must be approved by, or done to the satisfaction of, the Director-General, pursuant to the *Dairy Industry Regulations 1990*.

This Circular, no. 57, containing 'MAF Standard D504.1, "Performance Measurement of Third Party Agencies and Approved Individuals,"' is issued in accordance with that regulation 59.

This Circular, no. 57, takes effect on 11 May 2000.



Tim Knox
Director, Dairy and Plant Products
MAF Food Assurance Authority

11 May 2000

(Signed under authority delegated by the Director-General of MAF, pursuant to regulation 59 of the Dairy Industry Regulations 1990.)

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1 Background

The MAF Standard on Performance Measurement of Third Party Agencies and Approved Individuals was developed to describe acceptable criteria for measuring the performance of Third Party Agencies (TPAs) and their associated approved individuals who provide evaluation and verification services to the New Zealand dairy industry.

Upon the introduction of the ORM-based regulatory system, a system of accreditation and approval of TPAs and their associated individuals will operate in parallel with the existing system, wherein MAF assessed and recognised individuals within recognised service providers.

2 Summary

This Standard specifies requirements relating to the measurement of the performance of TPAs and their associated individuals in compliance with the requirements of the *Dairy Industry Regulations 1990*.

Appendix One outlines acceptable criteria for demonstrating that the outcomes in the Standard are achieved, including:

- history of compliance, of the TPA, with ISO Standard 17020 and MAF requirements;
- history of effective management, by the TPA, of client non-compliances;
- history of effective management, by the TPA, of its own non-compliances;
- history of effective management of approved individuals by the TPA;
- history of complete, accurate and timely reporting, by the TPA, to the accreditation body and MAF;
- history of satisfactory performance of the approved individuals, and
- experience of the approved individuals as approved assessors.

Proposals for alternative criteria may be approved by MAF, provided it can be demonstrated to MAF's satisfaction that the required outcomes will be achieved.

3 Outcome

MAF is confident that all TPAs and their associated approved individuals, evaluating and/or verifying Product Safety Programmes and their components on behalf of MAF, and monitoring the performance of the dairy industry against Product Safety Programmes, in compliance with regulation 6 of the *Dairy Industry Regulations 1990*, are competent.

4 Effective changes

This Standard will introduce the following change from the existing situation:

- the performance of MAF-approved TPAs and their associated approved individuals will be assessed at least annually by the accreditation body, with MAF Food providing technical experts for the process.

5 Implementation

This Standard will apply from the date of its notification by Circular.

6 Effect on compliance costs

The performance assessment category to which a TPA or approved individual is assigned will impact financially on TPAs. The costs involved will be determined in a contractual relationship between TPAs and accreditation bodies and MAF.

MAF Standard D504.1, “Performance Measurement of Third Party Agencies and Approved Individuals”

1.0 SCOPE

This Standard contains the outcomes for measuring the performance of Third Party Agencies (TPAs) and their associated approved individuals, and determining the frequency of their assessment by accreditation bodies and MAF Food.

All TPAs and their associated approved individuals approved by MAF to provide assessment services to the New Zealand dairy industry must be assessed according to this Standard. All accreditation bodies must comply with this Standard.

2.0 PURPOSE

This Standard sets out the outcomes specified in the *Dairy Industry Regulations 1990* relating to measurement and monitoring of the performance criteria against which TPAs and their associated approved individuals are assessed.

The acceptable criteria outlined in Appendix One of this Standard were developed in consultation with industry to establish clear rules for judging to which category a TPA or approved individual should be assigned, and to assist parties to achieve the outcomes described in this Standard. Proposals for alternative criteria will be approved by MAF, provided it can be demonstrated to MAF's satisfaction that the required outcomes will be achieved.

3.0 OUTCOME

MAF is confident that all TPAs and their associated approved individuals, evaluating and/or verifying Product Safety Programmes and their components on behalf of MAF, and monitoring the performance of the dairy industry against Product Safety Programmes, in compliance with regulation 6 of the *Dairy Industry Regulations 1990*, are competent.

4.0 INTERRELATED REQUIREMENTS

The following Standards must be read in conjunction with this Standard.

- MAF Standard D501, “Technical Competence of Third Party Agency Individuals.” Dairy and Plant Products Group, Food Assurance Authority, Ministry of Agriculture and Forestry.
- MAF Standard D502, “Accreditation and Approval of Third Party Agencies.” Dairy and Plant Products Group, Food Assurance Authority, Ministry of Agriculture and Forestry.
- MAF Standard D503, “Third Party Agencies’ Responsibilities.” Dairy and Plant Products Group, Food Assurance Authority, Ministry of Agriculture and Forestry.

5.0 ADDITIONAL RESOURCES

The following document is a useful resource.

- *Dairy Products Safe and True.* Dairy and Plant Products Group, Food Assurance Authority, Ministry of Agriculture and Forestry. World Wide Web address: www.maf.govt.nz/Dairy/

6.0 DEFINITIONS

These definitions must be read in conjunction with the interpretations in the *Dairy Industry Act 1952* and the *Dairy Industry Regulations 1990*.

MAF Food: Dairy & Plants definitions of terms can be found in their “Glossary of Terms,” available on the Dairy & Plants website (www.maf.govt.nz/Dairy/).

Accreditation body – An internationally recognised, independent organisation which is authorised to accredit organisations to certain ISO standards. Currently, only IANZ and JAS-ANZ are accreditation bodies in New Zealand.

Approved individual – A person who has demonstrated that they meet MAF competency standards for qualifications and experience, and has subsequently been approved by the Director-General of MAF pursuant to the *Dairy Industry Regulations 1990*.

Assessment - Systematic examination of an individual, organisation, plan, programme, or system against regulatory requirements.

Critical non-compliance – An action, event or omission which may result in:

- failure of dairy produce to comply with regulatory requirements;
- failure to follow the lawful direction of an Inspector;
- an alleged offence against the *Dairy Industry Act 1952* or *Dairy Industry Regulations 1990*;
- a critical situation;
- failure of a critical control point within a MAF-approved programme or plan;
- failure to identify when dairy produce is non-conforming;
- failure to stop a non-compliance;
- failure to keep accurate and complete records;
- failure to provide accurate, complete, and timely reports;
- failure to dispose of non-conforming dairy produce in compliance with regulatory requirements;
- failure to prevent recurrence of a non-compliance; and/or
- failure to rectify a non-compliance within the specified timeframe.

Critical situation – Any situation which, in the professional judgement of the Inspector, places public health, animal welfare, market access, official assurances, national good, or MAF's credibility at risk, or where an offence is suspected.

Dairy produce – Milk, cream, butter, cheese, and any other product of milk or cream.

Dairy product – Dairy produce intended for sale in, or export from, New Zealand for human consumption; and

- (a) includes raw milk or cream intended for sale in New Zealand for human consumption as raw milk or cream; but
- (b) does not include raw milk or cream intended to be processed before sale in New Zealand for human consumption.

Full assessment – an assessment to confirm that staff, facilities, operations and procedures comply with regulatory standards and documented procedures are followed. Information gathered will include, but need not be limited to, records, discussions with management and personnel, and the observation of activities.

IANZ – International Accreditation New Zealand. An accreditation body.

ISO Standard 17020 – ISO Standard entitled, “General criteria for the operation of various types of bodies performing inspections” (EN 45004:1009).

JAS-ANZ – Joint Accreditation System of Australia New Zealand. An accreditation body.

MAF Compliance – The Compliance and Investigation Group of MAF Food, reporting to the Director, Compliance and Investigation.

MAF Food – The Food Assurance Authority of the Ministry of Agriculture and Forestry.

MAF Food: Dairy & Plants – The Dairy and Plant Products Group of MAF Food, reporting to the Director, Dairy and Plant Products.

Significant change – Any change made to key staff, environment, premises, equipment, facilities, process or product which may affect food safety.

Surveillance assessment – An assessment of practical implementation of documented procedures to determine the conformance of that practice with the accreditation criteria and documented procedures.

Third Party Agency (TPA) – Organisation approved by MAF to carry out evaluation and/or verification services.

Verification – Application of methods, procedures, tests and other checks, in addition to monitoring, to determine compliance with MAF-approved plans, programmes and systems, and to confirm the ongoing applicability of those.

7.0 REQUIREMENTS

The performance of all MAF-approved TPAs and their associated approved individuals providing assessment and monitoring services, on behalf of MAF, to the New Zealand dairy industry, must be assessed by their accreditation body and MAF Food at the frequency specified by MAF Food.

For TPAs, the following performance standards must be assessed:

- history of compliance with ISO Standard 17020 and MAF requirements,
- history of effective management of client non-compliances,
- history of effective management of own non-compliances,
- history of effective management of approved individuals,
- history of complete, accurate and timely reporting to the accreditation body and MAF,

For approved individuals, the following performance standards must be assessed:

- performance in accordance with MAF Standard D501, “Technical Competency of Third Party Agency Individuals,” and the associated MAF Food “Checklist for Technical Competence of TPA Individuals,” and
- experience as an approved assessor.

8.0 VERIFICATION

Verification of compliance with this Standard is undertaken by the accreditation body and MAF Food during the assessment of the TPA and approved individuals. The frequency of assessment is defined by MAF, based on the assessment category to which the TPA and approved individuals are assigned, and their performance.

8.1 Criteria

The criterion for assessing compliance of TPAs with this Standard is:

- the TPA's performance complies with the requirements of the performance assessment category to which it has been assigned.

The criterion for assessing compliance of approved individuals with this Standard is:

- the approved individual's performance complies with the requirements of the performance assessment category to which it has been assigned.

8.2 Decision

The TPA or approved individual is non-compliant if the criterion for assessing compliance is not met.

8.3 Result

8.3.1 Compliant TPAs

The frequency of performance assessment of compliant TPAs will remain the same, or will reduce if the TPA meets the requirements of a reduced frequency category.

8.3.2 Non-compliant TPAs

The frequency of performance assessment of non-compliant TPAs will be increased. MAF may choose to directly monitor the TPA's performance.

Where the TPA consistently fails to meet requirements and/or adequately manage client non-compliances, the Director-General may:

- withdraw approval of the TPA to provide assessment and verification services to the New Zealand dairy industry, or
- suspend approval of the TPA until the issue has been resolved to the satisfaction of MAF Food.

MAF Compliance will not accept reports from withdrawn or suspended TPAs.

Where a TPA is suspected of committing an offence under the *Dairy Industry Act 1952* or the *Dairy Industry Regulations 1990*, MAF Enforcement Unit may investigate the TPA and prosecution may follow.

8.3.3 Compliant approved individuals

The frequency of performance assessment of compliant approved individuals will remain the same, or will reduce if the approved individual meets the requirements of a reduced frequency category.

8.3.4 Non-compliant approved individuals

The frequency of performance assessment of non-compliant approved individuals will be increased.

Where the approved individual consistently fails to meet requirements, the accreditation body will change or withdrawn that individual's signatory status.

If the signatory status of an approved individual is changed or withdrawn as a result of an assessment, the accreditation body advises MAF, who may:

- withdraw approval, or
- impose conditions on approval.

Where an individual has approval withdrawn or conditions imposed on their approval:

- the TPA must review the services previously provided by the individual, and
- MAF may choose to review any work previously performed by an individual.

9.0 VERSION CONTROL

Version	Date	Status	By
504.1	11 May 2000	Promulgated by Circular no. 57	Director, Dairy and Plant Products

This copy may not be the most recent version of this document. It was current at the date in the footer of each page of the document. It is recommended that anyone intending to use this document should contact the Dairy and Plant Products Group of MAF Food or check its website (www.maf.govt.nz/Dairy/) to confirm that this is the current version.

Appendix One

ACCEPTABLE CRITERIA

The following are criteria by which a TPA and its associated approved individuals may be judged to achieve satisfactorily the requirements of section 7 of this Standard. Those TPAs and approved individuals who have demonstrated that they meet each of the criteria will be assigned by MAF to a performance assessment category according to the following criteria.

Proposals for alternative criteria will be accepted by MAF, providing it can be demonstrated to MAF's satisfaction that the required outcomes will be achieved. A guide to the information required for these proposals and the procedures used by MAF to assess proposals can be obtained from MAF Food.

1.0 TPAs

1.1 Classification of TPAs

Based on their compliance with MAF Standards, MAF Food will assign TPAs to one of the following performance assessment categories:

- Reduced Assessment,
- Standard/Entry Assessment, or
- Increased Assessment.

1.1.1 Reduced Assessment category

To be assigned to, and remain in, the Reduced Assessment category, the TPA meets all the criteria for the Reduced Assessment category in Table A1.1. The TPA has demonstrated compliance with the criteria for at least two years.

1.1.2 Standard/Entry Assessment category

To be assigned to, and remain in, the Standard/Entry Assessment category, the TPA meets all of the criteria for the Standard/Entry Assessment category in Table A1.1. The TPA has demonstrated compliance with the criteria for at least one year.

1.1.3 Increased Assessment category

A TPA which:

- fails to meet ISO Standard 17020 and/or MAF requirements,
- has critical non-compliances in management of client non-compliances,
- has critical non-compliances in management of own non-compliances,
- has critical non-compliances in management of approved individuals, or
- provides inadequate or late reports to the accreditation body and/or MAF

will be assigned to the Increased Assessment category.

1.2 Entry classification

When a TPA applies for approval in accordance with MAF Standard D502, “Accreditation and Approval of Third Party Agencies,” MAF reviews the TPA’s compliance against the criteria in Table A1.1. Where a TPA demonstrates an appropriate level of compliance, they are assigned to the Standard/Entry Assessment category. If the TPA fails to demonstrate compliance to one or more areas, they are assigned to the Increased Assessment category.

MAF advises the manager of the TPA of the category to which it has been assigned and the frequency of assessments.

The manager of the TPA implements performance-based assessment frequency as instructed by MAF Food: Dairy & Plants.

1.3 Demonstration of compliance

The TPA demonstrates compliance at the level appropriate to the performance assessment category to which it has been assigned. Refer to Table A1.1 below for the criteria used to demonstrate compliance. Failure to meet any of the requirements will result in reclassification to a performance assessment category with higher levels of assessment (refer to section 3 below).

Table A1.1 *TPA criteria for the demonstration of compliance appropriate to the each performance assessment category*

Area	Reduced Assessment	Standard/Entry Assessment	Increased Assessment
Assessment by accreditation body	Compliance with ISO Standard 17020 and MAF requirements demonstrated for two years.	Compliance with ISO Standard 17020 and MAF requirements demonstrated.	Fails to demonstrate compliance with ISO Standard 17020 or MAF requirements.
Management of client non-compliances	For previous two years: <ul style="list-style-type: none"> • Reports all observed non-compliances to the client; • agrees corrective actions and date for resolution for all non-compliances (except critical situations); • confirms resolution; • takes the action necessary to obtain resolution; • reports all critical non-compliances and critical situations to MAF; • in all critical situations, fully briefs and hands over to MAF; and • ensures all nonconforming produce is managed in accordance with MAF Standard D108. 	<ul style="list-style-type: none"> • Reports all observed non-compliances to the client; • agrees corrective actions and date for resolution for all non-compliances (except critical situations); • confirms resolution; • takes the action necessary to obtain resolution; • reports all critical non-compliances and critical situations to MAF; • in all critical situations, fully briefs and hands over to MAF, and • ensures all nonconforming produce is managed in accordance with MAF Standard D108. 	Fails to demonstrate adequate management of client non-compliances.

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Table A1.1 continued

Area	Reduced Assessment	Standard/Entry Assessment	Increased Assessment
Management of own non-compliances	<ul style="list-style-type: none"> • Critical non-compliances identified; • full traceback completed to identify root causes; • corrective actions completed in a timely manner; • full analysis of the risk to the operation from this type of non-compliance completed; and • actions taken to eliminate the risk of potential non-compliances or monitoring systems implemented to identify potential non-compliance in the operation. 	Critical non-compliances identified and managed in accordance with MAF requirements.	<ul style="list-style-type: none"> a. Critical non-compliances not identified, or b. Critical non-compliances are identified and inadequately managed.
Management of approved individuals	For previous two years: <ul style="list-style-type: none"> • All approved individuals appropriately assessed in accordance with the performance assessment category to which they are assigned; • new individuals and non-compliant individuals effectively managed under TPA's internal system; and • no critical non-compliances in management of approved individuals. 	<ul style="list-style-type: none"> • All approved individuals appropriately assessed in accordance with the performance assessment category to which they are assigned; • new individuals and non-compliant individuals effectively managed under TPA's internal system; and • no critical non-compliances in management of approved individuals. 	One or more critical non-compliances in management of approved individuals.

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Table A1.1 continued

Area	Reduced Assessment	Standard/Entry Assessment	Increased Assessment
Reporting	Regular, exception and on-demand reports complete accurate and on time for at least two seasons	<ul style="list-style-type: none"> a. Regular, exception and on-demand reports complete accurate and on time for at least one season; or b. Regular reports occasionally incomplete or late and exception and on-demand reports are complete, accurate and on time. 	<ul style="list-style-type: none"> a. Regular, exception and on-demand reports contain incomplete information or factual errors or are persistently late; b. Exceptions are not reported; or c. On-demand reports are not provided

1.4 Assessment requirements

The manager of the TPA ensures that the assessments required for the performance assessment category to which they have been assigned, are undertaken as specified.

The assessment requirements of each performance assessment category are specified in Table A1.2 below.

Table A1.2 *TPA Assessment requirements for each performance assessment category*

Assessment	Performance assessment category		
	Reduced Assessment Category	Standard/Entry Assessment Category	Increased Frequency category
Assessment by the accreditation body	Full assessment of the TPA is required every two years; A surveillance assessment is required in the alternate year.	Full assessment of the TPA is required on an annual basis	Full assessment of the TPA is required at least every six months. Depending on performance and risk, MAF Food may increase the frequency of assessment at its own discretion or on the recommendation of the accreditation body. MAF Food may also directly monitor the TPA and charge for these activities.

2.0 APPROVED INDIVIDUALS

2.1 Classification of approved individuals

Based on their compliance with MAF Standards, MAF Food will assign approved individuals to one of the following performance assessment categories:

- Reduced Assessment,
- Standard/Entry Assessment, or
- Increased Assessment.

2.1.1 Reduced Assessment category

To be assigned to, and remain in, the Reduced Assessment category, the approved individual meets all the criteria for the Reduced Assessment category in Table A1.3. The approved individual has demonstrated compliance with the criteria for at least three seasons.

2.1.2 Standard/Entry Assessment category

To be assigned to, and remain in, the Standard/Entry Assessment category, the approved individual meets all of the criteria for the Standard/Entry Assessment category in Table A1.3. The approved individual has demonstrated compliance with the criteria for at least one season.

2.1.3 Increased Assessment category

An approved individual TPA who:

- fails to meet the performance requirements of MAF Standard D501, “Technical Competence of TPA Individuals” and the associated MAF Food “Checklist for Technical Competence of TPA Individuals”, or
- has less than one year’s assessing experience

will be assigned to the Increased Assessment category.

2.2 Entry classification

When an individual applies for approval in accordance with MAF Standard D501, “Technical Competence of Third Party Individuals,” MAF reviews the individual’s compliance against the criteria in Table A1.3. Where an individual demonstrates an appropriate level of compliance, they are assigned to the Standard/Entry Assessment category. If the individual fails to demonstrate compliance to one or more areas, they are assigned to the Increased Assessment category.

MAF advises the manager of the TPA of the category to which its associated approved individuals have been assigned, and the frequency of assessments. The manager of the TPA implements performance-based assessment as instructed by MAF.

2.3 Demonstration of compliance

The approved individual demonstrates compliance at the level appropriate to the performance assessment category to which they have been assigned. Refer to Table A1.3 below for the criteria used to demonstrate compliance. Failure to meet any one or more of the requirements will result in reclassification to a performance assessment category with higher levels of assessment (refer to section 3 below).

Table A1.3 *Approved individual's criteria for the demonstration of compliance appropriate to the each performance assessment category*

Area	Reduced Assessment	Standard/entry Assessment	Increased Assessment
Assessment by accreditation body and MAF	For the previous three years: <ul style="list-style-type: none"> • compliance with MAF Standard D501, "Technical Competency of TPA Individuals" demonstrated, and • no critical non-compliances in the performance of the approved individual 	For the previous year: <ul style="list-style-type: none"> • compliance with MAF Standard D501, "Technical Competency of TPA Individuals" demonstrated, and • no critical non-compliances in the performance of the approved individual 	One or more critical non-compliances in the performance of the approved individual in the past year.
Experience	At least 3 years' experience as an assessor/approved individual.	At least 1 year's experience as an assessor/approved individual.	Less than 1 year's experience as an assessor/approved individual.

2.4 Assessment requirements

The manager of the TPA ensures that the assessments required for the performance assessment category to which the approved individual has been assigned are undertaken as specified.

The assessment requirements of each performance assessment category are specified in Table A1.4 below.

Table A1.4 *Approved Individual's assessment requirements for each performance assessment category*

Assessment	Performance Assessment Category		
	Reduced Assessment Category	Standard/Entry Assessment Category	Increased Frequency Category
Assessment by the accreditation body	Full assessment of the approved individual is required every two years; a surveillance assessment is required in the alternate year.	Full assessment of the approved individual is required on an annual basis.	Full assessment of the approved individual is required at least every six months. Depending on performance and risk, MAF Food may increase the frequency of assessment at its own discretion or on the recommendation of the accreditation body. MAF Food may also directly monitor the approved individual and charge for these activities.

3.0 RECLASSIFICATION

3.1 Initiation of a review

MAF initiates a review of the category to which a TPA or approved individual is assigned on receipt of any of the following communications.

3.1.1 Accreditation body recommendation for reclassification to a category with decreased levels of assessment

When, as a result of assessments, the accreditation body is satisfied that the TPA/approved individual demonstrates compliance with all the criteria in Table A1.1/Table A1.3 for the recommended reclassification category, it submits a recommendation to MAF for reclassification. Accreditation body recommendations for reclassification are made using the relevant form provided in Annex A/Annex B, with evidence to support the recommendation.

3.1.2 Accreditation body recommendation for reclassification to a category with increased levels of assessment

The accreditation body submits a recommendation to MAF to reclassify the TPA/approved individual when one of the following occurs:

- as a result of an assessment, the accreditation body identifies that the TPA/approved individual fails to comply with one or more of the criteria in Annex A/Annex B for the category to which they are assigned;
- the accreditation body can provide evidence that the TPA has demanded, requested, suggested, or pressured the accreditation body to censor or falsify an evaluation or verification report; or
- the accreditation body can provide evidence that the TPA/approved individual has falsified a client's evaluation or verification report.

Accreditation body recommendations for reclassification are made using the relevant form provided in Annex A / Annex B, with evidence to support the recommendation.

3.1.3 Notification of significant changes

A report of the occurrence of any of the following significant changes is received from the TPA or the accreditation body:

- significant changes to the management structure,
- significant changes to the volume and type of assessment work undertaken,
- significant changes to operational procedures,
- significant changes to staff involved in assessment activities (e.g. loss of key staff), or
- change of ownership.

3.1.4 Report of a critical non-compliance

A report of a critical non-compliance within the TPA, provided in accordance with the reporting requirements specified in MAF Standard D503, "Third Party Agencies' Responsibilities."

A report of a critical non-compliance by an approved individual, provided in accordance with the reporting requirements specified in MAF Standard D503, "Third Party Agencies' Responsibilities."

3.1.5 Request for review by the TPA

A request by a TPA for MAF to review the category to which it is assigned. A TPA may request a review by notifying MAF in writing, setting out reasons for seeking the review. A copy of the request is sent by the TPA to the TPA's accreditation body.

3.1.6 Request for review by the TPA on behalf of an approved individual

A request by a TPA for MAF to review the category to which an associated approved individual is assigned. A TPA may request a review by notifying MAF in writing, setting out reasons for seeking the review. A copy of the request is sent by the TPA to the TPA's accreditation body.

3.1.7 Request for review by another party

A request by any party for MAF to review the category to which a TPA or approved individual has been assigned. Any party may request a review by notifying MAF in writing, setting out reasons for seeking the review. Copies of the request are sent by the party to the TPA and the TPA's accreditation body.

3.2 Review

MAF will review the category to which a TPA or approved individual is assigned and, where appropriate, reassign a new category.

For TPAs, this review will consider the criteria in Table A1.1 and all the available information, including any case that has been provided in writing. MAF may, for the purposes of the review, undertake or commission an independent assessment of the TPA's quality system. This assessment may be at the TPA's expense where the TPA has requested the review.

For approved individuals, this review will consider the criteria in Table A1.3 and all the available information, including any case that has been provided in writing.

3.3 Outcome

MAF will advise the manager of the TPA of either:

- the category to which the TPA and associated approved individuals have been assigned, the frequency of assessments and the date of effect; or
- confirmation of the existing category, if there is no change of classification.

The manager of the TPA implements performance-based assessments at the frequencies instructed by MAF. This includes advising and making the necessary contractual arrangements with the accreditation body.

Annex A

RECOMMENDATION FOR RECLASSIFICATION OF A THIRD PARTY AGENCY (TPA)

Name of TPA:

MAF recognition number:

Name of contact person:

Street address:

Postal address:

Telephone number:

Fax number:

Current category: *please circle*

Reduced
Assessment

Standard/Entry
Assessment

Increased
Assessment

Date assigned to current category:

Recommended category: *please circle*

Reduced
Assessment

Standard/Entry
Assessment

Increased
Assessment

Recommended dated for reclassification:

Reclassification recommended by: _____
Name of accreditation body

Name of assessor

Reclassification supported by: _____
Signature of National Assessor, MAF Compliance

Tick appropriate boxes in the table below:

Area	Reduced Assessment	Standard/Entry Assessment	Increased Assessment
Assessment by accreditation body	Compliance with ISO Standard 17020 and MAF requirements demonstrated for two years.	Compliance with ISO Standard 17020 and MAF requirements demonstrated.	Fails to demonstrate compliance with ISO Standard 17020 or MAF requirements.
Management of client non-compliances	For previous two years: <ul style="list-style-type: none"> • Reports all observed non-compliances to the client; • agrees corrective actions and date for resolution for all non-compliances (except critical situations); • confirms resolution; • takes the action necessary to obtain resolution; • reports all critical non-compliances and critical situations to MAF; • in all critical situations, fully briefs and hands over to MAF; and • ensures all nonconforming produce is managed in accordance with MAF Standard D108. 	<ul style="list-style-type: none"> • Reports all observed non-compliances to the client; • agrees corrective actions and date for resolution for all non-compliances (except critical situations); • confirms resolution; • takes the action necessary to obtain resolution; • reports all critical non-compliances and critical situations to MAF; • in all critical situations, fully briefs and hands over to MAF, and • ensures all nonconforming produce is managed in accordance with MAF Standard D108. 	Fails to demonstrate adequate management of client non-compliances.

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Table continued

Area	Reduced Assessment	Standard/Entry Assessment	Increased Assessment
Management of own non-compliances	<ul style="list-style-type: none"> • Critical non-compliances identified; • full traceback completed to identify root causes; • corrective actions completed in a timely manner; • full analysis of the risk to the operation from this type of non-compliance completed; and • actions taken to eliminate the risk of potential non-compliances or monitoring systems implemented to identify potential non-compliance in the operation. 	Critical non-compliances identified and managed in accordance with MAF requirements.	<ul style="list-style-type: none"> a. Critical non-compliances not identified, or b. Critical non-compliances are identified and inadequately managed.
Management of approved individuals	For previous two years: <ul style="list-style-type: none"> • All approved individuals appropriately assessed in accordance with the performance assessment category to which they are assigned; • new individuals and non-compliant individuals effectively managed under TPA's internal system; and • no critical non-compliances in management of approved individuals. 	<ul style="list-style-type: none"> • All approved individuals appropriately assessed in accordance with the performance assessment category to which they are assigned; • new individuals and non-compliant individuals effectively managed under TPA's internal system; and • no critical non-compliances in management of approved individuals. 	One or more critical non-compliances in management of approved individuals.

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Table continued

Area	Reduced Assessment	Standard/Entry Assessment	Increased Assessment
Reporting	Regular, exception and on-demand reports complete accurate and on time for at least two seasons	<ul style="list-style-type: none"> a. Regular, exception and on-demand reports complete accurate and on time for at least one season; or b. Regular reports occasionally incomplete or late and exception and on-demand reports are complete, accurate and on time. 	<ul style="list-style-type: none"> a. Regular, exception and on-demand reports contain incomplete information or factual errors or are persistently late; b. Exceptions are not reported; or c. On-demand reports are not provided

Annex B

RECOMMENDATION FOR RECLASSIFICATION OF AN APPROVED INDIVIDUAL

Name of approved individual:

MAF recognition number:

Name of TPA supporting application:

Contact person at TPA:

Street address:

Postal address:

Telephone number:

Fax number:

Current category: *please circle*

Reduced
Assessment

Standard/Entry
Assessment

Increased
Assessment

Date assigned to current category:

Recommended category: (Please circle recommended category)

Reduced
Assessment

Standard/Entry
Assessment

Increased
Assessment

Recommended dated for reclassification:

Reclassification recommended by: _____
Name of accreditation body

Name of assessor

Reclassification supported by: _____
Signature of National Assessor, MAF Compliance

Tick appropriate boxes in the table below:

Area	Reduced Assessment	Standard/entry Assessment	Increased Assessment
Assessment by accreditation body and MAF	For the previous three years: <ul style="list-style-type: none"> • compliance with MAF Standard D501, “Technical Competency of TPA Individuals” demonstrated, and • no critical non-compliances in the performance of the approved individual 	For the previous year: <ul style="list-style-type: none"> • compliance with MAF Standard D501, “Technical Competency of TPA Individuals” demonstrated, and • no critical non-compliances in the performance of the approved individual 	One or more critical non-compliances in the performance of the approved individual in the past year.
Experience	At least 3 years’ experience as an assessor/approved individual.	At least 1 year’s experience as an assessor/approved individual.	Less than 1 year’s experience as an assessor/approved individual.