

Competency	Performance Criteria	Evidence Guide
<p>1: Plan the audit</p>	<p>1.1 An audit plan is developed to meet the audit scope. The plan is capable of delivering the required outcomes within resource and time allocations and includes:</p> <ul style="list-style-type: none"> • audit purpose, scope and relevant template/s or approved food safety program • activities and responsibilities • audit timing (as required by legislation and/or client) • timetable for each stage of the audit • resource requirements • personnel required to participate in the audit • reporting requirements • audit follow up and completion procedures <p>1.2 Communication protocols are established to facilitate the effective exchange of information and suited to the auditee environment</p>	<p>On-site audit activities are planned and a written audit plan is prepared, including an audit timetable that accurately reflects the achievement of the audit objectives within the agreed or prescribed timetable.</p> <p>Relevant audit objectives, scope and criteria are defined.</p> <p>The issues affecting the feasibility of an audit such as information requirements, auditee co-operation, and resource availability are identified.</p> <p>Communication protocols to facilitate effective exchange of information in a range of different auditee environments are described.</p>
<p>2: Review and assess food safety program</p>	<p>2.1: The documented food safety program and related procedures and pre-requisite programs are assessed to confirm that legal and client requirements are addressed as determined by the audit scope</p> <p>2.2: The food business method of identifying and analyzing food safety hazards is reviewed to establish that:</p>	<p>Evidence required to determine if the scope of food safety programs and related procedures and pre-requisite programs address legal and/or client requirements is described.</p> <p>Vocabulary and terms relating to food safety programs are demonstrated, including terms and jargon to describe technical processes, industry standards and common biological and chemical terms.</p>

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	<ul style="list-style-type: none"> • templates or the approved food safety program are correctly selected to meet audit scope • templates or the approved food safety program are appropriately adapted to suit the needs of the business without adversely affecting food safety <p>2.3: Documented verification records are reviewed to confirm that the requirements of the food safety program are being met</p> <p>2.4: 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</p> <p>2.5: Food safety pre-requisite programs are assessed to confirm they are appropriate for the food business/industry sector to maintain a safe food environment</p> <p>2.6: Food safety program documents are reviewed to confirm currency, accuracy and adequacy to facilitate maintenance of an adequate food safety program</p>	<p>The underlying principles of risk-based approaches to controlling food safety hazards including HACCP, as described in the CODEX Alimentarius Guidelines, are described.</p> <p>Purpose and minimum requirements of risk-based approaches to managing food safety hazards are described.</p> <p>The role of prescriptive templates or approved food safety programs in supporting a risk-based approach and the process used to validate these tools is described.</p> <p>Common biological, physical and chemical hazards that may occur in the food business and appropriate methods of control and critical limits as outlined in an approved food safety program are described.</p> <p>The impact of design and construction of premises and the selection, application and condition of equipment, on food safety as defined in Food Safety Standard 3.2.3, is described.</p> <p>Role of pre-requisite programs in controlling hazards is described.</p> <p>The relationship between pre-requisite programs and risk-based approaches including HACCP to controlling food safety hazards is described.</p> <p>Legal requirements of food business are referenced.</p> <p>The purpose and intent of food safety legislation are defined.</p>

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		<p>Sources of information on importing country requirements and of requirements of countries and retailer driven systems in importing markets are referenced.</p> <p>The contents covered by the Food Standards Code and/or other relevant standards are defined.</p> <p>The structure and responsibilities of commonwealth, state and territory government departments and local government to manage and implement food safety legislation are described.</p> <p>Sources of information on relevant commonwealth, state/territory legislative requirements, product or industry sector legislation and regulations and import and export market requirements are referenced.</p> <p>Regulatory framework and specific legislation relevant to the audit are referenced.</p> <p>Relevant risk profiling or classification systems are referenced.</p> <p>Sources of information on legislation and codes governing primary production and primary processing are identified.</p> <p>Work processes and work flows are identified.</p> <p>Each process step and identification of food safety hazards are defined.</p> <p>For a specific food business, suitable evidence to confirm that</p>



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		the requirements to ensure: <ul style="list-style-type: none">• the foods to be covered by the food safety program, the food and method of distribution are defined;• customers and intended use of food is identified;• the process is described (for example, flow chart); and• the food business has checked their work for accuracy and completeness is described.

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<p>3: Review and assess implementation of food safety programs</p>	<p>3.1: Evidence is collected and assessed to confirm that:</p> <ul style="list-style-type: none"> • documented programs and procedures are working effectively, reflect actual practice and are consistently applied • food safety monitoring and corrective actions are carried out according to procedure • food safety records are completed and provide an accurate record of events • records are accessed and analyzed to confirm the effective program maintenance in accordance with the template or food safety program • food safety skills and knowledge of food business personnel is commensurate with their work role • procedures to internally monitor, assess, update and improve the food safety program are implemented 	<p>Types of evidence appropriate for use in audit processes and the difference between objective and hearsay evidence are described.</p> <p>Methods of recording and managing evidence to provide reliable reference information in the event that evidence is challenged are described.</p> <p>Evidence collection methods including record sampling and sample analysis are described.</p> <p>Evidence collection options relevant to a given audit situation, the reliability of each collection method and the range/extent of evidence collection methods required to ensure that audit outcomes are objective, consistent, fair and reliable are described.</p> <p>Issues such as rights of access to information, maintenance of confidentiality of audit information and reports and information dissemination requirements are described.</p> <p>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 are described.</p> <p>The interaction between different types of management systems is described and the possible impact of food safety decisions on other management systems such as OHS, quality, environmental risk management and animal welfare is referenced.</p>

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<p>4: Manage the audit process.</p>	<p>4.1: Audit progress is monitored against the audit plan and any variation to plan is identified and addressed</p> <p>4.2: Circumstances requiring the audit plan to be adjusted are identified and negotiated in a timely manner</p> <p>4.3: Audits address audit scope and are conducted within time and resource constraints to meet quality and professional standards</p> <p>4.4: The audit process is reviewed to identify opportunities for improvement</p>	<p>Methods of monitoring the progress of the audit against the audit plan and ensuring that all areas in the audit plan are covered are described.</p> <p>Typical circumstances requiring adjustments to the audit plan and methods of making adjustments while ensuring that the audit scope is addressed are described.</p> <p>Methods of identifying opportunities for improvement in the audit process are described.</p>
<p>5: Consolidate audit outcomes</p>	<p>5.1: Audit evidence is analyzed and assessed to identify any areas of non-compliance with legislation and/or client requirements as appropriate to the audit scope</p> <p>5.2: Non-conformities are identified and classified as agreed by the audit plan</p> <p>5.3: Non-conformities are reported in accordance with agreed client and/or legislative requirements</p> <p>5.4: Audit reports and/or certificates are prepared and submitted or presented as required to meet regulatory and client requirements</p> <p>5.5: A corrective action implementation plan defining proposed actions and timelines developed by the</p>	<p>Audit evidence that is relevant to the audit criteria is collected and verified.</p> <p>Audit findings are generated based on collected and verified evidence with valid audit conclusions based on audit evidence.</p> <p>Non-conformities are identified against the defined requirements of the relevant template/s or approved food safety program.</p> <p>Records and reports appropriate to the purpose of the audit and the needs of the auditee and the client (system owner/regulator) are prepared.</p> <p>The need to schedule and conduct further audits as determined by food safety legislation and/or client system requirements is described.</p>



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	<p>auditee is reviewed by the auditor to confirm that template or food safety program requirements are met.</p> <p>5.6: Audit findings are reviewed to confirm that evidence is sufficient as defined by the template or approved food safety program</p>	<p>Legal liability of auditors and protection against litigation and professional practice issues are described, including insurance requirements and circumstances under which an auditor could be prosecuted.</p> <p>The role and requirements for auditors when called on to provide evidence as a witness in court are defined.</p>
<p>6: Confirm and close out corrective actions</p>	<p>6.1: Implementation and effectiveness of corrective action is monitored and verified against the template or the approved food safety program</p> <p>6.2: Audit records are maintained to record corrective actions</p>	<p>Methods of evaluating effectiveness of corrective actions taken by auditee are described in accordance with the requirements defined in template or approved safety program referenced for the audit.</p> <p>Types of audit records and methods of retention are described, including identification of confidentiality and security.</p>