



Australian Government

Department of Education, Employment and Workplace Relations

FDFAU4001A Assess compliance with food safety programs

Revision Number: 1

FDFAU4001A Assess compliance with food safety programs

Modification History

Not applicable.

Unit Descriptor

Unit descriptor	This unit of competency covers skills and knowledge required to assess compliance against an approved food safety program where the program is supported by a prescriptive template or tool or where compliance is checked against a food safety program that has been validated by a technical expert.
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Application of the Unit

Application of the unit	<p>This unit applies to regulatory, commercial or internal auditors.</p> <p>When this unit is applied to regulatory auditing it should be noted that the National Food Safety Audit Policy for regulatory auditing requires that the unit FDFAU4002A Communicate and negotiate to conduct food safety audits, must be pre or co-assessed with this unit when applied to assessing compliance against approved food safety programs that have been validated by a technical expert.</p>
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Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Prerequisite units		

Prerequisite units		

Employability Skills Information

Employability skills	This unit contains employability skills.
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Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.	Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.
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Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Plan the audit	1.1. An audit plan is developed to meet the audit scope 1.2. The plan is capable of delivering the required outcomes within resource and time allocations 1.3. Plan includes audit purpose, scope and relevant templates or approved food safety program 1.4. Activities and responsibilities for the audit are identified 1.5. Audit timing (as required by legislation and/or client) is identified including timetable for each stage of the audit 1.6. Resource, personnel and reporting requirements are identified 1.7. Follow up and completion procedures are identified 1.8. Communication protocols are identified and established to facilitate the effective exchange of information and suited to the auditee environment
2. Confirm that the food business has documented required preliminary work	2.1. The food and the method of distribution are defined 2.2. Customers and intended use of food is identified 2.3. The process is described and documented 2.4. The food business has checked their documentation for accuracy and completeness
3. Confirm the food safety program is supported by a tool or template or has been validated	3.1. The documented food safety program and related procedures and prerequisite programs are assessed to confirm that they have a prescriptive tool or have been validated by a technical expert 3.2. The food business method of identifying and analysing food safety hazards is reviewed 3.3. Templates or the approved food safety program are correctly selected to meet audit scope 3.4. Templates or the approved food safety program are appropriately adapted to suit the needs of the business without adversely affecting food safety 3.5. Documented verification records are reviewed to confirm that the requirements of the food safety program are being met 3.6. Corrective actions required where processes are identified as not meeting targets or critical limits are assessed to confirm they meet the requirements of the template or food safety program 3.7. Food safety prerequisite programs are assessed to

ELEMENT	PERFORMANCE CRITERIA
	<p>confirm they are appropriate for the food business/industry sector to maintain a safe food environment</p> <p>3.8. Food safety program documents are reviewed to confirm currency, accuracy and adequacy to facilitate maintenance of an adequate food safety program</p>
4. Collect evidence to review and assess implementation of food safety programs	<p>4.1. Evidence is collected to confirm that documented programs and procedures are working effectively, reflect actual practice and are consistently applied</p> <p>4.2. Evidence is collected to confirm that food safety monitoring and corrective actions are carried out according to procedure</p> <p>4.3. Evidence is collected to confirm that safety prerequisite programs are effective and consistently followed</p> <p>4.4. Evidence is collected to confirm that food safety records are completed and provide an accurate record of events</p> <p>4.5. Evidence is collected to confirm that records are accessed and analysed to confirm effective program maintenance in accordance with the template or food safety program</p> <p>4.6. Evidence is collected to confirm that food safety skills and knowledge of food business personnel is commensurate with their work role</p> <p>4.7. Evidence is collected to confirm that the food safety program has been internally monitored and assessed, updated and improved by a technical expert</p>
5. Manage the audit process	<p>5.1. Audit progress is monitored against the audit plan and any variation to plan is identified and addressed</p> <p>5.2. Circumstances requiring the audit plan to be adjusted are identified and negotiated in a timely manner</p> <p>5.3. Audits address audit scope and are conducted within time and resource constraints to meet quality and professional standards</p> <p>5.4. The audit process is reviewed to identify opportunities for improvement</p>
6. Consolidate audit outcomes	<p>6.1. Audit evidence is analysed and assessed to identify any areas of non-compliance with legislation and/or the food safety program</p>

ELEMENT	PERFORMANCE CRITERIA
	<p>6.2. Non-conformities are identified and classified as agreed by the audit plan</p> <p>6.3. Non-conformities are reported in accordance with agreed client and/or legislative requirements</p> <p>6.4. Audit reports and/or certificates are prepared and submitted or presented as required to meet regulatory and client requirements</p> <p>6.5. A corrective action implementation plan defining proposed actions and timelines developed by the auditee is reviewed by the auditor to confirm that template or food safety program requirements are met</p> <p>6.6. Audit findings are reviewed to confirm that evidence is sufficient as defined by the template or approved food safety program</p>
7. Confirm and close out corrective actions	<p>7.1. Implementation and effectiveness of corrective action is monitored and verified against the template or the approved food safety program</p> <p>7.2. Audit records are maintained to record corrective actions</p>

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

This section describes the skills and knowledge required for this unit.

Required skills

Ability to:

- plan and organise audit activities
- identify work processes and work flow
- interpret food safety programs including flow charts, standard operating procedures (SOPs), and other process documentation
- describe each process step and identify food safety hazards
- conduct research to identify, collect and analyse evidence of compliance with food safety programs
- use communication skills to support evidence collection and outcome presentation
- identify and classify non-compliances
- prepare audit reports and certificates to meet regulatory and client requirements
- review corrective action implementation plans
- monitor the implementation of corrective actions
- maintain audit records

Required knowledge

Knowledge of:

- required content and scope of food safety programs as defined in the National Food Safety Standard 3.2.1 or other relevant standards
- purpose and minimum requirements of risk-based approaches to managing food safety hazards, including the role of prescriptive templates or approved food safety programs in supporting a risk-based approach and the process used to validate these tools
- guidelines on implementing industry templates or approved food safety programs
- legal requirements of food businesses
- legal liability of auditors and protection against litigation and professional practice issues, including the circumstances under which an auditor could be prosecuted and insurance requirements
- audit activities and principles, including guidelines on audit stages and activities as outlined in ISO 19011:2002
- personal attributes required of food safety auditors, including those outlined in ISO 19011:2002, and additional system owner requirements where required
- role, responsibilities and powers of enforcement agencies, authorised officers and commercial auditors, including reporting responsibilities, legal liability of auditors and delegation of authority to commercial auditors as may apply in some states and territories

REQUIRED SKILLS AND KNOWLEDGE

- information handling and management system protocols, including issues, such as rights of access to information, maintenance of confidentiality of audit information and reports and information dissemination requirements
- evidence appropriate for use in audit processes, including the difference between objective and hearsay evidence and methods for recording and managing evidence to provide reliable reference information in the event that evidence is challenged
- vocabulary and terms relating to food safety programs, including terms and jargon to describe technical processes, industry standards and common biological and chemical terms
- common biological, physical and chemical hazards that may occur in the food business and appropriate methods of control and critical limits as outlined in the approved food safety program or template
- the impact of (1) the design and construction of premises and (2) the selection, application and condition of equipment, on food safety as defined in Food Safety Standard 3.2.3
- role of prerequisite programs in controlling hazards, including the relationship between prerequisite programs and risk-based approaches, such as HACCP to controlling food safety hazards
- circumstances, implications and responsibilities in the event that the auditee requests that the audit ceases
- circumstances and authority to initiate cessation of an audit
- methods to assess skill requirements and options to confirm that the responsible personnel within the food business have the of food safety and food hygiene relevant to the food business

Evidence Guide

EVIDENCE GUIDE

The Evidence Guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

Overview of assessment

A person who demonstrates competence in this unit must be able to assess compliance against an approved food safety program where the program is supported by a prescriptive template or tool or where compliance is checked against a food safety program that has been validated by a technical expert.

Assessment must be carried out in a manner that recognises the cultural and literacy requirements of the assessee and is appropriate to the work performed. Competency in this unit must be achieved in accordance with food safety standards and regulations.

Critical aspects for assessment and evidence required to demonstrate competency in this unit

Evidence of ability to:

- confirm that the food safety program and/or template is appropriate to the activities of the business
- review food safety program records to assess compliance against the approved food safety program and/or template
- collect and analyse evidence to confirm that the food safety program is consistently followed and controls all critical risks
- identify circumstances where variation or customising of the template or food safety program requires further validation
- submit non-compliance reports to clearly identify the aspects of the food safety program that have broken down/need further development in order to prevent recurrence.

Context of and specific resources for assessment

Competency may be assessed in an actual workplace or simulated environment that provides access to the required resources. At least one of the scenarios should be assessed in an actual workplace context.

Assessment is to occur under standard and authorised work practices, safety requirements and environmental constraints.

The following resources must be available:

- food safety plans

EVIDENCE GUIDE	
	<ul style="list-style-type: none"> • food safety-related documentation required to implement and record the food safety plan • evidence and documentation relevant to processes that would typically be used to assess compliance with the food safety program • plant and equipment that would typically be used in a commercial manufacturing business.
Method of assessment	<p>Assessment methods must satisfy the endorsed Assessment Guidelines of FDF10 Food Processing Industry Training Package. The following assessment methods should be considered to gather sufficient and valid evidence of competency:</p> <ul style="list-style-type: none"> • observation and a report covering the critical aspects for assessment identified above • questioning to test the level and application of knowledge • workplace example or scenario to allow a valid decision on the compliance of the food safety program to be made, with evidence of recording and feedback.
Guidance information for assessment	<p>To ensure consistency in one's performance, competency should be demonstrated on more than one occasion over a period of time in order to cover a variety of circumstances, cases and responsibilities, and where possible, over a number of assessment activities.</p>

Range Statement

RANGE STATEMENT

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

Food safety program	<p>Food safety programs include both prerequisite programs and a risk-based analysis of food safety hazards to determine required control measures to eliminate, prevent or reduce hazards.</p> <p>Minimum legal requirements for food safety programs are specified in National Food Safety Standard 3.2.1 or other relevant legislative requirements.</p> <p>The food safety program may be based on a template or externally developed program that is adapted to the needs of the business</p>
Licensing/certification requirements	Licensing and certification requirements are determined by system owners
Technical expert	<p>The requirements of a technical expert are determined by the system owner. System owners may include:</p> <ul style="list-style-type: none"> government regulators as well as private system owners
Audit scope	<p>The scope describes the purpose, extent and boundaries of the audit. This may include:</p> <ul style="list-style-type: none"> physical locations products processes time period covered by the audit extent of authority of the auditor
Prerequisite programs	<p>Prerequisite programs are also referred to as support programs, such as Good Manufacturing Practice (GMP), Good Agricultural Practice (GAP) and Good Hygiene Practice (GHP)</p> <p>Prerequisite programs can be divided into two categories.</p>

RANGE STATEMENT	
	<p>Infrastructure and maintenance programs. These may include:</p> <ul style="list-style-type: none"> • layout, design and construction of buildings and facilities • supplies of air, water energy and other utilities • equipment, including preventative maintenance, sanitary design and accessibility for maintenance and cleaning • support services, including waste and sewage disposal <p>Operational prerequisite programs. These may include:</p> <ul style="list-style-type: none"> • personal hygiene • cleaning and sanitation • pest control • measures for the prevention of cross-contamination • packaging and labelling procedures • supplier assurance • chemical storage • employee training • maintenance • calibration • document control • internal audit programs • traceability and recall programs • on-farm food safety schemes • inspecting and testing regimes, including analytical and microbiological testing
Legal requirements	<p>The scope of the audit determines and may be determined by food safety legislation which may include:</p> <ul style="list-style-type: none"> • Food Standards Code • relevant state and territory legislation and related codes of practice, including industry sector-specific legislation and related codes of practice, such as that relating to meat, seafood, dairy and primary production and processing • regulatory and commercial requirements

RANGE STATEMENT	
	<p>relevant to importing countries</p> <ul style="list-style-type: none"> • Commonwealth legislation (e.g. Export Control Act) <p>Other legislation which may impact on the conduct of a food safety auditor may include legislation covering:</p> <ul style="list-style-type: none"> • occupational health and safety (OHS), anti-harassment, anti-discrimination and industrial relations • trade practices legislation • environmental risk management • legal contracts or agreements
Food businesses	A food business refers to a business, enterprise or activity where food is produced, processed, stored, displayed and/or sold. It may also include primary producers
Food safety program documents	<p>Food safety program documents may include:</p> <ul style="list-style-type: none"> • documented statements of food safety policy and objectives • documented procedures and records • documented complaints register • documents and records to ensure the effective development, implementation and updating of the food safety program
Risk-based approaches	Risk-based approaches to controlling food safety are typically based on HACCP, described in the Codex Alimentarius guidelines

Unit Sector(s)

Unit sector	Food safety auditing
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Competency field

Competency field	
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Co-requisite units

Co-requisite units		