



Australian Government

Department of Education, Employment and Workplace Relations

SFIPROC407C Conduct internal food safety audits

Release: 1

SFIPROC407C Conduct internal food safety audits

Modification History

Not Applicable

Unit Descriptor

Unit descriptor	This competency involves conducting internal audits against the food safety standards. Licensing, legislative, regulatory or certification requirements may apply to this unit. Therefore it will be necessary to check with the relevant state or territory regulators for current licensing, legislative or regulatory requirements before undertaking this unit.
------------------------	---

Application of the Unit

Application of the unit	This unit supports the implementation of national and state or territory food safety legislation and regulations but does not preclude any requirement for external second or third-party auditing processes, or audit requirements in respect of the Food Business Classification System. All enterprise or workplace procedures and activities are carried out according to <i>relevant government regulations, licensing and other compliance requirements, including occupational health and safety (OHS) guidelines, food safety and hygiene regulations and procedures and ecologically sustainable development (ESD) principles.</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.
--------------------------------	---

Licensing/Regulatory Information

Refer to Unit Descriptor

Pre-Requisites

Prerequisite units		

Employability Skills Information

Employability skills	This unit contains employability skills.
-----------------------------	--

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.
---	--

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Plan for food safety internal audits	1.1. Information and resources required to conduct the audit are identified and located. 1.2. An audit plan is developed to meet internal audit scope.
2. Conduct food safety audits	2.1. Information is collected that is adequate, representative and meets audit requirements/scope. 2.2. Information is analysed to assess appropriate application of the food safety program. 2.3. Records are reviewed to assess compliance with the food safety program. 2.4. Interviews are conducted on the operation of the food safety program with people who have specific tasks outlined in the program. 2.5. Compliance with the food safety program is observed and an assessment given. 2.6. Premises and transport vehicles are inspected, as required, to confirm that they meet the design and construction requirements set out by food safety legislation. 2.7. Areas requiring corrective action are identified and recorded.
3. Report and follow up audit outcomes	3.1. Situations presenting an imminent and serious risk to the safety of food are reported according to legislative requirements. 3.2. Audit reports are prepared to address audit scope requirements. 3.3. The results of the audit are communicated within the food business and to regulatory agencies as required by legislation. 3.4. Areas requiring corrective action are acknowledged by the food business. 3.5. A corrective action plan is developed, reported and agreed. 3.6. Implementation of corrective action as set out in the corrective action plan is confirmed.

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

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

Required skills

- applying appropriate questioning, observation and related communication skills to support information collection appropriate to the food business
- assessing the adequacy of the food safety program, such as verifying information used by the food business to establish methods of controlling food safety hazards
- communicating the audit findings, including any relevant follow-up action to the food business
- communicating the audit plan to the food business and agreeing on audit timetable and scope of the audit
- confirming that food premises, fixtures, fittings, equipment and transport vehicles meet the minimum requirements of food safety legislation
- confirming that the food business has implemented appropriate corrective action with the timeframe established by the corrective action plan
- documenting non-conformance where findings indicate either a failure to comply with the food safety program or inadequacy of the food safety program
- establishing the audit sequence, activities and timelines
- forming conclusions on audit outcomes which can be duplicated, given the evidence collected
- identifying and locating information required to conduct the audit
- identifying any changes that have occurred in the food business since the commencement of the food safety program or since the last audit that could affect food safety
- identifying, investigating and recording evidence of non-conformance and judge significance
- preparing tools to collect information, such as checklists and interview schedules
- reviewing food business documentation to confirm that required formation is available
- reviewing records, conducting interviews, observing workplace practices and collecting other relevant information, as required, to assess compliance with the food safety legislation
- taking immediate action to report non-conformities that present an imminent and serious risk to the safety of food
- verifying that the food business is implementing the food safety program, including identifying food safety hazards that may be reasonably expected to occur, determining adequate methods to control hazards, monitoring and record keeping procedures, validating and corrective action requirements.

Literacy skills used for:

- documenting and reporting the findings of the audit in appropriate format to meet

REQUIRED SKILLS AND KNOWLEDGE

legal and food business requirements

- recording evidence of non-conformance, imminent and serious risks.

Numeracy skills used for:

- interpreting workplace data
- using graphs, tables, and formulae to present findings of the audit in appropriate format to meet legal and food business requirements.

Required knowledge

- audit procedures and techniques, including:
 - appropriate recording reporting formats
 - business systems and related reference documents and appropriate application of these in an audit
 - communication skills and techniques appropriate to the food business
 - data analysis methods relevant to the audit process
 - techniques for collecting information, including choice of appropriate methods to ensure data is adequate and representative
 - the purpose and stages involved in a food safety audit
- audit roles and responsibilities, including:
 - any requirements for prescribed fees and charges that may be levied on a food business and the process by which this occurs
 - appropriate ethical conduct of auditors as may be set out in codes of ethics of auditors
 - requirements and procedures for certification or registration of auditors and authorised officers
- legal requirements, including:
 - food business classification systems and the implications of these for determining the frequency and scope of audit
 - obligations of food business to report to enforcement agencies any non-conformities that present an imminent and serious risk to the safety of food
 - obligations of food businesses relating to food safety
 - other relevant legislation that could impact on the application of food safety legislation in the business and/or industry
 - role and responsibilities of auditors and authorised officers
 - the purpose and intent of food safety legislation
- competency standards and training options for people working with food to develop food safety skills and knowledge
- industry terminology, food characteristics and food handling and storage practices and processing techniques relevant to the industry sector as they affect food safety
- minimum standards for the design and construction of food premises, including

REQUIRED SKILLS AND KNOWLEDGE

- equipment and transport vehicles
- relevant technical and industry knowledge to verify compliance with food safety legislation
- situations likely to present serious food safety risks, and the responsibilities under legislation for the reporting of such risks
- techniques for applying Hazard Analysis Critical Control Point (HACCP) concepts in a food business, including techniques for identifying hazards and assessing risks that may be reasonably expected to occur, determining appropriate control method, monitoring and record keeping, validating, corrective action and recording requirements.

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:

- conduct an internal audit of a range of activities directly or indirectly involved in the production or processing of seafood against food safety standards
- make recommendations on corrective action
- report on audit findings.

Assessment must demonstrate knowledge of:

- audit procedures and techniques
- audit roles and responsibilities
- food standards and regulatory implications
- food safety specific to the seafood sector.

Context of and specific resources for assessment

Assessment of this unit of competence is conducted within the context of the seafood industry. Assessment must occur in the context of real food businesses within the seafood processing sector where food safety hazards are identified, assessed and controlled by a food safety program. The environment must provide an opportunity for the assessee to demonstrate the ability to conduct food safety audits to meet the audit scope, legal and food business requirements.

Resources may include:

- audit requirements
- enterprise policy relating to the treatment of wastes
- food business
- food safety and other relevant standards
- HACCP plan
- OHS policy and procedures.

Method of assessment

The following assessment methods are suggested:

- project undertaking internal audits of activities within a seafood food business

EVIDENCE GUIDE	
	- workplace documentation, including audit report and corrective actions required - written or oral questions.
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:	- ESD principles, environmental hazard identification, risk assessment and control - fisheries or aquaculture regulations, permits, licences, quotas, catch restrictions and other compliance requirements, including: - Australian Exclusive Economic Zone - international treaties and agreements - food safety, HACCP, hygiene and temperature control along chain of custody - imports quarantine and inspection, and importing approved arrangements for Australian Quarantine Inspection Service (AQIS), Australian Customs Service (ACS) and Biosecurity Australia (BA) - Indigenous native title, land claims and cultural activities, including fishing by traditional methods - maritime and occupational diving operations: - foreign and Australian legislation applying to quarantine and customs - International Convention for the Safety of Life at Sea (SOLAS) - International Convention on Standards of Training, Certification and Watchkeeping

RANGE STATEMENT

	for Seafarers (STCW 1978) • Marine Emergency Response Search and Rescue (MERSAR) • National Standards for Commercial Vessels • pollution prevention - International Convention for the Prevention of Pollution from Ships (MARPOL 73/78) • Uniform Shipping Laws (USL) Code • use of vessels, right of way and other marine orders, bunkering and refuelling • land, buildings and vehicles: • buildings and structures design and appearance, constructions and additions • poaching, trespass and theft • road laws for use of motor vehicles, bikes, trucks and other transport equipment • soil and water management • use of chemicals and biological agents • use of firearms and powerheads • use of utilities, including water, natural gas, electricity and sewage • water or land lease, tenure or ownership and use • business or workplace operations, policies and practices: • commercial law, including fair trading and trade practices • consumer law • corporate law, including registration, licensing and financial reporting • disability policies and practices • equal opportunity, anti-discrimination and sexual harassment • industrial relations and awards, individual employment contracts and share of catch agreements • jurisdictional variations • superannuation • taxation • trade practices
--	--

RANGE STATEMENT	
	- warnings and dismissals - worker's compensation - OHS hazard identification, risk assessment and control - product quality assurance - correct naming and labelling (country of origin, Australian Fish Names Standard, eco-labelling) - correct quantities, sizes, other customer requirements - third-party certification such as Australian Grown, Environmental ISO14001.
<i>OHS guidelines</i> may include:	- appropriate workplace provision of first aid kits and fire extinguishers - clean, uncluttered, hygienic workplace - codes of practice, regulations and/or guidance notes which may apply in a jurisdiction or industry sector - enterprise-specific OHS procedures, policies or standards - hazard and risk assessment of workplace and maintenance activities and control measures - induction or training of staff, contractors and visitors in relevant OHS procedures and or requirements to allow them to carry out their duties in a safe manner - OHS training register - safe lifting, carrying and handling techniques, including manual handling, and the handling and storage of hazardous substances - safe systems and procedures for outdoor work, including protection from solar radiation, fall protection, confined space entry and the protection of people in the workplace - systems and procedures for the safe maintenance of property, machinery and equipment, including hydraulics and exposed moving parts - the appropriate use, maintenance and storage of PPE.
<i>Food safety and hygiene regulations and procedures</i> may	- Australian Shellfish Sanitation program - display, packaging and sale of food, including

RANGE STATEMENT	
include:	- seafood and aquatic products - equipment design, use, cleaning and maintenance - exporting requirements, including AQIS Export Control (Fish) orders - handling and disposal of condemned or recalled seafood products - HACCP, food safety program, and other risk minimisation and quality assurance systems - location, construction and servicing of seafood premises - people, product and place hygiene and sanitation requirements - Primary Products Standard and the Australian Seafood Standard (voluntary) - processing, further processing and preparation of food, including seafood and aquatic products - product labelling, tracing and recall - receipt, storage and transportation of food, including seafood and aquatic products - requirements set out in Australian and New Zealand Food Authority (ANZFA) Food Standards Code and state and territory food regulations - temperature and contamination control along chain of custody.
ESD principles may include:	- controlling the use and recycling of water, and managing water quality and quantity - increasing use of renewable, recyclable and recoverable resources - managing environmental hazard identification, risk assessment and control - managing imported products quarantine and inspection, facility biosecurity, translocation of livestock and genetic material, and health certification - managing stock health and welfare, especially for handling, holding, transport and slaughter - managing sustainable fisheries or broodstock/seedstock collection requirements such as size limits, quotas, season restrictions, population dynamics, fishing impacts, reducing by-catch, fisheries management strategies, and

RANGE STATEMENT	
	maintaining biodiversity - managing, controlling and treating effluents, chemical residues, contaminants, wastes and pollution - minimising noise, dust, light or odour emissions - planning environmental and resource efficiency improvements - preventing genetically modified organisms and live cultured or held organisms from escaping into environment - protecting native and protected flora and fauna, marine or land parks or areas, adhering to the Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES), the Ramsar Convention, World Heritage and other international treaties for which Australia is a signatory. - reducing emissions of greenhouse gases - reducing use of non-renewable resources - reducing disturbances to soils, erosion and surface water flows from machinery use and other activities - reducing energy use and introducing alternative energy sources.
<i>PPE may include:</i>	- buoyancy vest or personal floatation device (PFD) - personal locator beacon or Emergency Position Indicating Radio Beacon (EPIRB) - insulated protective clothing for freezers or chillers and refrigeration units - protective outdoor clothing for tropical conditions - non-slip and waterproof boots (gumboots) or other safety footwear - hard hat or protective head covering - protective hair, beard and boot covers - gloves, mitts or gauntlets, and protective hand and arm covering - protective eyewear, glasses and face mask - hearing protection (e.g. ear plugs and ear muffs) - respirator or face mask

RANGE STATEMENT	
	• sun protection (e.g. sun hat, sunscreen and sunglasses) • safety harness • uniforms, overalls or protective clothing (e.g. mesh and waterproof aprons) • waterproof clothing (e.g. wet weather gear and waders).
Internal audit scope:	• is established by food business and may be informed by the requirements of relevant legislation • does not meet regulatory requirements but may be used to determine progress of the food business towards the achievement of the objectives of the food safety plan • will identify information collection methods, such as: • accessing relevant technical information • interviews • observance • review of workplace records.
Corrective action may involve:	• developing a corrective action plan that identifies non-conformance, corrective actions, date by which action must be taken and any other follow up requirement. Depending on the nature and scope of an audit, the business is typically responsible for identifying appropriate corrective action. However, the auditor must be able to determine whether an appropriate corrective action plan has been developed and must therefore have the technical knowledge to do so • training of food business personnel in required procedures and processes using communication skills and techniques appropriate to their language, literacy and technical skill base • meeting the design and construction requirements for food safety premises, fixtures, fittings, equipment and transport vehicles as set out in food safety standards and or relevant state or territory legislation and regulations • meeting the relevant state/territory audit management system which may specify additional requirements of auditors, such as

RANGE STATEMENT

	meeting appropriate ISO standards.
--	------------------------------------

Unit Sector(s)

Unit sector	Seafood processing
--------------------	--------------------

Co-requisite units

Co-requisite units		

Competency field

Competency field	
-------------------------	--