



Australian Government

Department of Education, Employment and Workplace Relations

SFIEMS401B Conduct an internal audit of an environmental management system

Release: 1

SFIEMS401B Conduct an internal audit of an environmental management system

Modification History

Not Applicable

Unit Descriptor

Unit descriptor	This unit of competency involves preparing for, carrying out and documenting an internal audit of an environmental management system by a supervisor. No licensing, legislative, regulatory or certification requirements apply to this unit at the time of publication.
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Application of the Unit

Application of the unit	This unit addresses the knowledge, processes and techniques necessary to conduct internal audits of environmental management systems in the seafood industry. The systems may be to a third-party certification or stewardship standard, but this is not essential. The environmental management system may be enterprise-based or it may be a system developed by a common interest group, for example, oyster growers within an estuary or a fishers' cooperative. The internal audit also covers the implementation of identified corrective action and opportunities for improving and monitoring their effectiveness. Specialist technical expertise may be required to analyse and interpret monitoring data. All enterprise or workplace procedures and activities are carried out according to <i>relevant government regulations, licensing and other compliance requirements</i>. Equipment operation, maintenance, repairs and calibrations are undertaken in a safe manner that conforms to manufacturer instructions. Appropriate <i>personal protective equipment (PPE)</i> is selected, checked, used and maintained.
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Licensing/Regulatory Information

Refer to Unit Descriptor

Pre-Requisites

Prerequisite units		

Employability Skills Information

Employability skills	This unit contains employability skills.
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Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.	Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.
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Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Prepare for an internal audit	1.1. The scope of the planned audit is determined and requirements are detailed. 1.2. Procedures to be audited are identified and relevant documentation collected. 1.3. Relevant personnel are briefed, and roles and responsibilities allocated. 1.4. A detailed audit plan is developed in consultation with relevant personnel. 1.5. A checklist to identify conformance and non-conformance is developed.
2. Conduct the internal audit	2.1. The components of the environmental management system and work area to be audited are selected. 2.2. Continuous improvement and ownership of the audit process are maximised by collaborating with relevant personnel. 2.3. Sufficient evidence is collected to identify non-conforming aspects of the environmental management system. 2.4. Evidence is analysed using improvement tools to identify suitable corrective actions.
3. Report findings	3.1. The internal audit is reported as directed in the audit plan. 3.2. Findings from the audit process are documented in the required format. 3.3. Recommendations for corrective actions are presented. 3.4. Strategies are provided for the implementation of the corrective actions.
4. Complete corrective actions	4.1. Relevant personnel are consulted regarding the necessary strategies to improve the environmental management system. 4.2. An action plan is developed and implemented to improve the environmental management system. 4.3. The effectiveness of the corrective action is evaluated and reported after an agreed time interval. 4.4. Relevant documentation is recorded and stored appropriately for future access.

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

This section describes the skills and knowledge required for this unit.

Required skills

- analysing monitoring data
- developing and documenting an audit plan, action plan and conformance/non-conformance checklist
- documenting and reporting on findings
- interpreting environmental management system documentation
- interpreting relevant national and international standards and codes of practice
- presenting recommendations.

Required knowledge

- audit processes
- continuous improvement processes
- enterprise or cooperative environmental management system
- national or international environmental standards and protocols relevant to the audit
- organisational structure of the enterprise or common interest group, including responsibilities and delegated authority of key personnel
- problem-solving techniques that identify causes of non-conformance and options to remedy problems
- relevant health, safety and environment requirements
- reporting requirements of the workplace or common interest group.

Evidence Guide

EVIDENCE GUIDE	
The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.	
Overview of assessment	
Critical aspects for assessment evidence required to demonstrate competence in this unit	Assessment must confirm the ability to: • undertake internal audits of an environmental management system. Assessment must confirm knowledge of: • application of audit principles • approaches to continuous improvement • approaches to planning.
Context of and specific resources for assessment	Assessment is to be conducted in a work environment, or simulated environment. The candidate must undertake several internal audits (an audit can address one or more components of the environmental management system). Resources for assessment may include: • access to personnel who have a role and responsibility in implementing and/or monitoring the effectiveness of the environmental management system • documentation relevant to the audit.
Method of assessment	The following assessment methods are suggested: • demonstrating the application of continuous improvement processes • planning, conducting and reporting of an internal audit of an environmental management system.
Guidance information for assessment	This unit may be assessed holistically with other units within a qualification.

Range Statement

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. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

<i>Relevant government regulations, licensing and other compliance requirements</i> may include:	• biodiversity and genetically modified organisms • biosecurity, translocation and quarantine • Australian Quarantine Inspection Service (AQIS) and other import requirements • business or workplace operations, policies and practices • correct marketing names and labelling • ecologically sustainable development (ESD) principles, environmental hazard identification, risk assessment and control • fisheries or aquaculture regulations, permits and licences • food safety, Hazard Analysis Critical Control Point (HACCP), hygiene and temperature control along chain of custody • health and welfare of aquatic animals • Indigenous land rights and cultural activities, including fishing by traditional methods • maritime and occupational diving operations, safety at sea and pollution control • occupational health and safety (OHS) hazard identification, risk assessment and control.
<i>PPE</i> may include	• buoyancy vest or personal floatation device (PFD) • gloves, mitts or gauntlets, and protective hand and arm covering • hard hat or protective head covering • hearing protection (e.g. ear plugs and ear muffs) • insulated protective clothing for freezers or chillers and refrigeration units • non-slip and waterproof boots (gumboots) or other safety footwear • personal locator beacon or Emergency Position Indicating Radio Beacon (EPIRB)

RANGE STATEMENT

- protective eyewear, glasses and face mask
- protective hair, beard and boot covers
- protective outdoor clothing for tropical conditions
- respirator or face mask
- safety harness
- sun protection (e.g. sun hat, sunscreen and sunglasses)
- uniforms, overalls or protective clothing (e.g. mesh and waterproof aprons)
- waterproof clothing (e.g. wet weather gear and waders).

RANGE STATEMENT	
The scope may include:	• control of customer supplied product • document and data control • external controls • process control • product identification and traceability • public resources, such as fish stocks and water • purchasing procedures • responsibilities of personnel within the enterprise or common interest group • servicing of vessels, vehicles, machinery and equipment • training • waste control • water quality control.
Relevant documentation may include:	• any documentation related to the environmental management elements being audited • certification documentation from clients and suppliers • community feedback • environmental management system plan and procedures • material and equipment specifications • monitoring records • training records.
Environmental management system may address the requirements of:	• federal, state and territory environmental legislation, such as: • Environment Protection and Biodiversity Conservation Act 1999 • Environment Protection and Biodiversity Conservation Regulations 2000 • state and territory environmental protection authorities and agencies • International Convention for the Prevention of Pollution from Ships (MARPOL) • local government by-laws and regulations, including regional land and water management plans • state and territory OHS legislation and regulations • third-party standards, such as the ISO 14000 series and those of the Marine Stewardship

RANGE STATEMENT	
	Council.
Work area may be within:	- all or selected enterprises operating under a communal environmental management system - an enterprise.
Relevant personnel may include:	managers, customers, suppliers, general public, state or federal fisheries management and environmental protection officers, and other personnel with environmental management responsibilities.
Improvement tools may include:	- cause and effect diagrams - ESD frameworks and guidelines - process and capability mapping.
Reported may involve:	- data entry into enterprise or cooperative group databases - judgement and recommendations - presentations - verbal responses - written reports.
Documentation may include:	- audit documents - enterprise or common interest group environmental management system plans - environmental certification or registration requirements - safety precautions, standard operating procedures and work instructions.

Unit Sector(s)

Unit sector	Environment and sustainability
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Co-requisite units

Co-requisite units	

Competency field

Competency field	
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