

| Competency               | Performance Criteria  | Evidence Guide   |
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| <p>1: Plan the audit</p> | <p>1.1: Audit scope is identified and defines the extent of the audit to meet legislative and audit client requirements</p> <p>1.2: Audit criteria meet legislative and client requirements</p> <p>1.3: The definition and levels of nonconformity and related reporting responsibilities are identified consistent with legislative requirements and client requirements</p> <p>1.4: Evidence required to address audit scope and criteria is identified and appropriate collection methods are selected</p> <p>1.5: Food safety management system documents are reviewed to determine adequacy for the purposes of the audit</p> <p>1.6: 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"> <li>• audit purpose, scope and criteria</li> <li>• definitions and levels of non-conformity</li> <li>• activities and responsibilities</li> <li>• audit timing (as required by legislation and/or client)</li> </ul> | <p>Relevant commonwealth, state and/or territory legislation, regulations and related codes of practice are located and the legal responsibilities of food businesses relevant to a nominated industry sector are described.</p> <p>The guidelines on audit stages and activities as outlined in ISO 19011:2002 are described.</p> <p>Commonly used definitions for levels of nonconformities and reporting requirements are described.</p> <p>Types and requirements for audit evidence are described.</p> <p>Appropriate methods for collection of audit evidence are described.</p> <p>Personal attributes required of food safety auditors are described in accordance with the personal attributes outlined in ISO 19011:2002.</p> <p>Audit management needed to develop and implement an audit against an agreed plan is described in accordance with all items identified under clause 1.6 in Performance Criteria.</p> <p>Methods to ensure effective communication with auditees in a range of environments are described.</p> <p>Required content and scope of food safety programs as defined by the National Food Safety Standard 3.2.1 or other relevant standards are described.</p> <p>Guidelines on customizing and implementing industry templates or</p> |

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|                             | <ul style="list-style-type: none"> <li>• timetable for each stage of the audit</li> <li>• resource requirements</li> <li>• personnel required to participate in the audit</li> <li>• reporting requirements</li> <li>• audit follow-up and completion procedures</li> </ul> <p>1.7: Communication protocols are established to facilitate the effective exchange of information and suited to the auditee environment</p>   | <p>approved food safety programs are identified.</p> <p>Relevant competencies and certification/registration criteria and processes applying to both regulatory and commercial auditors are described.</p>   |
| <p>2. Conduct the audit</p> | <p>2.1: Information on audit scope and methodology is communicated in an effective and timely manner</p> <p>2.2: Stages and activities of the audit process are followed</p> <p>2.3: Methods used by the food business to carry out preliminary work, identify food safety hazards and assess level of risk are reviewed to confirm that they are appropriate and correctly applied</p> <p>2.4: Evidence used by the food business to support identification of control measures and establish control limits is identified and evaluated to determine adequacy and relevance</p> <p>2.5 Methods used by the food business to control</p> | <p>Relevant audit objectives, scope and criteria are accurately defined.</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>The underlying principles of risk-based approaches to controlling food safety hazards including HACCP are described in accordance with Codex Alimentarius Guidelines.</p> <p>Methods used to identify food safety hazards and assess food safety hazards risk levels taking account of severity and likelihood of occurrence are described.</p> |

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|                                    | <p>hazards and determine corrective action where processes are identified as not meeting targets or critical limits are reviewed to confirm they are adequate, effective and appropriate</p> <p>2.6 Evidence is collected to confirm that the documented food safety policies and procedures are working effectively, reflect actual practice and are consistently applied</p>   | <p>Methods used to identify critical control points and establish critical limits, suited to the nature of the hazard, the requirements of the audit and industry sector are described.</p> <p>Methods to validate control techniques and critical limits are described. This should include identification of industry or sector codes of practice, technical standards and research.</p> <p>Evidence collection methods including record sampling and sample analysis are described. This should include identification of 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.</p> |
| <p>3: Manage the audit process</p> | <p>3.1: Audit progress is monitored against the audit plan and any variation to plan is identified and addressed</p> <p>3.2: Circumstances requiring the audit plan to be adjusted are identified and negotiated in a timely manner</p> <p>3.3: Audits address audit scope and are conducted within time and resource constraints to meet quality and professional standards</p> <p>3.4: the audit process is reviewed to identify opportunities for improvement</p> | <p>Circumstances and authority to initiate variation of an agreed audit plan, including cessation, are described.</p> <p>Methods to ensure audits are conducted within agreed scope and timeframes are described.</p> <p>Methods used to identify opportunities for improvement of audit processes are described.</p>  |

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| <p>4: Consolidate audit outcomes</p> | <p>4.1: 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>4.2: Nonconformities are identified and classified as agreed by the audit plan</p> <p>4.3: Nonconformities are reported in accordance with agreed client and/or legislative requirements</p> <p>4.4: Audit findings are communicated to the auditee</p> <p>4.5: Audit reports and/or certificates are prepared and submitted or presented as required to meet regulatory and client requirements</p> <p>4.6: Corrective actions proposed by the auditee in response to nonconformities are reviewed for compliance with the template or food safety program.</p> <p>4.7: Audit findings are reviewed to confirm that evidence is appropriate and sufficient (as defined by the template or approved food safety program) and findings are accurate</p> <p>4.8: The food safety management system is reviewed to identify areas of potential improvement of the system according to the audit</p> | <p>Issues to consider when consolidating audit findings are described. These should include the requirement to base findings on objective evidence, to ensure findings are within the scope of the audit and address any relevant legislation.</p> <p>Requirements for identification of nonconformities are described.</p> <p>Requirements for communicating and reporting audit outcomes are described.</p> <p>The requirement to prepare records and reports appropriate to the purpose of the audit and the needs of the auditee and/or the client (system owner/regulator) is described.</p> <p>Requirements for scheduling and conducting further auditing as determined by food safety legislation and/or client system requirements are described.</p> <p>Legal liability of auditors and protection against litigation and professional practice issues are described. This should include reference to circumstances under which an auditor could be prosecuted and insurance requirements.</p> <p>Methods used to ensure that audit evidence is relevant to the audit criteria are described.</p> <p>The format of an audit report to accurately communicate the audit findings, including opportunities for improvement, is described.</p> |



Competency Unit: **RABQSA-NFS 3 –Conduct food safety audits**

Effective date: February 2006

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|   | scope  |  |
| 5: Confirm and close out corrective actions | 5.1: Implementation and effectiveness of corrective actions are monitored and verified and any variation to the food safety plan is identified and addressed<br><br>5.2: Audit records are maintained to record corrective actions | Requirement and methods to identify effective corrective actions for any identified non-conformances are described.<br><br>Requirement and methods to maintain records of corrective actions are described |