



**IRCA**

INTERNATIONAL  
REGISTER OF  
CERTIFICATED  
AUDITORS



Certification criteria for

Food Safety Management Systems  
Auditor/Lead Auditor Training Course

# CONTENTS

## BACKGROUND TO THIS COURSE

1. INTRODUCTION
2. PRIOR KNOWLEDGE REQUIREMENT
3. LEARNING OBJECTIVES
4. ENABLING OBJECTIVES – KNOWLEDGE & SKILLS
5. TRAINING METHODS
6. COURSE CONTENT
7. COURSE DURATION
8. TUTORS & STUDENTS
9. VARIATIONS
10. STUDENT ASSESSMENT & EXAMINATION
11. COURSE PUBLICITY & ADVERTISING

## APPENDIX

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IRCA acknowledges the assistance and co-operation of the Food Safety Authority of Ireland in preparing these criteria.

**BACKGROUND TO THIS COURSE**

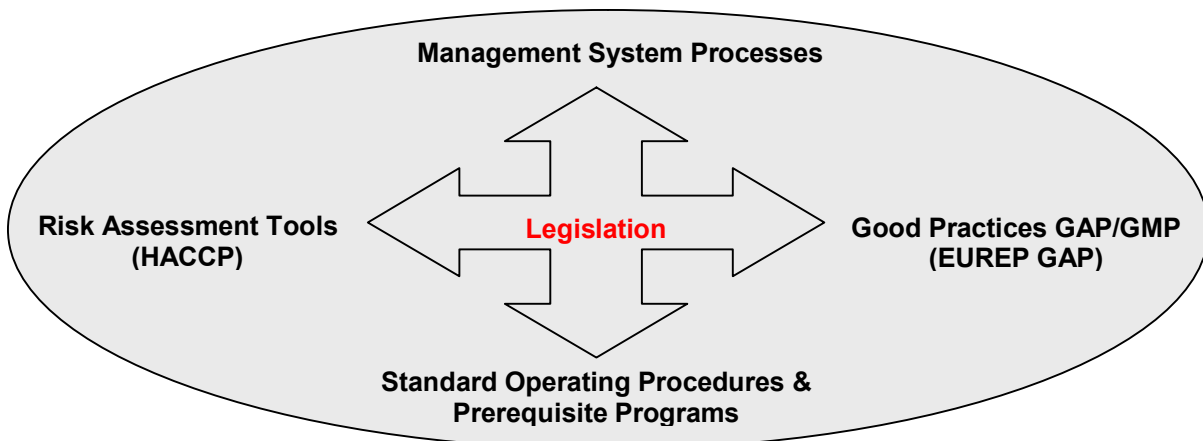
The purpose of this training course is to provide food chain professionals with the skills and knowledge necessary to audit food safety management systems. Although there is a clear, identifiable trend toward adopting a systematic approach to the regulation of food safety, there has been little commonality internationally amongst industry practices, with a great many different standards and guidance documents in use, including rating systems, point systems and a variety of management systems and management system guidelines. ISO 22000:2005 now provides the opportunity for achieving such commonality across all sectors of the food chain internationally.

There have been well-publicised problems with the previously available standards and the associated inspection and audit practices:

- The relationship between management system elements, risk assessment tools (such as HACCP) and other food safety activities has often been confused both by the organization and auditor.
- Generally across all the standards there has been an inadequate analysis of food safety issues and reliance on a checklist approach.
- Rating and point systems potentially masked deficiencies and risks.
- Many organizations report inconsistency of ongoing inspections and audits and there have often been large variations in the qualification, experience and competence of inspectors and auditors.

The differences between the approaches to the implementation and assessment of each of these earlier food safety systems based on the various standards may be large or small, but there has been a real need for international agreement on equivalence of available standards or the adoption of a single standard. ISO has recognized this and responded, and there is now the international food safety management system standard: ISO 22000:2005 (*Food safety management systems – Requirements for any organization in the food chain*). ISO 15161:2002 (*Guidelines for the implementation of ISO 9001:2000 for the food and drink industry*) provides useful direction for organizations in the food industry who, in addition to ISO 22000:2005, wish to operate a quality management system to ISO 9001:2000. The food safety management system auditor’s task is a complex one, with audit activity having to take into account many different levels of practices and procedures that support food safety, compliance to food safety legislation and other food safety requirements throughout the whole food chain. Whatever is actually in place within an organization, there is a need to recognize that food safety priorities must form the focus of the audit process. For many this will mean a transition from, inspection-focussed practice and require the development of new protocols for food safety management system audits, taking into consideration the auditing standard (ISO 19011), which outlines a staged audit process.

This course is based on ISO 22000:2005 and ISO 19011, and audit activity of a food safety management system will require the auditor or audit team to recognise a wide variety of system components (i.e. a combination of a management system, risk assessment and control methodology and a variety of industry good practice and standard operating procedures that comprise the food safety management system). We have depicted this requirement for the audit of **safety, legality and system processes** graphically below and reflected it in these course criteria.



## 1. INTRODUCTION

- 1.1 We, the International Register of Certificated Auditors (IRCA), in association with the Food Safety Standards Authority of Ireland (FSAI), have developed this document to help you, the Training Organization, achieve certification of an IRCA/2019 **Food Safety Management Systems (FSMS) Auditor/Lead Auditor** training course.
- 1.2 Before designing an *FSMS Auditor/Lead Auditor* training course to meet the requirements of this document you should consider the following:
- 1.2.1 **Aim of this course.** ISO 22000:2005 provides industry with a standard for managing and reducing the risks to health resulting from operations across the food chain. The principal aim of this course is to help students with a food industry background to assess the adequacy of the design, implementation and improvement of a food industry organization's food safety management system against ISO 22000:2005 in accordance with ISO 19011.
- 1.2.2 **Auditor certification.** Students who successfully complete this *FSMS Auditor/Lead Auditor* training course certified by IRCA (within the three years prior to making an application to become a certificated auditor) will satisfy the training requirements for initial certification as an IRCA *Food Safety Auditor* (IRCA/902).
- 1.2.3 **Food Safety Standards.** The focus of this course must be on evaluating the effectiveness of a FSMS through interpretation of ISO 22000:2005 in the context of the scope of an organization's management arrangements, its legislative framework and the significant hazards of its operational processes. We understand that there are a variety of food safety management system specifications in existence, such as the Irish Standard I.S. 343:2000. If you wish to base your course on an alternative specification, this will need to be approved by us in advance of any presentations.
- 1.2.4 **Flexibility in course design:** These criteria specify the requirements for training courses including the knowledge and skills to be covered during the course. Your training course must be designed and delivered in accordance with these criteria, although you may exercise flexibility in the inclusion of additional material, and in the structure and selection of specific training methods used during the course. Many additional certification requirements common to the management and control of courses are detailed in IRCA/2000, *Requirements for training organization approval*.
- 1.2.5 **Training methods.** This course may be designed to be presented in a variety of ways:
- Classroom-based over 5 days full-time (i.e. over five consecutive working days).
  - Classroom-based as a series of part-time modules over a longer period.
  - Blended as a combination of self-study (i.e. e-learning course, correspondence course etc) and classroom-based learning.

**Training vs Assessment.** There must be two distinct aspects to courses based on these criteria:

- Effective training to help students develop the knowledge and skills defined in this document.
- Effective assessment of each individual student's achievement of the learning objectives through objective testing based on defined outputs.

## 2. PRIOR KNOWLEDGE REQUIREMENT

- 2.1 This course is designed for experienced food safety professionals seeking an understanding of the management systems approach to food safety and the skills required to audit effectively against food safety management systems standards. It is not intended to be an implementer's course, or one that will create an expert in food safety legislation, or one that will train to an acceptable level a student with no prior knowledge of the standard or of the food industry. Therefore, prior to attending this training course students must:
- 2.1.1 Have experience of working within the food-chain (refer ISO 22000 Figure 1), preferably with an understanding of implementing or operating a management system.
  - 2.1.2 Have an understanding of relevant key food safety legislation (this may be specific to their food industry context and location).
  - 2.1.3 Have an understanding of prerequisite programmes.
  - 2.1.4 Have an understanding of Good Practice guides for Agriculture (GAP), Veterinary (GVP), Manufacturing (GMP), Hygiene (GHP), Production (GPP), Distribution (GDP) and/or Trading (GTP) depending on the segment of the food chain in which the student operates.
  - 2.1.5 Have an understanding of the principles of HACCP as defined by the Codex Alimentarius.
- 2.2 You must inform prospective students of the required pre-course knowledge and provide clear guidance for tutors, who find that they have students lacking this prior knowledge, to ensure that this does not adversely affect other students' learning on this course.
- 2.3 Before accepting students for this course you must notify them in writing that prospective students who are existing qualified QMS, EMS or OH&SMS auditors and have relevant experience in and knowledge of food safety management may find the 3-day IRCA/2090 *FSMS Auditor Conversion* training course more appropriate.
- 2.4 If the course design limits the coverage of segment(s) of the food chain to specific areas, prospective students must be informed of these limitations.

## 3. LEARNING OBJECTIVES

- 3.1 Learning Objectives describe in outline what successful students will know and be able to do by the end of the course. By the end of the course students will be able to:

### **Knowledge:**

- 3.1.1 Describe the fundamental purpose of a food safety management system as well as the principles, processes and techniques used for the assessment and management of food safety hazards, including the significance of these for FSMS auditors (see 4.1).
- 3.1.2 Explain the purpose, content and interrelationship of the following: management system standards; ISO 22000:2005, the ISO 9000:2000 series; guidance documents (ISO 15161:2002); industry practice; standard operating procedures; and the legislative framework relevant to a FSMS (see 4.2).
- 3.1.3 Explain the role of an auditor to plan, conduct, report and follow up and food safety management systems audit in accordance with 19011 (see 4.3).

**Skills:**

- 3.1.4 Interpret the requirements of ISO 22000:2005 in the context of an audit an organization's FSMS (see 4.4), with particular reference to:
- The effectiveness of the organization's management of risk through its food safety risk assessment and control planning.
  - The capability of an organization to maintain and exceed compliance with legislative requirements.
  - The adequacy of the organization's emergency preparedness and response.
  - The implementation of operational risk control, monitoring and measurement.
  - The continuous improvement of food safety management system performance.
- 3.1.5 Plan, conduct, report and follow up a food safety management system audit in accordance with ISO 19011 (see 4.5).

**4. ENABLING OBJECTIVES – KNOWLEDGE & SKILLS**

In order for students to achieve the overall Learning Objectives, they will need to acquire and develop specific **knowledge** and **skills**. These are specified below as Enabling Objectives and can be considered as steps to the achievement of Learning Objectives.

**4.1 Describe the fundamental purpose of a food safety management system and explain the principles, processes and techniques used for the assessment and management of food safety hazards, including the significance of these for FSMS auditors.**

**Knowledge** (note: much of 4.1.2 is included in the required pre-knowledge so your course may include only a brief revision and overview of the food safety related topics.)

- 4.1.1 Describe the purpose and business benefits of a food safety management system which includes managing and reducing risk.
- 4.1.2 Describe background and general food safety issues, including:
- a. The concept of food safety risk management as a strategic business driver.
  - b. The historical and social aspects of public health and food safety provision.
  - c. International frameworks and protocols for the safe provision of foods.
  - d. General food microbiology and hygienic food practices.
  - e. The typical hazards associated with the full range of food products from primary production to consumption.
  - f. The application of food safety management principles and relevant management tools and techniques.

- 4.2 **Explain the purpose, content and interrelationship of the following: management system standards: ISO 22000:2005, the ISO 9000:2000 series; guidance documents (ISO 15161:2002); industry practice; standard operating procedures; and the legislative framework relevant to a FSMS.**

**Knowledge**

- 4.2.1 Explain the purpose and intent of ISO 22000:2005, and how it interrelates with ISO 9001:2000 and ISO 15161:2002, distinguishing between guidance and requirements.
- 4.2.2 With regard to ISO 22000:2005:
- a. Explain the principles of food safety risk management using HACCP and verification planning, and the application of the Plan, Do, Check, Act (PDCA) cycle to food safety management.
  - b. Explain the structure, intent and requirements of each clause of ISO 22000:2005.
  - c. Explain the benefits of documenting a food safety management system and suggest approaches for doing so in a variety of situations.
  - d. Explain the difference between legal compliance and conformance with ISO standards, including the significance of these terms when conducting audits.
- 4.2.3 Outline other applicable food safety management standards and guidance.
- 4.2.4 Outline the framework of relevant regional, national and local legislation, codes of practice etc., and the interaction between the food organization and the relevant authorities.

- 4.3 **Explain the role of an auditor to plan, conduct, report and follow up an audit in accordance with ISO 19011.**

**Knowledge**

- 4.3.1 Describe the structure of the FSMS certification industry, including:
- a) The differences and commonality in the purpose, scope and conduct of 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> party and regulatory audits.
  - b) The International Accreditation Forum interpretations and guidelines for 3rd party Certification Bodies (Registrars) including the two-stage approach.
  - c) The system of accredited certification (registration), including the functions of the Accreditation Bodies and Certification Bodies (Registrars).
  - d) The existence of private schemes and their differences in content and operation as prescribed by the scheme owners (e.g. BRC, EUREPGAP).
  - e) The role of IRCA in the approval of training courses and certification of auditors, including an outline of the IRCA FSMS auditor certification requirements as defined in IRCA/902, *Certification Requirements for Food Safety Management Systems Professionals*.

4.3.2 Describe the role of the auditor, including:

- a) The roles and responsibilities of the client, auditors, lead auditors, auditees and guides in accordance with ISO 19011, including the management responsibilities of the lead auditor in managing the audit and the audit team.
- b) The need for effective communication with the auditee, for auditor confidentiality, and for auditors to be sensitive to local customs throughout the audit process.
- c) The IRCA code of conduct.

4.3.3 Describe the process of planning an audit:

- a) Describe typical forms of pre-audit contact, their purpose and when they might be appropriate.
- b) State the purpose of document review/stage one audits and describe a typical document review process and outputs.
- c) Explain the purpose and significance of the audit scope, the importance of team competency and selection of team members particularly with regard to specific process knowledge and relevant food safety regulations and legislation.
- d) Explain the use, benefits and potential limitations of a process-based checklist (or alternative), and considerations for planning an audit of an activity for which there are no documented procedures.

4.3.4 Describe the process of conducting an audit:

- a) Describe the purpose of, typical content of, and attendees typically present at audit meetings, including opening and closing meetings, audit team meetings and auditee feedback/review meetings.
- b) Explain the process of, and different methods for, gathering objective evidence during an audit, including the benefits and limitations of sampling.
- c) Explain the typical role of top management in an audit and suggest approaches for auditing top management commitment.

4.3.5 Describe the process of reporting and following up an audit:

- a) State the purpose and typical content of a non-conformity report, and describe typical systems for grading non-conformity reports, including the implications and further actions required for different grades of non-conformity.
- b) Explain the terms correction, corrective action and preventive action and describe the roles and responsibilities for taking and verifying corrective action.
- c) Identify types of objective evidence that may be required to demonstrate effective implementation of corrective and preventive action.
- d) Explain the purpose of ongoing surveillance visits.

**4.4 Interpret the requirements of ISO 22000:2005 to audit an organization's FSMS.**

**Skills**

- 4.4.1 Determine the legislative and regulatory items appropriate to specific food chain activities and the appropriate activities for an organization to maintain compliance with legislative and regulatory requirements.
- 4.4.2 Evaluate the appropriate attribution of risk to identified hazards and the effectiveness of the organization's management of risk through its food safety risk assessment and control planning.
- 4.4.3 Determine appropriate operational control(s) for specific food safety hazards and evaluate the implementation of operational risk control, monitoring and measurement.
- 4.4.4 Identify potential emergency situations for specific food chain activities and evaluate the appropriate planning and capability of an organization to respond to emergency situations.
- 4.4.5 Evaluate the capability of an organization to maintain compliance with legislative requirements.
- 4.5.5 Identify appropriate monitors and measures for the operational control of specific food safety hazards and evaluate the organization's measures of performance for management system activity.
- 4.5.6 Evaluate the continuous improvement of food safety management system performance and evaluate performance improvement.

**4.5 Plan, undertake and report an audit of a food safety management system in accordance with ISO 19011**

**Skills**

Undertake the role of an auditor and/or audit team leader to plan an audit:

- a) Identify the pre-audit information required to plan the duration and resources needed to conduct the on-site audit and write an audit scope.
- b) Prepare an on-site audit plan that is appropriate to the sequence and interaction of the organization's processes, their food safety hazards aspects, and produce a process-based audit checklist (or alternative).
- c) Perform a document review or stage one audit in order to assess whether documentation meets the requirements of ISO 22000:2005 and to determine whether adequate arrangements are in place to justify proceeding with the implementation audit.

Undertake the role of an auditor to manage and conduct an audit to evaluate an organization's effective implementation of processes, procedures and methodologies for conformance with ISO 22000:2005, including those areas described in 4.4 above:

- a) Participate in and demonstrate ability to control opening and closing meetings.

- b) Make sense of the information gathered in the context of ISO 22000:2005 and the audit organization by:
  - gaining an understanding of its food safety processes, including their purpose, inputs, outputs, controls and related performance indicators
  - selecting sufficient and relevant samples
  - reviewing appropriate documents
  - differentiating between documentation and records
  - exercising objectivity in the review of evidence collected.
- c) Demonstrate effective interpersonal skills and interview techniques through ability to:
  - build rapport with the auditee
  - use appropriate types of questions
  - listen effectively
  - make notes, use a checklist effectively and follow audit trails
  - provide feedback to the auditee
  - be sensitive to the needs and expectations of the auditee, including the local customs and culture.

Undertake the role of an auditor to report and follow up the audit:

- a) Evaluate objective evidence gathered and correctly identify conformance and non-conformance with requirements.
- b) Recognise and report positive audit findings and opportunities for improvements.
- c) Write a meaningful and accurate summary report of the audit including graded non-conformity reports based on objective evidence obtained during the course of the audit.
- d) Make recommendations for certification/supplier approval based on audit findings.
- e) Present audit findings and recommendations to the client.
- f) Evaluate proposals for corrective action and differentiate between correction, corrective and preventive action.
- g) Establish what follow-up activities will be required after the audit.

## **5. TRAINING METHODS**

- 5.1 Your course may be presented as a wholly classroom-based course or as a blended course (in other words part self-study and part classroom-based). You may also present the course as a series of separate modules, either as full-time or part-time study.

## 5.2 Classroom-based training

- 5.2.1 You must provide for students **an environment conducive to effective learning**. At the beginning of the course you must provide the students with a description of the learning objectives, course structure, format and programme, student responsibilities and the assessment processes and assessment criteria, and you must deal with any concerns or worries that students may have.
- 5.2.2 Your course must be based on a clear **learning cycle** (see guidance in Appendix 1) and include opportunities for students to:
- Experience new ideas and skills. (Note that tutor-led slide presentations as a sole method to help students learn new knowledge is not acceptable).
  - Reflect on their learning and identify strengths and weaknesses. (Note that your course must include methods for monitoring and providing time for tutors and students to review tasks and activities and each student's achievement of the learning objectives).
  - Address and improve on areas of weakness. (Note that your course must include provision for review and remedial work, and individual coaching, where necessary.)
- 5.2.3 Your course must include a **variety of learning methods** to suit the range of learning styles (see guidance in Appendix 1).
- 5.2.4 Your course must not rely on tutor presentations and tutor-led discussions to teach **knowledge-based learning objectives**. We expect to see students learning these elements mostly through a process that requires students to complete a task or activities, often in teams, and to produce a defined output.
- 5.2.5 All students must practise the **skill-based learning objectives** of the course (learning objectives 3.1.4 and 3.1.5) through participation in appropriate tasks and activities (role play, simulation etc).
- 5.2.6 Timekeeping, planning and programme management are essential elements in the performance of an audit and, although we recognise that effective training is responsive to students' needs, deviations from the timetable must be managed so that all learning objectives are adequately covered and students are kept informed of significant changes to the programme.
- 5.2.7 You must submit **session plans** or tutor notes for each individual training session. Session plans must specify:
- learning objectives and duration for the session
  - nature of the activity and training method to be used
  - organizational arrangements, tutor and student briefing details
  - deliverables required from students for practical sessions
  - materials, exercises and equipment required to run the session
  - where training methods or use of exercises etc. are optional, this must be clearly indicated in session plans.

Note: The format of your session plans will depend on your approach to tutor competence and the size and complexity of your organization. Medium and high complexity training organizations (see IRCA/3000 appendix) will require more comprehensive tutor notes to ensure that training in new and amended materials is controlled and effective.

- 5.3 **Blended courses** (a combination of self-study, including electronic media, and classroom based learning)
- 5.3.1 Only knowledge-based learning objectives 3.1.1, 3.1.2 and 3.1.3 may be covered by self-study methods.
- 5.3.2 Learning objectives 3.1.4 and 3.1.5 (auditing skills) must be completed in a classroom environment in terms of practice and student assessment. See clause 5.2 of this document for requirements for the classroom element of blended learning courses.
- 5.3.3 Training methods selected should seek to involve and engage students throughout the duration of the course. Simply providing students with a set of reading materials will not be acceptable. Your self-study materials must be designed around a clearly structured learning process with:
- Theory.
  - Examples (scenarios, case studies etc).
  - Practice (activities, case studies, progress tests etc).
  - Feedback/self-assessment on activities and tests where relevant, to ensure students can self-assess their understanding and achievement of the learning objectives and identify any areas requiring further work.
- 5.3.4 Self-study course materials must be clearly presented and structured for ease of use, with appropriate navigational aids. You must make the following clear to students to help them manage their learning:
- The learning objectives for the overall self-study element of the course.
  - The learning objectives for each section within the course.
  - How the self-study element of the course links with the classroom component
  - The structure and suggested or intended sequence of the materials.
  - Instructions for the students' use of the materials, including realistic timescales
  - Examples of typical documents, reports, forms etc.
  - How, when and how often students may contact tutors for help, guidance and feedback.
  - Methods for students to assess their learning and to seek timely feedback and coaching from the tutor(s).
- 5.3.5 You must ensure that each student has timely access to a course tutor to answer questions and queries.

Note: as a guide, a response to communications from students within 24 hours would be acceptable.

## 6. COURSE CONTENT

- 6.1 At the beginning of the course you must provide the students with a description of the Learning Objectives, course structure, format and programme, student responsibilities and the assessment processes and assessment criteria.
- 6.2 The course must cover:
  - 6.2.1 All aspects defined in Clause 3 Learning Objectives and amplified in Clause 4 Enabling Objectives.
  - 6.2.2 Local requirements, culture, practices or approaches to auditing and the application of ISO 22000:2005, and food safety requirements/legislation appropriate for each country in which the course is presented. You must demonstrate that your course meets this requirement for each national/regional context in which it is presented.
- 6.3 The course must cover the benefits of certification as an IRCA FSMS auditor, including brief details of the IRCA *Food Safety Auditor* certification scheme (IRCA/902), and provide students with details of how to contact IRCA and apply for certification. You must use IRCA/190 and IRCA/167 (or equivalents) for this.

## 7. COURSE DURATION

### 7.1 Classroom-based learning

- 7.1.1 Where the course is wholly classroom-based, the total course must be at least 40 hours, calculated as detailed in IRCA/2000.
- 7.1.2 This course may be presented over a minimum of 5 consecutive days full-time or on a part-time (modular) basis over a maximum of 8 weeks.

Note: although not mandatory, we recommend that this course be residential if presented over 5 consecutive days.

### 7.2 Blended learning

- 7.2.1 Elements of the courses that are delivered through self-study will allow students three times longer than classroom training (i.e. approximately 80 hours for learning objectives 3.1.1 – 3.1.3).
- 7.2.2 The classroom element (i.e. the skills learning objectives 3.1.4 and 3.1.5 as a minimum) must be timed to allow each student to practise and be assessed on the skills learning objective. The amount of time given to this classroom element will depend on the learning objectives being covered, however normally 60% (or 3 days, or 24 hours gross as calculated in IRCA/2000) duration will be devoted to classroom-based learning and assessment. Courses with a reduction in classroom time may be allowed if agreed in advance with IRCA. See the Appendix for guidance for instances where reduced classroom time may be allowed.
- 7.2.3 Each student must complete the both the self-study and the classroom part of the training course in no more than 90 days.

- 7.2.4 Students must complete each element of blended courses in the correct sequence. For example, for courses designed with a self-study element that is to be followed by a classroom element, you must ensure that students who do not complete the self-study element of the course are not accepted onto the classroom-based element. You must have a process for recording and validating each student's completion of each element of blended courses to ensure students complete the course in the correct order.

### 7.3 **Translators**

- 7.3.1 If the course is given through translators, the time must be increased as necessary to satisfy the learning objectives.

## 8. **TUTORS & STUDENTS**

### 8.1 **Classroom-based learning**

- 8.1.1 The number of students per course shall not exceed 20, or be less than 4.
- 8.1.2 Where the number of students is 11 to 20 inclusive, the course must be run with two designated tutors, both of whom shall be present for the full duration of the course. At least one tutor shall satisfy the requirements for a lead tutor as stated in IRCA/2000.
- 8.1.3 Where the number of students is 4 to 10 inclusive, the course may be run with one designated tutor, who shall be present for the full duration of the course. That tutor shall satisfy the requirements for a lead tutor.
- 8.1.4 Where additional tutors, including trainee tutors and specialists are used the two tutors remain responsible for the entire presentation.

### 8.2 **Self-study based learning**

- 8.2.1 Tutors who provide educational support on self-study elements of blended learning must be competent to operate any media required.

### 8.3 **All courses.** Tutors for this course must demonstrate competence in key attributes:

- 8.3.1 Competence in Training; by satisfying the Tutor or Lead Tutor requirements as appropriate (see IRCA/2000).
- 8.3.2 Competence in Auditing against ISO 9001 in a food industry context; by demonstrating auditing competence as a currently certified FSMS Lead Auditor for Lead Tutors (or FSMS Auditor for Tutors) as described in IRCA/902 or meeting the requirements for such certification.
- 8.3.3 Competence to deliver training **and** student assessment on your specific course.
- 8.3.4 Knowledge of the specific local regulatory requirements in which the course is presented, or have a local expert attending at the necessary times.

## 9. VARIATIONS

- 9.1 We will consider requests for variations to any of these criteria, or in respect of any special circumstances. In this situation you should submit a **written** request to us immediately the requirement for the variation becomes apparent.
- 9.2 We will consider the following when evaluating any request for variation:
  - 9.2.1 Reasons for the requested variation.
  - 9.2.2 Proposed modifications to the training.
  - 9.2.3 The impact on the learning and assessment processes and how this will be managed.

## 10. Student Assessment & Examination

We regard the assessment and examination of students to be a very important part of this course.

- 10.1 **Successful Completion:** in order to satisfactorily complete the course each student must:
  - 10.1.1 Complete all elements of the course.
  - 10.1.2 Pass the Continuous Assessment (focused on the 5 Learning Objectives).
  - 10.1.3 Pass the Written Examination (focused on the 5 Learning Objectives).
- 10.2 **Conduct and management of continuous assessment**
  - 10.2.1 Students must demonstrate acceptable levels of performance in the Learning Objectives. During the course you must test each student's achievement of the Learning Objectives. These tests must be based on practical tasks and activities with defined outputs that students must produce.
  - 10.2.2 You must provide tutors with model outputs and a marking scheme/guidance to assess each student's performance and outputs (see appendix).
  - 10.2.3 Tutors must provide students with feedback on their performance.
  - 10.2.4 Tutors must provide further help and guidance to students who do not initially achieve elements of the Learning Objectives. They must provide these students with an opportunity to complete further tasks to demonstrate competence.
  - 10.2.5 Each student's achievement of the learning objectives must be recorded on his/her continuous assessment record.

Note: See appendix for guidance on continuous assessment.
- 10.3 **Conduct and Management of the FSMS Examination.**
  - 10.3.1 IRCA FSMS examinations must be conducted in accordance with the criteria set out in IRCA/2000.

10.3.2 Each training organization is free to adopt a form of presentation that suits its needs. However ALL examination papers must state on every page:

“IRCA EXAMINATION PAPER NUMBER [X]” amended for use on approved course [xxxx] operated by [TO], [the date of issue and page number].

Please insert at **X** the IRCA reference number for the paper, at **TO** the name and IRCA certification number of your training organization and at **xxxx** the IRCA certification number of your course.

10.3.3 You may modify these examinations papers as indicated below, but must not change the structure of the paper.

- a) Minor changes in the wording may be made to reflect local language differences.
- b) Changes in wording may be made to better reflect a specific context; e.g. a production or a retail application. These changes must NOT represent substantive changes to either the question or the solution.
- c) A maximum of 25% of each paper may be replaced but this must NOT change the structure of the paper.
- d) On replacing a question, you must:
  - Provide a solution and marking scheme for the alternative question.
  - Send IRCA the alternative question (identifying clearly which question it is intended to replace) and its solution for approval before it is incorporated into the IRCA examination paper.

## **11. COURSE PUBLICITY & ADVERTISING**

11.1 Your course advertising and promotional literature must not state or imply that this course satisfies more than the training requirements for certification as an IRCA FSMS auditor.

11.2 Any limitations to segment(s) of the food chain (Refer ISO 22000 Figure 1) covered by the course must be made clear on promotional and pre-course materials.

## APPENDIX: NOTES FOR GUIDANCE

### Auditing Food Safety Risk and Controls

We expect your course to test students' ability to audit an organization's food safety risk assessment of a relevant product, service and/or process and determine the appropriate controls for the specific hazards. Simple examples limited to physical/foreign object risks will not suffice and we expect to see some basic technical aspects such as chemical or microbiological hazards in the case studies and examples you select, even if this is at a simple level. Course materials should make use of typical prerequisite programmes, including plans (PRP's), and HACCP plans.

### Helping students learn new knowledge & skills - Accelerated Learning

We promote the use of accelerated learning approaches because they are more efficient, in terms of speed and depth of comprehension, and more effective, in terms of long-term retention of new knowledge. Therefore, you should employ practical tasks and activities to help students to understand new concepts and ideas. You should not rely on tutor-focused lecture/presentation to transfer new ideas and concepts.

#### 1. The Learning cycle

There is a clear link between Deming's familiar Plan-Do-Check-Act and the learning cycle:

- a. **students experience something** (e.g. complete a task to find out about the requirements of ISO 9001)
- b. **students reflect on what they did & identify what they learned and what they still don't fully understand or can't do** (e.g. feedback to compare their answers to other students' answers and / or model answers, and identify any problems)
- c. **students take action to address weak areas** (e.g. ask tutor for help or complete task/activity again or complete another task)

Ensuring that your training sessions follow this simple model will make students' learning more effective. We referenced the learning cycle described by David A Kolb in developing these criteria and you might find it useful to consider this when developing your course.

#### 2. Learning styles

We promote a variety of training methods in your course design. Different people learn in different ways so your sessions should follow the learning cycle and your course should include a variety of different learning activities to cater for all needs as far as possible. Honey and Mumford (*Learning Style Questionnaire*, Peter Honey Publications, ISBN 1 902899 07 5) provide one model for describing different learning styles that you may find useful as a basis.

#### 3. Session plans

Developing session plans is a natural part of designing learning and training processes. Session plans should be simple and easy to use working documents to help your tutors manage effective learning. For organizations with only a few tutors, outline session plans are acceptable. For larger organizations with a number of branches or subcontractors, and the consequent number and turnover of tutors, we will require more comprehensive session plans. A sample session plan is provided below.

#### 4. Continuous assessment

Continuous assessment should have a clear link between: session plans (for tutors), clear task/activity instructions with defined and measurable outputs (for students and tutors), activity marking schemes / model answers (for tutors), model answers (for students), individual student continuous assessment record (for recording student performance).

### **Blended Learning – course duration & tutor:student ratios**

We will consider courses designed with less than 60% of the course duration (as calculated in IRCA/2000) devoted to classroom activity in circumstances where, for example, there is a smaller tutor:student ratio: for example 2 tutors and a maximum of 6 students.

### **Self-Study**

We recommend that you consider the following documents when developing training based on information technology solutions:

BS 7988:2002 A Code of Practice for the use of information technology for the delivery of assessments

BS 8426:2003 A Code of Practice for e-support in e-learning systems

**Sample Session Plan**

<b>SESSION PLAN</b>		
<b>Course Title:</b> FSMS Auditor/Lead Auditor Training Course.		
<b>Session Title:</b> Preparing an audit checklist	<b>Session Number:</b> 6	<b>Duration:</b> 1 hr 30 mins.
<b>Purpose of the session:</b> To provide students with practical experience in preparing an audit checklist.		
<b>Learning Objectives:</b>		
<input type="checkbox"/> Identify documents and sources of information required to produce a checklist. <input type="checkbox"/> Produce an audit checklist to be used in audit practical later in the course.		
<b>Tutor Notes: Training Activities and Methods</b>		<b>Materials and Equipment</b>
<b>Introduction (maximum of 5 minutes)</b> Explain that this session builds on the previous session in which the preparation of an audit checklist was discussed and demonstrated. Opportunity to try it out in practice. Explain that students will be formally assessed during this session.		<b>OHP session 6 introduction view foils 6/7 to 6/9</b>
Hand out brief & talk through the exercise brief, highlighting the following points: <b>Task:</b> To prepare a checklist that will enable the students to conduct an effective, hazards-focussed and process-based audit of that area of the case study organization. <b>Process:</b> Organise the students into teams (see PLAN B for team size versus class size) If the students require further help on how to approach the exercise, highlight suggested steps that they might follow in order to accomplish the task. <b>Output:</b> Audit checklist (either on the pro-forma sheets, or using any format preferred by the students) A list of the documents and sources of information used in the preparation of the checklist. <b>Note :</b> The output from this exercise is part of the formal continual assessment, and will therefore be marked.		<ul style="list-style-type: none"> <li>• <b>Student brief: "Preparing an Audit Checklist" ref: WI06</b></li> <li>• <b>Case study document pack</b></li> </ul> <b>Flip chart process steps</b>  <b>Audit checklist pro-forma sheets</b>
<b>Run exercise (maximum of 1hour and 10 minutes)</b> Tutors to monitor teams regularly, and provide clarification, support and coaching as required.  <b>Time for exercise:</b> 5 min. to review brief, 30 min. to analyse exhibits, 30 min. to complete checklist and 5 min. to review their own output.		
<b>Feedback from exercise (maximum of 15 minutes)</b> Collect output from students Lead a brief discussion of the exercise, i.e. how they went about it, what was easy/difficult, etc. Draw out any general points observed by tutors during the exercise.		
<b>Marking exercise</b> Mark each submission in accordance with the marking scheme. Provide feedback to students on the results of the exercise and any further points for improvement at the earliest opportunity.		<b>Audit checklist marking scheme (see below)</b>

**Sample Audit Checklist Marking Scheme**

**AUDIT CHECKLIST MARKING SCHEME: SESSION 6**

Learning Objective: Plan and undertake an audit

Enabling Objectives:

Identify key food safety aspects for auditing & produce an audit checklist

<b>Criteria</b>	<b>Marks</b>
Checklist covers all areas within the scope of the audit	2 marks
Relevant ISO 22000:2005 requirements addressed	2 marks
Checklist identifies evidence to be viewed during audit	2 marks
Reference to policy/objectives and planned results included	2 marks
Logical structure for audit, picking up relevant audit trails	2 marks

Maximum 10 marks. Students must score a minimum of 6 marks to successfully complete the exercise. Students achieving less than this may be invited to re-submit.

**Sample Continuous Assessment Record (Completed)**

This example document has been designed to meet the minimum requirements of IRCA/2019 and IRCA/2000.

**PERSONAL CONTINUOUS ASSESSMENT RECORD**

Name:           **A Person**           Course dates:           **1- 5 April**          

Competence	Day 1	Day 2	Day 3	Day 4	Day 5	Overall Score
Describe the fundamental purpose of a food safety management system. <i>Tutor Comments:</i>	6					<b>6</b>
Explain the purpose, content and interrelationship of: management system standards ISO 22000:2005, the ISO 9000:2000 series; guidance documents (ISO 15161:2002). <i>Tutor Comments:</i>	4	4	5	6	6	<b>6</b>
Explain the role of an auditor to plan, conduct, report and follow up an audit in accordance with ISO 19011. <i>Tutor Comments:</i>		4	5	6/7	7	<b>7</b>
Plan an audit in accordance with ISO 19011. <i>Tutor Comments:</i>			6			<b>7</b>
Conduct an audit in accordance with ISO 19011. <i>Tutor Comments:</i>				7		<b>7</b>
Report an audit in accordance with ISO 19011. <i>Tutor Comments:</i>					7/8	<b>7</b>
Audit the adequacy of an organization's management system. <i>Tutor comments:</i>			5	6	6	<b>6</b>

Performance in each area of competence is scored from 1-10 (1-2 = unacceptable, 3-4 = poor, 5-6 = acceptable, 7-8 = good and 9-10 = excellent). To pass the course students must pass each section (i.e. score at least 6 in each section) and achieve at least 70% in the examination. Students may not be assessed on every competence area every day (greyed areas show days when formal continuous assessment for particular Learning Objectives is not time-tabled).

Tutor Signature:           **A Tutor**            
Tutor Signature:           **B Tutor**          

Date:           **5 April**            
Date:           **5 April**