

Assessment Material – Explain the application of HACCP Principles

Assessment can be carried out using oral or written questions. Answers can also be oral or written.

Assessors must be aware of the assessor criteria and moderation requirements for this unit standard. (Ref. PSTO).

Elements and Performance Criteria		Assessment Notes	Evidence
1	Explain the essential elements of HACCP.		
1.1	The explanation includes the seven principles of HACCP as defined by the Codex Alimentarius Commission.	<p>The seven principles of HACCP are identified and the order they are used for developing of a HACCP plan is correctly described.</p> <p>The candidate provides an explanation of each of the principles to demonstrate a clear understanding. Examples are given.</p>	
1.2	All other elements essential for a HACCP plan are explained consistent with relevant legislation and guidelines.	<p>The four other elements are listed consistent with relevant legislation and guidelines.</p> <p>As above, the candidate is able to provide a clear explanation of the elements.</p> <p>[scope, product description & intended use, food safety objectives (product outcomes), process description]</p>	
1.3	The explanation includes how the elements work together to produce a HACCP plan.	Discussion is around the application of the elements in an appropriate order that ensures a clear understanding of what is needed to produce a HACCP plan.	

2	Explain sources of hazards in relation to their control.		
2.1	The explanation includes the difference between hazards and sources of hazards.	The candidate is clear about the difference and can give examples to support their explanation. The candidate is able to discuss the various levels of specificity that are used to define a hazard and when higher or lower levels of specificity would be appropriate both in a HACCP plan, and in supporting systems, giving examples.	
2.2	The explanation includes the range of sources of hazards. Range: sources of hazards includes inputs, process steps, and sources other than inputs and process steps.	Candidate is clear on the distinction between the types of sources of hazards and can give at least 2 examples for each source given in the range.	
2.3	For each of the sources listed in 2.2, the options for hazard control are explained.	Candidate explains options in relation to CCPs in a HACCP plan, CCPs in supporting systems and other controls. Candidate can discuss any implications associated with uncontrolled hazards and can provide at least one example of an uncontrolled hazard.	

3	Explain supporting systems in relation to HACCP.		
3.1	<p>The activities covered by supporting systems are explained and are consistent with legislation and guidelines.</p> <p>Range: must include but is not limited to water potability, cleaning and sanitation, repairs and maintenance, vermin control, personnel hygiene, training, product recall.</p>	<p>The candidate has a clear understanding of supporting systems and the hazards that may be managed by them.</p> <p>The candidate must list the seven supporting systems within the range, plus others to give at least ten examples of supporting systems.</p> <p>The candidate must choose and further describe the hazards and controls for at least three of these supporting systems.</p>	
3.2	<p>The reason for use of supporting systems for hazard control rather than inclusion in a HACCP plan is explained.</p>	<p>Candidate's explanation should cover the way in which supporting systems manage hazards that may impact within and across the scope of a HACCP plan.</p> <p>Hazards identified as reasonably likely to occur are either controlled through monitoring of CCPs or other controls, or may be uncontrolled hazards.</p>	
3.3	<p>The purpose of supporting systems that are not directly involved in hazard control is explained.</p>	<p>The candidate explains the purpose of systems such as Calibration, Training, Recall, Generic Corrective Action, Internal compliance, Inventory Control, Testing Methodology.</p> <p>At least three systems must be covered.</p>	

3.4	The explanation includes the application of HACCP principles in supporting systems as a means of controlling hazards.	<p>The candidate is able to show how HACCP principles can be used within supporting systems. Examples include at least one supporting system that has:</p> <ul style="list-style-type: none"> • measurable specifications (could be regulatory or operator-defined); • non-measurable specifications (could be regulatory or operator defined). <p>Evidence could be provided through the candidate documenting a supporting system using HACCP principles.</p>	
-----	---	---	--

4	Explain documentation and record keeping requirements for a HACCP plan and its supporting systems.		
4.1	The explanation includes all elements of a HACCP plan and its supporting systems that must be documented.	Explanations are consistent with legislation and guidelines.	
4.2	The explanation includes those elements of a HACCP plan and its supporting systems that generate records.	The candidate is clear about the difference between documentation and records in relation to a HACCP plan and its supporting systems.	
4.3	The collection, review and storage of HACCP plan and supporting systems' documents and records are explained.	A complete list of records that may be collected, reviewed and stored as part of the operation of a HACCP plan and its supporting systems is described.	

5	Explain factors that influence development and implementation of a HACCP plan and its supporting systems.		
5.1	The roles and responsibilities of staff at all levels are explained in relation to development and implementation of the HACCP plan and its supporting systems.	Levels may be split amongst management, technical/quality assurance, factory manager or supervisor and process workers.	
5.2	The explanation includes the importance of staff training and management commitment in relation to development and implementation of a HACCP plan and its supporting systems.	Discussion to include establishment of a HACCP team and who would be in the team (in relation to competence). Explains options for small businesses that do not have resources to set up such a team. Also includes the importance of management commitment and their part in providing resources for development of the plan (people, money, time, facilities, etc).	
5.3	The explanation outlines the training required for staff at different levels of a business where a HACCP plan and its supporting systems are being implemented.	<p>Implications of poor management commitment would be included.</p> <p>Documentation of task descriptions may be included in the discussion and the role of process workers in this activity.</p> <p>Ensure that roles relating to monitoring, corrective action, validation and other verification activities are included.</p> <p>Training requirements for staff at different levels would be discussed.</p> <p>Explanation is appropriate for each of the levels described above.</p>	

<p>5.4</p>	<p>The explanation includes factors relevant to a business that may affect development and implementation of a HACCP plan and its supporting systems.</p> <p>Range: Factors –must include but are not limited to hazards, other risk factors, product, process, supporting systems, location, access to technical support, codes of practice, legislative requirements, money, facilities.</p>	<p>Candidate must cover at least the eleven factors in the range.</p>	
-------------------	--	---	--

<p>6</p>	<p>Explain operator verification procedures for a HACCP plan and its supporting systems.</p> <p>Range: validation, on-going review, HACCP plan review.</p>		
<p>6.1</p>	<p>Operator verification of a HACCP plan and its supporting systems is explained consistent with relevant legislation and guidelines.</p>	<p>Each component is discussed to show a clear understanding of their role in verification.</p> <p>Validation</p> <ul style="list-style-type: none"> • ensuring all legislative requirements are met, plan is consistent with guidelines and capable of achieving the stated food safety objectives (product outcomes); • the HACCP plan accurately reflects what occurs in the premises; and, • outcomes can be achieved on an on-going basis. <p>Validation discussion covers expectations within</p>	

		<p>supporting system, including measurable outcomes and the presence of one or more CCP.</p> <p>On-going review may include</p> <ul style="list-style-type: none"> • review of monitoring and corrective action records; • other records review, (e.g. calibration reports, end product test results, customer complaints); • HACCP plan review (all components) including review of the documentation to confirm / revalidate, update or amend as required, review training needs of operators, supervisors and other personnel, records review for evidence of trends, etc. 	
6.2	<p>Selection of appropriate frequencies for operator verification procedures is explained.</p>	<p>Candidate explains the basis for deciding frequency of verification activities.</p> <p>Frequency may be based on availability of data, competence/experience of operators and supervisors, historical performance, risk associated with the product, outcome from external verification, etc.</p>	
6.3	<p>The explanation includes the review of the roles and responsibilities of people involved with the HACCP plan and its supporting systems.</p>	<p>Candidate explains how this would be achieved.</p> <p>E.g. Review of training records, monitoring and supervision of each responsible person as they carry out their functions.</p>	