

## XXX456

## Manage the compliance requirements of a food enterprise

### Unit Descriptor

This unit provides the skills and knowledge to enable participants to effectively manage the compliance requirements of a range of food enterprises. It covers aspects of quality management, local and international regulatory requirements.

The content of this unit draws extensively upon *VPAU689 Manage the compliance requirements of a science or technology based enterprise*.

No licensing, legislative, regulatory or certification requirements apply to this unit at the time of publication.

### Employability Skills

The required outcomes described in this unit of competency contain applicable facets of Employability Skills. The qualification's Employability Skills Summary in which this unit is included, will assist in identifying employability skill requirements

### Application of the Unit

The skills and knowledge contained within this unit would be applied by those persons within a medium to large food enterprise (excepting restaurants and small retail outlets) who have responsibility for managing the domestic compliance aspects of its operations.

The unit requires the application of high level interpersonal, analytical and planning skills.

The managers are typically required to design, monitor, review and improve these arrangements to maximise the outcomes for all of the stakeholders.

## ELEMENT

Elements describe the essential outcomes of a unit of competency.

- 1 Determine the relevant regulatory and compliance requirements

## PERFORMANCE CRITERIA

Performance criteria describe the required performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge and/or the range statement. Assessment of performance is to be consistent with the evidence guide.

- 1.1 Identify *sources of information* on local regulations
- 1.2 Clarify the regulations governing food products and process development in Australia.
- 1.3 Identify the *main regulatory bodies for food products* in Australia and in relevant international markets.
- 1.4 Evaluate the impact of the regulatory process on Australian food products and/or processes, especially those intended for international markets

- |   |     |                                                                                                                                     |
|---|-----|-------------------------------------------------------------------------------------------------------------------------------------|
|   | 1.5 | Confirm the implications of non-compliance with regulatory requirements                                                             |
| 2 | 2.1 | Determine the <i>relevant quality standards</i> for the enterprise's operations                                                     |
|   | 2.2 | Establish or maintain a quality management system to ensure compliance with the relevant standards                                  |
|   | 2.3 | Monitor compliance with the relevant quality standards and take prompt corrective actions as required                               |
|   | 2.4 | Conduct regular quality audits using internal and external auditors to ensure objectivity of the findings                           |
|   | 2.5 | Respond promptly to any quality audit report recommendations                                                                        |
| 3 | 3.1 | Consult with key stakeholders locally and internationally to establish the context of the risk analysis                             |
|   | 3.2 | Clarify the <i>legislative and regulatory requirements</i> against which risks of non-compliance may be identified                  |
|   | 3.3 | Ensure that suitable insurance cover for the enterprise's global operations is included in the risk analysis                        |
|   | 3.4 | Analyse the likely impact of each risk identified and rank them in order of importance                                              |
|   | 3.5 | Develop a <i>risk management matrix</i> identifying the <i>mitigation strategies</i> for each risk and inform staff of the outcomes |
|   | 3.6 | Apply appropriate resources to implement the risk management strategy involving staff at all levels and monitor its effectiveness   |
|   | 3.7 | Record the outcomes of application of the mitigation strategies to any risk that eventuates and adjust the strategy if necessary    |

## REQUIRED SKILLS AND KNOWLEDGE

This describes the essential skills and knowledge and their level, required for this unit.

### *Skills required*

- Innovation skills to think laterally and to formulate effective enterprise development strategies
- Interpretive skills to be able to interpret legislative and regulatory requirements
- Organising skills, in organising effective quality systems
- Communication skills, in negotiating contracts with key stakeholders

- Planning skills to implement risk management strategies
- Strategic thinking to determine the most beneficial international networks
- Interpretive skills to be able to apply regulatory requirements
- Problem solving skills to enable corrective action to be taken promptly.

### ***Knowledge required***

- Governance/legal requirements of food enterprises
- Quality management systems, such as ISO9002
- Regulatory bodies, such as Food Standards Australia New Zealand and Work Safe
- Relevant legislation, regulations and Codes of Practice, including:
  - Trade Practices Act
  - World Trade Organisation's determinations

## **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.

***Sources of information*** include but are not limited to

- Australian Trade Commission (AusTrade)
- Australian Quarantine and Inspection Service (AQIS)
- Food Standards Australia New Zealand
- Therapeutic Goods Administration (TGA)
- Environment Protection Agency (EPA)

***Main regulatory bodies for food products*** include but are not limited to

- Australian Quarantine and Inspection Service (AQIS)
- Food Standards Australia New Zealand
- Environment Protection Agency (EPA)
- International Organisation for Standardisation (ISO)

***Relevant quality standards*** include but are not limited to

- Work Safe
- Australian Quarantine and Inspection Service (AQIS)
- Food Standards Australia New Zealand

***Legislative and regulatory requirements*** include but are not limited to

- ISO
- Work Safe requirements for handling, labelling etc
- Food Standards Australia New Zealand
- Export Declaration Number (EDNs)
- International standards

A *risk management matrix* includes but is not limited to

- Trade Practices Act
- Occupational Health & Safety Act
- Risks associated with each identified business parameter
- The likely impact on the enterprise, should the risk eventuate
- Prevention strategies
- Monitoring strategies
- Contingency management

*Mitigation strategies* include but are not limited to

The additional efforts, if any, that must be taken by management to lower the likelihood of the risk occurring and/or to minimize the impact on the program if the risk did occur.

## EVIDENCE GUIDE

The evidence guide provides advice on assessment and must be read in conjunction with the Performance Criteria, Required Skills and Knowledge, the Range Statement and the Assessment section in Section B of the accreditation submission.

### Critical aspects for assessment and evidence required to demonstrate competency in this unit

To be considered competent in this unit the participant must be able to demonstrate the knowledge and skills required to achieve all of the elements of competency and associated performance criteria. Specifically they must be able to:

- Identify sources of information on local and international regulatory requirements for food businesses
- Identify relevant legislative and regulatory requirements pertaining to a range of food enterprises
- Establish systems and processes to ensure ongoing compliance with relevant legislative and regulatory requirements
- Develop and implement risk management strategies
- Advise key stakeholders on compliance needs

### Context of and specific resources for assessment

Resources required for the assessment of the unit include:

- Assessors familiar with relevant legislation and regulatory information
- Information on local and international regulatory bodies
- Access to a real or simulated food enterprise environment

- Case studies that cover a range of food enterprise management situations
- Computer with internet access for research purposes

**Method of assessment**

Assessment should be conducted over a period of time using such methods as:

- Case study analyses of a range of enterprise situations
- Project work
- Third Party reports
- Written tests and assignments