



Highfield

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Qualification Specification

Level 3 Award in Effective Auditing and Inspection Skills

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HABC Level 3 Award in Effective Auditing and Inspection Skills

Introduction

This Qualification Specification document is designed to outline all you need to know in order to offer this qualification in your Centre. If you have any further questions, please contact your account manager.

Qualification Details

The HABC Level 3 Award in Effective Auditing and Inspection Skills is a National Award written and accredited by HABC.

This qualification is outside of the QCF, however, it could be used as prior knowledge to enrol onto a QCF qualification in the future.

Key facts

- **Qualification Number** This is a non-accredited qualification
- **Guided learning hours (GLH)** 9
- **Assessment Method** Multiple-choice examination

Qualification Overview

The Level 3 Award in Effective Auditing and Inspection Skills is a qualification aimed at supervisors, team leaders and line managers working in all sectors of the food industry, consumer products, hospitals and other industries where verification, auditing or inspection is undertaken.

Learners who gain this qualification will know and be able to apply the knowledge relating to the role of the auditor in carrying out effective audits or inspections: including the purpose of audits/inspections, benefits and limitations, the auditing/inspection cycle, check lists, data gathering, analysis and interpretation and reports.

Entry Guidance

There are no prerequisites for this qualification. However, it is recommended that candidates have suitable technical knowledge of the relevant practices and procedures which will be subject to audit/inspection. E.g. Level 3 Food Safety/HACCP qualification.

It is advised that learners have a minimum of Level 2 in literacy or numeracy or equivalent.

This qualification is approved for delivery to those aged 16 and over.

Geographical Coverage

The qualification is suitable for learners in England, Wales or Northern Ireland.

Special Needs

HABC have measures in place for learners with special needs. Please see the Reasonable Adjustments Policy, Annex 17 of the HABC Core Manual.

This qualification is made up of one unit, the details of which are included at the end of this document.

Qualification Structure

Learners must successfully complete the assessment for the unit to achieve the qualification.

The qualification can be taken as a free standing qualification or as part of a wider programme of training.

How the qualification is assessed

This qualification is assessed through a 30-question multiple-choice question examination. The duration of the examination is 1 hour.

Successful learners must achieve a score of at least 20 out of 30. Learners will achieve a Merit if they achieve 25 out of 30.

Following the assessment, a list of results will be provided to the Centre Contacts stating whether learners have passed or failed. Certificates for successful learners will be dispatched for distribution by the Centre Contacts.

Progression

Progression and further learning routes include:

- Level 4 Award in Food Safety in Catering/Manufacturing
- Food Safety competency based qualifications (NVQs/Apprenticeships)

Nominated Tutor Requirements

HABC require that Nominated Tutors have teaching experience and hold a qualification in the relevant subject area.

It is recommended that nominated tutors should have a minimum of a Level 4 Food Safety in Catering qualification from a recognised awarding body together with a training qualification.

Suitable Subject Area Qualifications may include:

- Degree of Dip.HE in a related subject such as:
 - Food Science
 - Environmental Health
 - Home Economics
 - Microbiology
 - or one that contains elements of these subjects
- HNC/D in a related subject (as outlined above);
- Level 3 qualification in Food Safety or equivalent;
- Graduate Diploma in Food Science and Technology of the Institute of Food Science and Technology;
- Or, any other HABC approved qualification

Suitable Teaching Qualifications include:

- HABC Level 3 Award in Delivering Training
- Level 3 or 4 PTLLS or above
- Diploma or Certificate in Education

- Bachelors or Masters Degree in Education
- City and Guilds Teachers Certificate or equivalent
- Level 3 or 4 NVQ in Training and/or Development
- Proof of at least 30 hours of training in any subject

Nominated Tutors should also be able to demonstrate relevant experience and knowledge in a work context and provide evidence of engagement with the subject field and continuing professional development.

ID Requirements

All learners must be instructed to bring photographic identification to the assessment to be checked by the invigilator/assessor. This instruction should be given ahead of the course/assessment when the learner registers and/or with any pre-course materials.

It is the responsibility of the Centre to have systems in place to ensure that the person taking an examination/assessment is indeed the person they are purporting to be. All Centres are therefore required to ensure that each learner's photographic identification is checked before they are allowed to undertake the examination/assessment and write the type of photo identification provided by each learner on the Candidate List under "Identification Provided". HABC will accept the following as proof of a learner's identity:

- Valid Passport (any nationality)
- Signed UK Photo card Driving Licence
- Valid Warrant Card issued by HM Forces, Police
- Other photographic ID card, e.g. Employee ID Card (must be current employer), Student ID Card, Travel card.

For more information on learner ID requirements, please refer to Annex 26: Invigilation Instructions.

Key Skills

This qualification provides the opportunity for learners to develop competence in key skills and produce evidence towards attaining key skills. The qualification does not ensure key skills are met as this would depend upon learners producing a portfolio of evidence and the mode of study adopted.

Useful Websites

<http://www.food.gov.uk/>

Recommended Training Materials

Supervising Food Safety (Level 3), Sprenger, R.A. Highfield.co.uk Ltd
Intermediate HACCP (Level 3), Wallace, C.A. Highfield.co.uk Ltd

Summary of Learning Outcomes:

Types of Audits and Inspection

1. Candidates will be able to explain audit/inspection terminology, by being able to:
 - 1.1 Interpret the terms: Audit, Inspection, Standards, 1st party audit, 2nd party audit, 3rd party audit, full audit, partial audit and superficial audit
 - 1.2 Provide examples of different types of standards used for auditing
 - 1.3 Explain how to construct a “model” against which to inspect
 - 1.4 Outline the prerequisites, purpose, benefits and limitations of audits/inspections
 - 1.5 Describe the bases for audits/inspections
 - 1.6 Identify the type of equipment that may be used by an auditor/inspector.

2. Candidates must be able to explain the need for a systematic approach to auditing and the need to plan effectively by being able to:
 - 2.1 Explain the importance of planning and preparation to ensure an effective audit/inspection
 - 2.2 Distinguish between the terms audit scope and depth
 - 2.3 Evaluate the competencies required by an auditor/inspector, including characteristics, knowledge, experience and people skills
 - 2.4 Evaluate how the conduct and characteristics of an inspector/auditor can affect an audit/inspection
 - 2.5 Clarify how the frequency of inspections/audits is related to risk
 - 2.6 Describe the need to consider the timing of the inspection/audit
 - 2.7 Compare the advantages and disadvantages of checklists
 - 2.8 Construct a simple audit checklist.

The Inspection Process

3. Candidates must explain the stages involved in the inspection process by being able to:
 - 3.1 Explain the auditing/inspection cycle and the purpose of the opening meeting
 - 3.2 List equipment likely to be used when auditing/inspecting
 - 3.3 Explain the importance of accurate and comprehensive data collection
 - 3.4 Differentiate between types of data collection techniques which may be used during audit/inspection
 - 3.5 Interpret different types of observation techniques by providing examples of when each may be most effectively used

- 3.6 Clarify the types of questions available, including when they should be used and those which shouldn't be used. Distinguish between 'look at' and 'look for'
- 3.7 Explain the terms simulation, intervention, reconstruction, measurement, triangulation and verification in the context of audit/inspection
- 3.8 Explain the importance of science and using evidence to support claims
- 3.9 Explain the information required for a closing meeting
- 3.10 Evaluate the purpose of a closing meeting including agreeing timeframes for remedial action
- 3.11 Describe the importance of a re-visit
- 3.12 Outline factors which could result in inspection failure.

Analysis and Report Writing

4. Candidates must be able to apply analysis techniques by being able to:
 - 4.1 Explain the importance of converting raw data into coherent facts by grouping similar items, determining sources of problems, assessing the context and looking for permanent solutions
 - 4.2 Interpret a variety of audit/inspection indicators
 - 4.3 Diagnose causes and effects
 - 4.4 Discriminate between different types of non compliances
 - 4.5 Explain the purpose and content of a report
 - 4.6 Summarise examples of report content, style and presentation.