

3-A Sanitary Standards, Inc.

Criteria for Certified Conformance Evaluators

for

Performance of Third Party Verification Inspections for



3-A Symbol Authorization



3-A Process Certification

and



P3-A Symbol Authorization

March 2008

FOREWORD

The administration of the 3-A Symbol program and the general oversight of documents generally known for many decades as '3-A' Sanitary Standards and 3-A Accepted Practices has undergone significant changes in recent years.

Since the introduction of the 3-A Symbol in 1956, the use of the 3-A Symbol was based on a system of self-certification by the applicant. The 3-A Symbol Administrative Council, Inc. was responsible for the general administration of the 3-A Symbol licensing program. The development and maintenance of all '3-A' consensus documents was accomplished through collaboration of organizations representing the three primary interest groups – dairy equipment manufacturers, dairy equipment users and state and federal regulatory sanitarians.

During the late 1990s, the key stakeholders evaluated the need for a new structure to support the entire range of these activities. The interest groups included the Food Processing Suppliers Association (FPSA), the International Association for Food Protection (IAFP), the International Dairy Foods Association (IDFA), the American Dairy Products Institute (ADPI), and the 3-A Symbol Administrative Council. Representatives of the U.S. Department of Agriculture and the U.S. Food and Drug Administration also participated in the discussions of a new organizational structure between 1999 and 2002.

3-A Sanitary Standards, Inc. (3-A SSI) officially began operations in January 2003. Representatives of the three interest groups became vested in the leadership of a new, independent nonprofit organization with a full time professional staff. 3-A SSI is responsible for administration of the 3-A Symbol program, coordination of all consensus documents, education on sanitary design, and other activities.

With the creation of 3-A SSI, a new Third Party Verification (TPV) inspection requirement was implemented as a condition for holding authorization to use the 3-A Symbol. The TPV requirement applies to all equipment built to 3-A Sanitary Standards that is licensed to display the 3-A Symbol. A licensee must engage an inspection professional accredited by 3-A SSI, a Certified Conformance Evaluator (CCE), to conduct an on-site evaluation of finished equipment and other product attributes to affirm the equipment conforms to provisions of the applicable 3-A Sanitary Standard. Any deficiencies discovered in an inspection must be corrected before the equipment can be authorized to display the 3-A Symbol. Equipment manufacturers that do not comply with the TPV inspection requirement will lose their right to display the 3-A Symbol on their products.

Beginning in 2003, designated groups of equipment became subject to the new inspection requirement each calendar year, based on the number of the specific 3-A Sanitary Standard. As of the end of 2006, the integration was virtually completed. The requirement for a TPV inspection now applies to all types of equipment built to a 3-A Sanitary Standard.

In 2006, 3-A SSI approved a new voluntary 3-A Process Certification for some 3-A Accepted Practices. The 3-A Process Certification is available to owners of systems who desire to show proof of an independent inspection of a processing system.

In 2008, 3-A SSI obtained approval of new Pharmaceutical (P3-A) Standards intended for the equipment used in the production of active pharmaceutical ingredients (APIs). The P3-A Standards provide hygienic criteria applicable to equipment and systems used to produce, process, and package APIs. 3-A SSI also registered a new P3-A symbol mark. The mark is made available for use on a voluntary basis by fabricators for equipment that conforms to a P3-A Standard and the associated conditions of licensing by 3-A SSI. The TPV requirement is a condition for holding authorization to use the P3-A Symbol.

The CCE program is an accreditation program administered by 3-A SSI. The CCE credential is a primary requirement for the performance of the TPV inspection of the hygienic design of equipment used for dairy and food processing and for APIs. The CCE credential is also a necessary requirement for conducting

inspections for 3-A Process Certification. The CCE program is designed to enhance the integrity of the 3-A SSI programs by providing the industry with a register of professionals who have the appropriate qualifications, work experience and the demonstrated knowledge for evaluating and verifying equipment fabricated in accordance to 3-A Sanitary Standards or processing systems manufactured and installed in accordance to 3-A Accepted Practices. The independent inspection programs of 3-A SSI provide assurance of hygienic equipment design and thereby benefits regulatory sanitarians, equipment fabricators, processors, and consumers.

3-A SSI has established a TPV Coordinating Committee to review and recommend changes in the CCE program. This edition of the 'Criteria for Certified Conformance Evaluators' has been reviewed by the TPV Coordinating Committee to ensure it is consistent with the mutual objectives of all of the stakeholders in 3-A SSI and the shared goal of hygienic equipment design.

Suggestions for improvements to this document and the CCE program should be submitted in writing to:

Executive Director
3-A Sanitary Standards, Inc.
6888 Elm Street
Suite 2D
McLean, Virginia 22101-3829
Email: 3-ainfo@3-a.org

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INTRODUCTION

CCE PROGRAM REQUIREMENTS AND LIMITATIONS

Certified Conformance Evaluator (CCE) status is achieved by satisfying a combination of defined education, experience, and examination requirements. Certification is not an assurance of competence or ability. 3-A SSI disclaims liability for any injury to persons or to property, or other damages of any nature whatsoever, including special, indirect, consequential, compensatory, and punitive damages, directly or indirectly resulting from negligent conduct or other acts or omissions of any individual certified as a CCE.

By issuing the 3-A Symbol, P3-A Symbol, or 3-A Process Certification (3-A PC), and by providing for certification of individuals as CCEs, 3-A SSI is not undertaking to render professional or other services for, or on behalf of, any person or entity. 3-A SSI does not undertake to perform any duty owed by any person or entity to someone else.

3-A Sanitary Standards, 3-A Accepted Practices, and P3-A Standards are developed through a consensus development process that brings together individuals representing varied viewpoints and interests to achieve consensus. While 3-A SSI administers the process and establishes rules to promote fairness in the development of consensus, it does not independently test, evaluate, or verify the accuracy of any information or the soundness of any judgments contained in the 3-A Sanitary Standards, P3-A Standards, or 3-A Accepted Practices.

The authorized appearance of a 3-A Symbol on equipment covered by a 3-A Sanitary Standard or a 3-A PC of a process covered by a 3-A Accepted Practice indicates verification by a third party that the equipment or process conforms to the applicable 3-A Sanitary Standard or 3-A Accepted Practice. The authorized appearance of a P3-A Symbol on equipment covered by a P3-A Standard indicates verification by a third party that the equipment conforms to the applicable P3-A Standards. Appearance of the 3-A Symbol, P3-A Symbol, or 3-A PC does not represent an endorsement of the equipment or process by 3-A SSI as to its quality, sanitation, or safety. 3-A SSI disclaims all warranties, expressed or implied, with respect to such equipment or process, including warranties of marketability and fitness for use. 3-A SSI also disclaims any and all liability for injury to persons or property, or other damages of any nature, including special, indirect, consequential, compensatory, and punitive damages, directly or indirectly resulting from the performance operation, or the failure to operate, of any equipment or process.

A CRITERIA FOR CERTIFIED CONFORMANCE EVALUATORS

A1 Basic Qualifications for Education and Experience

The following educational, training, work and experience requirements shall apply to all Applicants unless otherwise specified by 3-A SSI.

- A1.1 A minimum of a Bachelor of Science degree in engineering, physical or biological science curriculum plus three (3) years experience in relevant food or pharmaceutical processing. One (1) year of the three (3) years of general experience shall be directly related to 3-A covered equipment design or sanitary processing, or
- A1.2 Completion of at least a secondary education plus five (5) years experience in relevant food or pharmaceutical processing. Three (3) years of the five (5) years of general experience shall be directly related to 3-A covered equipment design or sanitary processing.
- A1.2.1 Examples of appropriate practical workplace experience may include the dairy industry, food industry, pharmaceutical industry, or similar sanitary (hygienic) process industry; equipment and process design, review, installation, and Food Safety/HACCP development. This list of examples is not all-inclusive.

A2 Required Knowledge, Skills, and Abilities

In addition to the basic qualifications, all CCE candidates shall provide evidence demonstrating all of the following knowledge, skills and abilities:

- A2.1 The ability to review and evaluate complex processes and operations from a broad perspective, including assessment techniques of examining, questioning, evaluating, and reporting, and to understand the role of individual units within a process and organization in order to prepare a final evaluation report.
- A2.2 Knowledge relative to the types of processes to which 3-A Sanitary Standards, 3-A Accepted Practices or P3-A Standards covered equipment will be applied.
- A2.3 The ability to read and to understand engineering drawings and documentation customarily used in machine shops engaged in manufacturing equipment and instrumentation for the food processing industries.
- A2.4 Knowledge of machine shop quality control testing techniques and sample plans, quality documentation, sanitary weld inspection and quality assurance, and the ability to use the necessary inspection instruments.
- A2.5 Basic knowledge and understanding of materials science and the regulations used in fabricating food or pharmaceutical processing equipment.
- A2.6 Knowledge of primary principles and general provisions of 3-A Sanitary Standards, 3-A Accepted Practices, and P3-A Standards.
- A2.7 The ability to exercise good judgment, analytical skills, and thoroughness, free from bias, to arrive at appropriate and reasonable evaluation conclusions.
- A2.8 The ability to operate independently without supervision or guidance, particularly during the performance of the evaluation.
- A2.9 The ability to organize evaluation steps, and the time available and human resources to conduct and complete a TPV evaluation.

- A2.10 The ability to clearly communicate orally with management, staff, and fellow CCEs utilizing terminology familiar to the parties involved to obtain information relevant to the evaluation.
- A2.11 The ability to communicate effectively in writing that is legible, clear in meaning, factually correct and concise. Spelling and grammar are important and necessary components of acceptable written communication abilities.
- A2.12 The ability to communicate orally and in writing in English.

A3 CCE Candidate Application Process

- A3.1 Application forms are available from the 3-A SSI at: www.3-a.org. CCE candidates shall provide the following:
 1. A completed application form (Appendix 2),
 2. Two (2) letters of reference from previous employers or other individuals with knowledge of the candidate's work experience and integrity,
 3. A copy of their secondary education or college diploma or transcript, and
 4. A signed Code of Ethics Certification form.
- A3.2 3-A SSI assesses the competencies of Applicants for CCE certification by evaluating education, training, and work experience against the requirements specified in these criteria.
- A3.3 Applicants should ensure that their application includes evidence of all competencies detailed in the criteria, evidence of required training and other relevant educational qualifications and that all other information requested has been provided.
- A3.4 Only completed, typed applications will be accepted and shall be in the format provided as an MS Word or PDF file delivered via email. Supporting documents, such as certificates, should be scanned and saved in PDF format and sent with the application. Signature pages, including the signed Code of Ethics Certification, can be either scanned and sent via email or faxed to 3-A SSI. The application fee (non-refundable) must accompany the application.
- A3.5 Applications will not be processed unless all information required is provided.

A4 Submission of Applications

- A4.1 The CCE candidate shall submit all information required to:

3-A Sanitary Standards, Inc.
6888 Elm Street
Suite 2D
McLean, VA 22101-3829
USA

A5 Evaluation of Applications

- A5.1 In evaluating CCE candidates, 3-A SSI may make use of:
 1. Examinations;
 2. Candidates submitted application package;
 3. Review of educational background and professional affiliations;
 4. Interviews with candidates; and
 5. Program orientation.
- A5.2 On receipt of an application, 3-A SSI shall review all information for accuracy, including documentary evidence of training and formal qualifications, and verifies on a sample basis the experience claimed by the Applicant to establish the validity of such claims.

A5.3 3-A SSI may request additional supporting information from the Applicant or from other industry representatives as required. If 3-A SSI is unable to obtain satisfactory verification of information and experience from competent referees, an interview may be required. Interviews may be in person or by telephone with consideration being given to convenience of all parties; however, any costs to attend an interview will be at the Applicant's expense.

A6 CCE Certification

A6.1 Initial CCE Certification

A CCE Applicant will be granted certification by 3-A SSI upon passage of the CCE examination and the completion of TPV Program orientation. Special TPV Program orientation requirements will apply to CCEs who desire to seek qualification to perform P3-A equipment evaluations. Any costs to sit for the examination and the orientation will be at the Applicant's expense.

A6.2 Renewal of CCE Certification

Renewal of all CCE certifications is required every year from the anniversary date of the initial certification. Requirements for renewal include the submission of the following, with other items as deemed necessary by 3-A SSI, along with an annual application fee.

1. Evidence of professional development; and
2. Renewal of the Code of Ethics Certification.

A6.2.1 The evidence of professional development shall include a Professional Development Record as described in A6.3, Maintenance of CCE Competency.

A6.2.2 In addition to other information required upon renewal, the candidate must declare whether they have been the subject of any Code of Ethics violations, customer complaints, or an ongoing or completed Report of Alleged Non-conformance (RAN) investigation. 3-A SSI shall annually review records for 3-A SSI activities and acceptable CCE evaluations conducted under the ongoing CCE evaluation program.

A6.2.3 3-A SSI will charge a nominal annual CCE accreditation maintenance fee to help 3-A SSI offset direct program expenses. Notice of the annual maintenance fee will be sent with the notice of renewal. The CCE is responsible for submitting payment of the maintenance fee and all renewal materials to 3-A SSI in the assigned time.

A6.3 Maintenance of CCE Competency

Each CCE shall maintain his/her competence by:

1. Ensuring that their knowledge of sanitary (hygienic) equipment design and processing standards remain current.
2. Ensuring that their knowledge of auditing procedures and methods remains current.
3. Mandatory attendance, except for official excused absence based on just cause, at the annual meeting of the 3-A Sanitary Standards Working Groups or the P3-A Standards Working Groups. Only one (1) official excused absence per each CCE annual renewal period is acceptable. In the case of an organization with multiple CCEs, at least one (1) authorized individual shall attend the meetings so that current 3-A Sanitary Standards modifications can be communicated to the rest of the CCEs within the organization.
4. Having a favorable evaluation from the annual 3-A SSI CCE Evaluation Program.
5. It is the CCE's responsibility to take appropriate action to maintain certification. 3-A SSI shall provide notice of renewal ninety (90) days prior to their anniversary date.

A6.3.1 3-A SSI will evaluate CCEs annually to determine a CCE's ongoing commitment to professional development relevant to sanitary equipment design and to their personal needs for the maintenance and improvement of skills and knowledge. They are also required to attend at least one 3-A SSI seminar of at least four (4) hours duration. Continuing

professional development shall be disclosed by the CCE on their Professional Development Record submitted to 3-A SSI. The following are examples of professional development, which may be included:

1. Formal short course participation;
2. Course/workshop participation;
3. Conference/seminar attendance;
4. Professional body/association meeting attendance;
5. Relevant committee participation and/or working group meeting attendance;
6. Preparation and public presentation of scientific papers;
7. Preparation and publication of scientific articles;
8. Preparation and delivery of new training materials and/or course(s);
9. Research and design of training course material; and
10. Other items as determined applicable by 3-A SSI.

A6.4 Withdrawal of CCE Certification

A6.4.1 3-A SSI reserves the right to withdraw the certification from any Applicant or candidate for any of the following causes:

1. Failure to meet the requirements specified for maintaining certification.
2. Failure to render satisfactory inspection services. The receipt of a substantiated RAN by 3-A SSI (as described in provisions of the 3-A SSI Manual for Third Party Verification (TPV) for 3-A Symbol Authorization and 3-A Process Certification) for equipment reviewed by the CCE constitutes evidence of unsatisfactory inspection services.
3. Complaints against a CCE's conduct. Complaints will be acknowledged and investigated by 3-A SSI and, if necessary, forwarded to members of the 3-A SSI TPV Coordinating Committee for consideration and a ruling. Substantiated evidence of misconduct may result in withdrawal of the certification.
4. The basic qualification, knowledge, skills, or ability criteria are not being met or maintained. The candidate shall be provided with a notice citing the specific criteria not being met or maintained and the reason(s) for failure to comply.
5. Failure to sign the certificate of the Code of Ethics or substantiated violations of the Code of Ethics.
6. Voluntary withdrawal of the application or certification by the candidate or the CCE.
7. Non-renewal of certification.
8. Failure to attend the annual meeting of 3-A SSI that includes meetings of the Working Groups responsible for various 3-A Sanitary Standards and 3-A Accepted Practices. Only one (1) officially excused absence per each CCE renewal period will be acceptable.
9. Dereliction of duty.
10. Failure to submit assessed fee(s).
11. Failure to properly perform CCE responsibilities as documented in a completed RAN investigation. (See TPV Manual for more details.)
12. Failure to receive a favorable annual evaluation from the ongoing 3-A SSI CCE Evaluation Program.

A6.5 Appeal or Withdrawal of CCE Certification

- A6.5.1 Written appeals challenging the withdrawal of certification will be investigated by the 3-A SSI TPV Coordinating Committee. Any decision rendered by this body may be appealed to the 3-A SSI Board of Directors (BOD).
- A6.5.2 Upon completion of the TPV Report Dispute Resolution Process, if a RAN is upheld, 3-A SSI will be required to evaluate whether the RAN was the result of the CCE's failure to perform their responsibilities under the TPV program properly. If the evaluation results in evidence supporting a CCE's performance problem(s), 3-A SSI shall use the procedures found below and in Sections B7.5 and E4 of the TPV Manual:
1. Conduct an evaluation of recent TPV reports submitted by the CCE to evaluate whether the CCE performance issue(s) was limited to the RAN or more extensive.
 2. Identify specific CCE performance deficiencies and:
 - a. Establish a retraining program to address specific CCE performance deficiencies, or
 - b. Notify the CCE that their certification has been suspended for cause either for a specified time period or permanently revoked for cause.
- A6.5.3 If suspended or revoked for cause, the CCE has the right to appeal such action to the TPV Coordinating Committee, as noted in A6.5.1.
- A6.5.4 The CCE or candidate shall be entitled to due process to appeal a revocation or denial of his/her certification. The principles of fairness and being considered innocent until proven guilty are to be followed in all proceedings. The appeal procedures shall be:
1. The appellant shall be provided with a written notice of all the issues, violations and charges.
 2. The appellant shall have the opportunity to answer the charges within thirty (30) days of the written notification.
 3. The appellant shall be provided with a written notice of the determination of the appeal within a period of ten (10) business days following 3-A SSI's receipt of the appellant's response.
 4. The appellant may request a hearing before the 3-A TPV Coordinating Committee to present evidence, to question witnesses who are present at the hearing, and the right to "counsel" (not required to be an attorney).
 5. The date of the hearing shall not be less than one (1) month nor more than three (3) months following the date of the written request.
 6. The appellant may request pre-hearing discovery when requested in writing and listing the disclosure items.
 7. The location of the appeal hearing is at the discretion of 3-A SSI, but must be in the contiguous United States.
 8. The appellant shall be provided with written notification of the TPV Coordinating Committee's ruling including any sanctions within four (4) weeks of the date of the appeals hearing.

A7 CCE Certification Documentation and Listing

- A7.1 3-A SSI shall issue each accepted CCE an official certificate documenting the certification of the CCE (Appendix 2). The endorsement for P3-A Symbol authorization shown on the certificate will be displayed only if the CCE has met the P3-A inspection qualification requirements.
- A7.2 The CCE may perform any TPV for which they assert competency, based on education, experience, and the declaration of product knowledge contained in the Code of Ethics.
- A7.3 3-A SSI shall maintain a current listing of all CCEs on their web site.

B1 ADMINISTRATION

B1 CCE Certification File Retention

- B1.1.1 Successful candidates' files are to be retained for the length of the certification period. The file shall contain the initial application materials, yearly records required for maintaining the certification and re-application materials.
- B1.1.2 If the candidate is unsuccessful in the certification process, files are retained for one (1) year.
- B1.1.3 For candidates who apply but never complete the process, the incomplete files are retained for six (6) months. After six (6) months, the candidate must begin the entire process again with a new application and application fee.
- B1.1.4 The examination file shall be retained for as long as the CCE is certified or until it is replaced by a subsequent exam.
- B1.1.5 If a candidate was initially approved but has not renewed their certification at five (5) years or has not met the minimum requirements, the certification will be considered technically expired. A three (3) month grace period will be allowed for reinstatement without penalty. Beyond that, the procedures and fees for a new certification shall apply.
- B1.1.6 When a certified person is deceased or withdraws their certification voluntarily, files may be immediately disposed of, except for the letter of withdrawal.
- B1.1.7 The documentation for all of the above may be stored as hard copy or electronically. It is, however, highly encouraged to store records electronically for easy retrieval and editing. To facilitate this, all application materials, forms, etc. should be available for electronic distribution and completion. If signatures are required on original applications and on Code of Ethics Certification statements, hard copies will be required.
- B1.1.8 It should be clearly established that the relationship between 3-A SSI and those who take the required examinations (written or oral) is contractual. The terms of that contract are exclusively the 3-A SSI right to cancel test scores in the event of suspected cheating or loss of exam confidentiality.

B2 3-A Symbol Authorization, P3-A Symbol Authorization, and 3-A Process Certification Files

- B2.1 3-A SSI shall maintain sufficient files and databases for the accurate administration of the TPV program and timely retrieval of information.

B3 Announcements and Listings

- B3.1 Certified CCEs shall be listed on the 3-A SSI web site as they become certified.
- B3.2 The 3-A Authorized Symbol Holders List, P3-A Symbol Holders List, and 3-A PC Holders List shall be maintained on the 3-A SSI web site and updated periodically. The electronic list(s) shall be organized according to increasing 3-A Sanitary Standard or 3-A Accepted Practice number. The list(s) shall contain the company's name, address, phone, fax, e-mail information, certificate number and date of issuance.

B4 Ownership of Certified Conformance Evaluator Certificates

- B4.1 3-A SSI shall retain exclusive control of all CCE certificates issued. 3-A SSI shall retain all rights to determine which activities and displays shall be authorized for use of the CCE

certificate, or the initials "CCE," or any other representations of the intent or purpose of the certificate, title or initials.

B5 TPV Report Review and CCE Monitoring Procedures

B5.1 Every TPV report received by 3-A SSI shall be reviewed for completeness, professional preparation, grammar, spelling, and adherence to the report format guidelines. Any discrepancies noted in the review shall be reported to the CCE and the CCE shall have the opportunity to respond. The report and response shall be placed in a CCE performance file. Reviews without discrepancies shall also be recorded in their CCE performance file.

B5.2 Once each year, 3-A SSI shall conduct an evaluation of each CCE and provide a report identifying whether each CCE has met the established criteria in the 3-A SSI CCE Evaluation Program.

B5.3 CCE performance files are restricted to use by 3-A SSI and the CCE.

APPENDIX 1 GLOSSARY OF TERMS

The following terms and definitions are commonly used in reference to the evaluation and certification industries. Not all of the terms appear in this document. They are presented here to provide a common understanding of terms that may be used in association with the work conducted under the 3-A SSI program. Additional definitions can be found in the TPV Manual.

- C1 **Administrative Officer (AO):** The person(s) that is responsible for accomplishing the functions of 3-A Symbol Authorization, renewals, non-conformance, record keeping and any other described in the TPV Manual.
- C2 **Certification System:** The organizational and procedural process or the institutional mechanism for accomplishing product certification.
- C3 **Certification:** The act of issuing a warranty, certificate, or mark or other appropriate evidence that attests that a product or service conforms to specific Standards or specifications. Quality assurance programs are used to assure that the product(s) continue to comply with the specified requirements. Satisfactory tests, inspections, and quality assurance are the basis for certification. Evidence of certification may be by labeling of the product.
- C4 **Certified Conformance Evaluator (CCE):** Person(s) meeting the requirements specified by 3-A SSI for conducting inspections to determine conformance to a 3-A Sanitary Standard or 3-A Accepted Practice.
- C5 **Conformance:** The state of having satisfied the requirements of some specific standard(s) and/or specification(s). "Conformance" is a determination of meeting provisions of voluntary standards and specifications, whereas "compliance" is used with respect to mandatory standards and regulations.
- C6 **Engineering Design, Technical Construction File (EDTCF):** This file consists of the recorded information necessary to demonstrate that equipment is in conformance to applicable 3-A Sanitary Standards. The information is collected from multiple sources and is the primary source for verification details. For more information on the EDTCF, refer to the 3-A Sanitary Standards, Inc. Manual for Third Party Verification for 3-A Symbol Authorization and 3-A Process Certification.
- C7 **Food and Drug Administration (FDA):** The U.S. federal agency responsible for protecting domestic and imported food, drugs, devices and he cosmetics supply from adulteration or misbranding.
- C8 **Inspection:** The process of measuring, examining, testing, gauging or otherwise comparing the unit with the applicable requirements.
- C9 **International Standard:** A Standard that is adopted by an international Standardizing/Standards organization and made available to the public.
- C10 **Interpretations Committee (IC):** The 3-A SSI committee is the arbitrator regarding 3-A Sanitary Standards interpretations issues associated with disputed actions in 3-A Symbol Authorizations and RANs.
- C11 **Mark of Conformity:** The sign or symbol owned or controlled by the certification body that is used exclusively by the third party certification program to identify products or services as being certified and is registered as a certification mark with the U.S. Patent Office under the Trade Mark Act of 1946.

- C12 **Qualified Product:** A product that has been inspected, evaluated, tested, or otherwise determined to be in conformance to applicable or specified provisions of reference standards, codes, or other requirements and approved for listing in a qualified products list.
- C13 **Qualified Products List (QPL):** A list of products which have met the qualification requirements stated in the applicable specification, including appropriate product identification and test or qualification reference with the name and plant address of the manufacturer or distributor, as applicable. QPL is the accepted abbreviation for the term Qualified Products List. This definition as used here applies to the 3-A Symbol Holders List.
- C14 **Quality Assurance:** A planned system of activities whose purpose is to provide assurance that the overall quality control program is in fact being effectively implemented (refer to "Quality Control"). This system involves a continuing evaluation of the adequacy and effectiveness of the overall quality control program with a view to having corrective action initiated where necessary. For a specific material, product, service, etc., this involves verification, audits, and evaluations of the quality factors that affect the specification, production, inspection, and use of the material product, service, system, or environment.
- C15 **Quality Control:** A planned system of activities whose purpose is to provide a level of quality that meets the needs of users; also, the use of such a system. The objective of quality control is to provide an overall system integrating the quality factors of several steps, including: the proper specification for what is wanted; production to meet the full intent of the specification; inspection to determine whether the resulting material, product, service, etc., is in accord with the specification; and review of usage to determine necessary revisions of the specification.
- C16 **Recognition Arrangement:** A written agreement or document between the 3-A SSI and the CCE to accept data for the determination of product conformance to 3-A Sanitary Standards.
- C17 **Report of Alleged Non-conformance (RAN):** This is a provision for reporting perceived nonconformance items. Refer to the 3-A Sanitary Standards, Inc. Manual for Third Party Verification for 3-A Symbol Authorization and 3-A Process Certification Section.
- C18 **Self-Certification:** A form of certification by a producer, on its own authority and not under the procedures of a third party certification program, that a product or service is in conformance to the designated Standards or specifications.
- C19 **Standard:** A prescribed set of rules, conditions, or requirements concerned with the definition of terms; classification of components; delineation of procedures; specification of dimensions, materials, performance, design, or operations; measurement of quality and quantity in describing materials, products, systems, services, or practices; or descriptions of fit and measurement of size.
- C20 **Third Party Verification (TPV):** A form of certification in which the producer's claim of conformity is verified (reviewed and verified) as part of the certification program, by a technically and otherwise competent body or person other than one controlled by the producer or the buyer.
- C21 **United States Department of Agriculture (USDA):** The federal department responsible for ensuring a safe, affordable, nutritious, and accessible U. S. food supply through inspection and regulation of meat, poultry and egg products, and providing grading and standardization programs for selected agricultural commodities.
- C22 **Verification:** The process of determining whether an implementation is in conformance to some specific Standard(s) and/or specification(s).

APPENDIX 2
CCE APPLICATION AND CERTIFICATION



Identification Number: _____

3-A SANITARY STANDARDS, INC.
APPLICATION FORM FOR CERTIFIED CONFORMANCE EVALUATOR

General Information:

Name (Last, First, Middle): _____

Address: _____

City State Zip Code

Other Names Used (e.g., maiden name, nickname, etc.): _____

Home Telephone: _____ Work Telephone: _____

Fax Number: _____ E-mail: _____

Are you a United States Citizen? Yes No

If "No," state citizenship country: _____

I, the undersigned, do hereby attest that all statements and information provided or attached in this application are true, accurate and complete.

Signature: _____	Date: _____
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Special Skills, Accomplishments and Awards:

List any special skills or qualifications, the title and year of any awards or special recognition received that may help you qualify for the position.

List all language(s), which you speak or read. Indicate whether you read, speak, or both and the level of fluency.

Code of Ethics Certification is attached

Education:

Did you graduate from high school or receive a GED high school equivalency certificate?

GED Yes No Diploma Attached Yes No

Identify the name and location (city and state) of the high school you attended or where you received your GED certificate.

Name and location (city, state, zip code) of any college or university attended:

Name	City	State	Zip	From	To	Semester Hr.	Quarters	Degree	Month and Year of Degree
1.									
2.									
3.									

Chief Undergraduate Subjects Show Major on First Line	Semester Hr.	Quarters	Chief Graduate Subjects Show Major on First Line	Semester Hrs.	Quarters Hrs.
1.					
2.					
3.					

List any other courses or training received related to the position. Identify the name and location (city, state, and zip) of the training, month and year attended, classroom hours, subjects, and if the training completed, include a diploma, degree granted or certification.

Work Experience: List most recent employment first.

1. NAME AND ADDRESS OF EMPLOYER:	Dates Employed (month, day, year):
	From: _____ To: _____
	Exact Job Title:

Description of work: Describe your specific duties, responsibilities, and accomplishments as they relate to the specific knowledge, skill and ability requirements. Add additional pages as necessary.

2. NAME AND ADDRESS OF EMPLOYER:	Dates Employed (month, day, year):
	From: _____ To: _____
	Exact Job Title:

Description of work: Describe your specific duties, responsibilities, and accomplishments as they relate to the specific knowledge, skill and ability requirements. Add additional pages as necessary.

If you need more experience blocks, add additional pages with the requested information.

CODE OF ETHICS CERTIFICATION

To ensure that every user of the 3-A Symbol can have confidence in the integrity of the 3-A Symbol authorization, CCEs shall respect and adhere to the principles of ethical conduct set forth in this section. The following general principles apply to every CCE. Where a situation is not specifically covered by these principles, a CCE shall apply the intent of the principles in determining whether their conduct is proper. Violators of any of the Code of Ethics tenets shall be subject to removal from the TPV Program and the loss of any and all certifications granted under the program.

1. I shall not hold financial interests that conflict with the conscientious performance of my duties.
2. I shall not engage in financial transactions using audit-derived information or allow the improper use of such information to further any private interest.
3. I shall not solicit or accept any gift or other item of monetary value beyond reasonable compensation for my duties from any person or entity seeking or contracting with me for TPV services, or whose interests may be substantially affected by the performance or nonperformance of my duties as an evaluator.
4. I shall only perform my TPV activities within the scope of my knowledge.
5. I shall maintain strict confidentiality of proprietary information learned through my TPV activities.
6. I shall act impartially and not give preferential treatment to any organization or individual.
7. I shall adhere to all laws and regulations that provide equal opportunity for all, regardless of race, color, religion, sex, national origin, age, or disability.
8. I shall endeavor to avoid any actions creating the appearance that I am violating the ethical tenets set forth in this certificate. Whether particular circumstances create an appearance that these tenets have been violated shall be determined from the perspective of a reasonable person with knowledge of the relevant facts.
9. I shall not act in any way that would prejudice the reputation of the TPV program or 3-A SSI and I shall cooperate fully with any inquiry in the event of any alleged breach of the CCE program.
10. I certify that I will abide by the above Code of Ethics as a Certified Conformance Evaluator and that all of the statements and information provided or attached to my application are true, accurate and complete.

Signature:	Date:
AO office use only	
File Number:	



JOHN DOE

Is Hereby Declared and Affirmed by
3-A Sanitary Standards, Inc.

as a

CERTIFIED CONFORMANCE EVALUATOR

Authorized to Conduct Third Party Verifications

for

3-A SYMBOL AUTHORIZATIONS

3-A PROCESS CERTIFICATION

and

P3-A Symbol Authorization

Granted this date: _____
Expiration date: _____
(Insert Date)

(Signature of 3-A SSI)