



Australian Government

FBPAUD4003 Conduct food safety audits

Release: 1

FBPAUD4003 Conduct food safety audits

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 verify and confirm validation of food safety programs in the context of food safety legislation and client requirements.

This unit applies to individuals who conduct on-site audits, and is relevant to regulatory and commercial food safety system auditors who may be auditing food safety in various contexts.

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. Define the scope of the audit	1.1 Identify audit scope and define the extent of the audit to meet legislative and audit client requirements 1.2 Ensure audit criteria meet legislative and client requirements

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 definition and levels of non-conformity and related reporting responsibilities are identified as consistent with legislative requirements and client requirements 1.4 Identify evidence required to address audit scope and criteria, and select appropriate collection methods 1.5 Review food safety management system documents to determine adequacy for the purposes of the audit
2. Plan the audit	2.1 Develop an audit plan that includes definitions and levels of non-conformity to meet the audit scope 2.2 Identify activities and responsibilities for the audit 2.3 Identify audit timing, including timetable for each stage of the audit 2.4 Identify resource, personnel and reporting requirements 2.5 Identify follow-up and completion procedures 2.6 Establish communication protocols to facilitate the effective exchange of information and suited to the auditee environment
3. Conduct the audit	3.1 Communicate information on the audit scope and methodology in an effective and timely manner 3.2 Follow stages and activities of the audit process 3.3 Review methods used by the food business to carry out preliminary work, identify food safety hazards and assess level of risk to confirm that they are appropriate and correctly applied 3.4 Identify and evaluate evidence used by the food business to support identification of control measures and establish control limits to determine adequacy and relevance 3.5 Review methods used by the food business to control hazards and determine corrective action where processes are identified as not meeting targets or critical limits to confirm they are adequate, effective and appropriate 3.6 Collect evidence to confirm that the documented food safety policies and procedures are working effectively, reflect actual practice and are consistently applied
4. Manage the audit process	4.1 Monitor audit progress against the audit plan, and identify and address any variation to plan 4.2 Identify and negotiate circumstances requiring the audit plan to be

Elements	Performance Criteria
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
	adjusted in a timely manner 4.3 Ensure audits address audit scope and are conducted within time and resource constraints to meet quality and professional standards 4.4 Review the audit process to identify opportunities for improvement
5. Consolidate audit outcomes	5.1 Analyse and assess evidence to identify any areas of non-compliance with legislation and/or client requirements as appropriate to the audit scope 5.2 Identify and classify non-conformities as agreed by the audit plan 5.3 Report non-conformities according to agreed client and/or legislative requirements 5.4 Communicate audit findings to the auditee 5.5 Prepare and submit audit reports and/or certificates or present as required to meet regulatory and client requirements 5.6 Review corrective actions proposed by the auditee in response to non-conformances for compliance with the template or food safety program 5.7 Review audit findings to confirm that evidence is appropriate and sufficient and findings are accurate 5.8 Review the food safety management system to identify areas of potential improvement of the system according to audit scope
6. Confirm and close out corrective actions	6.1 Monitor and verify implementation and effectiveness of corrective actions, and identify and address any variation to the food safety plan 6.2 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 legislation and audit guidelines

Skill	Description
Interact with others	Select and use communication strategies appropriate for purpose when interacting with work colleagues and customers
Get the work done	Use problem-solving skills to identify and analyse non-conformance

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
FBPAUD4003 Conduct food safety audits	FDFAU4003A Conduct food safety audits	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 FBPAUD4003 Conduct food safety audits

Modification History

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

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 effectively planned and conducted a food safety audit, for a minimum of one client, that complies with legal and client requirements, including:

- preparing audit documentation
- preparing a final audit report that refers to:
 - non-conformity reports
 - corrective action reports
 - follow-up reports
 - suggestions for improvements to the food safety management system and to the audit process.

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:

- auditor roles and responsibilities, including:
 - audit activities and stages, including guidelines on audit stages and activities as outlined in International Organization for Standardization (ISO) 19011:2011
 - personal attributes required of food safety auditors, including those outlined in ISO 19011:2011, and additional client 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
 - relevant competencies and certification/registration criteria and processes applying to both regulatory and commercial auditors

- audit management to develop and implement an audit against an agreed plan, including the scope/level of authority to revise the resource and allocate time allocations to take account of variation to plan
- food safety management systems, including:
 - purpose and intent of each element of a food safety management system
 - the underlying principles of risk-based approaches to controlling food safety hazards, including using critical control points as described in the Codex Alimentarius Guidelines
 - vocabulary and terms relating to food safety, including terms and jargon to describe technical processes, industry standards and common biological and chemical terms
 - food safety management system knowledge relevant to the system being audited, including system requirements, definitions and levels of non-compliance and related reporting responsibilities as defined by legal and management system requirements
 - the interaction between different types of management systems, including the impact of food safety decisions on other management systems, including workplace health and safety, quality, environmental risk management and animal welfare
 - technical knowledge required to assess the adequacy of the food safety management system performance and corrective actions
 - role of prerequisite programs in controlling hazards, including the relationship between prerequisite programs and risk-based approaches, including using critical control points to control food safety hazards
 - information handling and management system protocols, including rights of access to information, maintenance of confidentiality of audit information and reports and information dissemination requirements
- food safety legislation, including:
 - the purpose and intent of food safety legislation, including sources of information on importing country requirements and of requirements of countries and retailer driven systems in importing markets
 - the content covered by the Australia New Zealand Food Standards Code and/or other relevant standards
 - the structure and responsibilities of Commonwealth, state and territory government departments and local government to manage and implement food safety legislation, including where to find information on relevant Commonwealth, state/territory legislative requirements, product or industry sector legislation and regulations and import and export market requirements
 - the regulatory framework and specific legislation relevant to the audit, including relevant risk profiling or classification systems where they apply
 - sources of information on legislation and codes governing primary production and primary processing
 - requirements for scheduling and conducting further auditing as determined by food safety legislation and/or client system requirements
 - 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

- the role of auditors when called on to provide evidence as a witness in court
- food safety audit processes, including:
 - preliminary work required to identify food to be covered by the food safety program, define the food and the method of distribution, identify customers and intended use of food, describe the process (flow chart) and check accuracy and completeness
 - methods used to identify food safety hazards and assess food safety hazard risk levels, taking account of severity and likelihood of occurrence
 - methods used to identify critical control points and establish critical limits, suited to the nature of the hazard, the requirements of the audit and the industry sector
 - methods used to validate control techniques and critical limits, including industry or sector codes of practice, technical standards and research
 - types of evidence, 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
 - evidence collection methods, including record sampling and sample analysis, the evidence collection options relevant to a given audit situation, the reliability of each collection method and the range and extent of evidence collection methods required to ensure that audit outcomes are objective, consistent, fair and reliable
 - methods to assess skill requirements and options to confirm that the responsible personnel within the food business have the required skills and knowledge of food safety and food hygiene relevant to the food business
 - circumstances, implications and responsibilities in the event that the auditee requests that the audit ceases
 - circumstances and authority of an auditor to initiate cessation of an audit
 - the context in which audits are conducted, including workplace culture and preferred communication methods, industry, process and/or product knowledge and related jargon
 - requirements for recording audit information and reporting.

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 food manufacturing business
- specifications:
 - food safety plans
 - food safety-related documentation typical of commercial food manufacturing businesses and used for the purpose of verification

- evidence and documentation relevant to processes that would typically be used by commercial manufacturing businesses to support validation processes.

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

Links

Companion Volume Implementation Guides are found in VETNet: -

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