



Australian Government

FBPAUD4001 Assess compliance with food safety programs

Release: 1

FBPAUD4001 Assess compliance with food safety programs

Modification History

Release	Comments
Release 1	This version released with the FBP Food, Beverage and Pharmaceutical Training Package Version 2.0.

Application

This unit of competency describes the 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.

This unit applies to individuals who undertake regulatory, commercial or internal audits.

This unit supports relevant legislation, including food standards included in the Australia New Zealand Food Standards Code, industry codes of practice relating to validation and verification of a food safety program, and the audit requirements detailed in the National Regulatory Food Safety Auditor Guideline and Policy, and should be read in conjunction with these documents.

Regulatory food safety audits in Australia are covered by state/territory legislative frameworks that support the requirements of the National Food Safety Audit Policy 2009.

Pre-requisite Unit

Nil

Unit Sector

Food safety auditing (AUD)

Elements and Performance Criteria

Elements	Performance Criteria
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
1. Plan the audit	1.1 Develop an audit plan to meet the audit scope 1.2 Ensure the plan is capable of delivering the required outcomes within resource and time allocations

Elements	Performance Criteria
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
	1.3 Ensure the plan includes audit purpose, scope and relevant templates or approved food safety program 1.4 Identify activities and responsibilities for the audit 1.5 Identify audit timing, including timetable for each stage of the audit 1.6 Identify resource, personnel and reporting requirements 1.7 Identify follow-up and completion procedures 1.8 Identify and establish communication protocols 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 Define the food and the method of distribution 2.2 Identify customers and intended use of food 2.3 Describe and document the process 2.4 Ensure 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 Assess the documented food safety program and related procedures and prerequisite programs to confirm that they have a prescriptive tool or have been validated by a technical expert 3.2 Review the food business's method of identifying and analysing food safety hazards 3.3 Select templates, or the approved food safety program, to meet audit scope 3.4 Adapt templates, or the approved food safety program, to suit the needs of the business without adversely affecting food safety 3.5 Review documented verification records to confirm that the requirements of the food safety program are being met 3.6 Assess corrective actions required, where processes are identified as not meeting targets or critical limits, to confirm they meet the requirements of the template or food safety program 3.7 Assess food safety prerequisite programs to confirm they are appropriate for the food business or industry sector to maintain a safe food environment 3.8 Review food safety program documents to confirm currency, accuracy and adequacy to facilitate maintenance of an adequate food safety program

Elements	Performance Criteria
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
4. Collect evidence to review and assess implementation of food safety programs	4.1 Collect evidence to confirm that documented programs and procedures are working effectively, reflect actual practice and are consistently applied 4.2 Collect evidence to confirm that food safety monitoring and corrective actions are carried out according to procedure 4.3 Collect evidence to confirm that safety prerequisite programs are effective and consistently followed 4.4 Collect evidence to confirm that food safety records are completed and provide an accurate record of events 4.5 Collect evidence to confirm that records are accessed and analysed to confirm effective program maintenance according to the template or food safety program 4.6 Collect evidence to confirm that food safety skills and knowledge of food business personnel is commensurate with their work role 4.7 Collect evidence to confirm that the food safety program has been internally monitored and assessed, updated and improved by a technical expert
5. Manage the audit process	5.1 Monitor audit progress against the audit plan, and identify and address any variation to plan 5.2 Identify and negotiate circumstances requiring the audit plan to be adjusted in a timely manner 5.3 Ensure audit addresses audit scope and is conducted within time and resource constraints to meet quality and professional standards 5.4 Review the audit process to identify opportunities for improvement
6. Consolidate audit outcomes	6.1 Analyse and assess audit evidence to identify any areas of non-compliance with legislation and/or the food safety program 6.2 Identify and classify non-conformities as agreed by the audit plan 6.3 Report non-conformities according to agreed client and/or legislative requirements 6.4 Prepare and submit audit reports and/or certificates or present as required to meet regulatory and client requirements 6.5 Ensure a corrective action implementation plan defining proposed actions and timelines developed by the auditee is reviewed to confirm that template or food safety program requirements are met

Elements	Performance Criteria
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
	6.6 Review audit findings to confirm that evidence is sufficient as defined by the template or approved food safety program
7. Confirm and close out corrective actions	7.1 Monitor and verify implementation and effectiveness of corrective action against the template or the approved food safety program 7.2 Maintain audit records to record corrective actions

Foundation Skills

This section describes those language, literacy, numeracy and employment skills that are essential for performance in this unit of competency but are not explicit in the performance criteria.

Skill	Description
Reading	- Interpret food safety guidelines and regulations - Interpret product quality and workplace procedures
Navigate the world of work	- Apply knowledge of regulations and policies relevant to workplace food safety programs - Monitor adherence to legal and regulatory standards and responsibilities
Get the work done	- Plan, monitor and manage relatively complex, routine and non-routine tasks, making adjustments as necessary - Use digital tools to monitor processes and access and organise complex data

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
FBPAUD4001 Assess compliance with food safety programs	FDFAU4001A Assess compliance with food safety programs	Updated to meet Standards for Training Packages	Equivalent unit

Links

Companion Volume Implementation Guides are found in VETNet: -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=78b15323-cd38-483e-aad7-1159b570a5c4>

Assessment Requirements for FBPAUD4001 Assess compliance with food safety programs

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Performance Evidence

An individual demonstrating competency in this unit must satisfy all of the elements and performance criteria of this unit.

There must be evidence that the individual has assessed a minimum of two different food safety programs, 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, including:

- confirming that the food safety program and/or template is appropriate to the activities of the business and complies with requirements of the Australia New Zealand Food Standards Code
- reviewing food safety program records to assess compliance against the approved food safety program and/or template
- collecting and analysing evidence to confirm that the food safety program is consistently followed and controls all critical risks
- identifying circumstances where variation or customising of the template or food safety program requires further validation
- submitting at least one non-compliance report to clearly identify the aspects of the food safety program that have broken down or need further development in order to prevent recurrence.

Knowledge Evidence

An individual must be able to demonstrate the knowledge required to perform the tasks outlined in the elements and performance criteria of this unit. This includes knowledge of:

- Australia New Zealand Food Standards Code, including information on labelling and product ingredients, relevant to the business
- 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, including underweights, true and accurate descriptions, and accuracy of claims (e.g. organic, free range)
- 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 International Organization for Standardization (ISO) 19011:2011
- existence of international standards that cover traceability of food and the food chain supply, consumer product recalls, quality and food safety management systems
- personal attributes required of food safety auditors, including those outlined in ISO 19011:2011, 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
- information handling and management system protocols, including 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 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 knowledge of the food safety and food hygiene relevant to the food business.

Assessment Conditions

Assessment of skills must take place under the following conditions:

- physical conditions:
 - skills must be demonstrated in a workplace setting or an environment that accurately represents a real workplace
- resources, equipment and materials:

- plant and equipment that would typically be used in a commercial manufacturing business
- specifications:
 - food safety plans
 - 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.

Assessors of this unit must satisfy the requirements for assessors in applicable vocational education and training legislation, frameworks and/or standards.

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