



Australian Government

Department of Education, Employment and Workplace Relations

FDFPPL5001A Design and maintain programs to support legal compliance

Revision Number: 2

FDFPPL5001A Design and maintain programs to support legal compliance

Modification History

November 2011: update to imported unit, minor typographical error corrected.

Unit Descriptor

Unit descriptor	This unit of competency covers the skills and knowledge required to design, review and maintain programs to support policy implementation and regulatory compliance. Programs involve hazard identification, risk assessment and control.
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Application of the Unit

Application of the unit	This unit applies to areas, such as occupational health and safety (OHS), environmental management, food safety, quality and Good Manufacturing Practice (GMP). In workplaces where workplace programs are already in place, the outcomes of this unit can apply to the assessment and review of such programs.
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Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Prerequisite units		
	FDFFS2001A	Implement the food safety program and procedures
	FDFFS3001A	Monitor the implementation of quality and food safety programs
	FDFOHS4002A	Maintain OHS processes

Prerequisite units		
	FDFTEC3001A	Participate in a HACCP team
	MSAENV472B	Implement and monitor environmentally sustainable work practices

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. Establish workplace program and operating requirements	1.1. The workplace program reflects workplace policy objectives 1.2. Roles and responsibilities to support implementation are identified, negotiated and agreed 1.3. Resources required to support implementation are identified and secured
2. Establish/review consultative arrangements	2.1. Consultative mechanisms are established to encourage input from workplace personnel and their representatives 2.2. Information on consultation processes is available, appropriate and accessible 2.3. Procedures are established to ensure that issues raised are promptly addressed 2.4. Procedures are established to ensure that the outcomes of consultation are promptly communicated
3. Develop/review program procedures	3.1. Procedures outline the process for identifying and reporting actual and potential hazards 3.2. Risk assessment and control measures are documented and take account of the hierarchy of control 3.3. Corrective action and emergency response procedures are defined 3.4. Procedures to review program adequacy and effectiveness are established 3.5. Program implementation is monitored to ensure procedures are followed and effective
4. Establish/review program information and recording systems	4.1. Information is recorded to meet program and legislative requirements 4.2. Record formats and systems are appropriate and accessible to users
5. Establish/review development/training arrangements to support program implementation and maintenance	5.1. Roles and responsibilities of participants involved in implementing the program are identified 5.2. Mentoring, coaching and training requirements for each role are identified 5.3. Mentoring, coaching and training support is provided to meet the needs identified
6. Maintain a workplace	6.1. Information on program purpose, requirements,

ELEMENT	PERFORMANCE CRITERIA
program	roles and responsibilities is provided in formats appropriate to purpose and audience 6.2. Program procedures are followed and supervisory responsibilities are identified and addressed 6.3. Workplace program records are analysed to identify patterns of non-conformance and opportunities for ongoing improvement 6.4. Hazard identification, risk assessment and control are addressed when planning, designing and reviewing change in the workplace 6.5. Evaluation of program effectiveness takes account of developments in best practice to support continuous program improvement 6.6. Program audit procedures are established and communicated

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

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

Required skills

Ability to:

- identify roles and responsibilities for program development and maintenance, where appropriate this includes negotiating/confirming levels of authority
- identify and report on resource requirements to support implementation, such as human resources, capital equipment, training, support systems (e.g. maintenance and financial support), and where relevant, negotiate access to resources within level of responsibility
- confirm that personnel involved in implementation have the required skills and knowledge to carry out their role, including identifying and addressing skill gaps
- review strategies for provision of information to identify opportunities for improvement in conveying information appropriate to program requirements and the audience to ensure that information is accessible to and understandable by all employees
- establish and/or review consultative arrangements to confirm that they are effective channels of two-way information and forums for raising issues and generating ideas, that all areas and levels of the workgroup have opportunity for input, and there is feedback to contributors on the outcome of consultation
- develop/review procedures to support implementation (procedures must be documented and documents must be controlled, which may require the development of an appropriate system for recording and managing procedures)
- establish/review monitoring mechanisms to ensure that records are accurate and timely
- establish/review procedures to ensure that records and related program information are utilised to support program improvement
- trial/review implementation of procedures and identify opportunities for improvement
- use communication skills to interpret and complete work information to support operations of work team or area, and to support a review of existing information and/or design of information formats to meet program and audience requirements
- demonstrate and support cooperative work practices within a culturally diverse workforce

Required knowledge

Knowledge of:

- objectives of legislation, regulations and relevant codes of practice relating to the program area, including the roles of relevant regulatory bodies
- company policy objectives, related legal requirements and workplace context,

REQUIRED SKILLS AND KNOWLEDGE

- including resource capacity, authority levels, existing systems and processes, such as consultation processes, development/training systems, process improvement, document control and recording requirements
- workplace program objectives, their relationship to policy objectives and to related programs, including the benefits of the program for the company, employees and the wider community as appropriate
 - the concept of a management systems as it applies to the program area
 - the advantages and disadvantages of stand-alone and integrated programs, including variations in legal obligations and compliance systems, objectives and structure of related policies and programs, as well as consideration of audit trails, as appropriate
 - principles and processes for hazard identification, risk assessment and control
 - the program area and/or internal and external experts and resources to support design and implementation
 - the circumstances, conditions or practices likely to result in program non-compliance and related control options
 - technical knowledge and/or access to technical expertise to ensure adequacy of risk control methods and response to non-compliance/emergencies
 - problem solving and process improvement techniques and processes
 - program review methods and responsibilities, including internal audit arrangements, as well as external audit arrangements, and where the program supports legal compliance obligations, requirements and frequency of audits

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	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. Competence 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: • define the parameters of the program • determine compliance requirements for program and conduct risk analysis • identify and engage relevant personnel through consultative mechanisms • design/develop program procedures to ensure compliance is achieved • complete detailed reporting to support the maintenance of compliance • provide support to personnel to ensure compliance • program is reviewed and monitored to ensure compliance is maintained.
Context of and specific resources for assessment	Assessment must occur in a real or simulated workplace where the assessee has access to: • workplace policies, business and performance plans and budgets • relevant legislation, codes of practice and agreements • workplace procedures and related management systems relevant to the program area • technical support and advice as appropriate to the program area • consultative forums.
Method of assessment	This unit should be assessed together with core units and other units of competency relevant to the function or work role. Examples could be: • FDFPPL3003A Support and mentor individuals and groups • FDFPPL4008A Manage internal audits • BSBRES4001A Analyse and present research

EVIDENCE GUIDE	
	information • BSBINN502A Build and sustain an innovative work environment.
Guidance information for assessment	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.

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.	
Workplace programs	Workplace programs are developed to meet company policy objectives and are consistent with legislative requirements, codes, industrial awards and agreements, licensing arrangements and contractual arrangements and agreements
Programs and related documentation	Programs and related documentation may be: • stand-alone or integrated
Program design	Program design takes account of contextual issues including: • legislative responsibilities • workplace culture • budgets and people, including language and literacy levels of program users
Management systems	Management systems to support program implementation include: • organisational structure • planning activities • responsibilities • practices, procedures, processes and resources for developing, implementing, achieving, reviewing and maintaining the policy, • managing the risks associated with the activities conducted in the workplace
Formal responsibility	Formal responsibility for program design and/or review may be shared with others

Unit Sector(s)

Unit sector	People management/planning/logistics
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Competency field

Competency field	
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Co-requisite units

Co-requisite units		