



**Hygiene Sue**

**Level 3 Effective Auditing and Inspection  
Workbook**



## ABOUT HYGIENE SUE

### Accredited Training Centre

Hygiene Sue is an accredited training centre and provider of HABC (Highfield), City and Guilds and CIEH food safety, teacher training qualifications and Apprenticeships, progressing from entry level to high levels of professional achievement. Hygiene Sue recognised by employers and learning providers throughout the UK.

### The Team

The team at Hygiene Sue comprises a friendly, confident, and enthusiastic group of trainers who are determined to inspire and encourage learning. "Simply, you learn better when a subject matter is brought to life". The trainers bring lessons to life with case studies gained from industry knowledge and experience. With user-friendly learning books and presentation materials in many different languages, lessons are designed to be as inclusive as possible.

### Policies and Procedures

Hygiene Sue fully supports the principles of equality and diversity, safeguarding young people and vulnerable adults and the right to a fair assessment. We are committed to satisfying these principles in all our activities and published material. A copy of our policies and procedures and the CIEH learners charter are available on the Hygiene Sue web site, [www.hygienesue.co.uk](http://www.hygienesue.co.uk)

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## **Food Safety Definitions/Vocabulary**

### **Food safety**

Absence of any harm from food.

### **Food hygiene**

All the practical measures and procedures taken to ensure food is safe/fit to eat.

### **Contamination**

The presence of any harmful or objectionable substance or object in or on the food.

### **Hazard**

**Anything with the potential to cause harm (i.e. illness or injury).** Food safety hazards can be biological (*bacteria, viruses, moulds or parasites*), chemical, physical (*foreign bodies*) or allergenic.

### **Risk**

**Measures the likelihood that a hazard will actually cause harm together with how serious the problem could be – low, medium or high risk.**

An undercooked chicken being served at a large wedding party is likely to make a lot of people very ill with Salmonella food poisoning and is clearly a 'high risk' example. But finding a slug in a bag of ready washed salad, though undesirable, probably won't cause any real harm. As such it would be considered as a much lower risk.

### **Food safety management systems**

Management policies, procedures and practices aimed at making food production safer.

### **Flow chart (flow diagram)**

A systematic representation of all the steps involved in a food process from delivery to sale/consumption.

### **HACCP**

Hazard Analysis Critical Control Point – an internationally recognized way of managing food safety and protecting consumers from harm. It is a system that identifies, evaluates and controls hazards and risks at various points in food production and looks at which are significant for the safety of that food.



### **Control Measures /Control Points (CPs)**

**Precautions that are taken to reduce the chance of a hazard occurring (to an acceptable level of risk).**

These measures could include correct storage and stock rotation practices, covering food to prevent physical or biological contamination, training staff on how to clean and disinfect a work surface or ensuring high personal hygiene standards.

### **Critical Control Point (CCP)**

A step in the process where it is **essential** to apply control to prevent, eliminate or reduce a food hazard to an acceptable/safe level to avoid the risk of causing food poisoning .

In the chicken example above it is **critical to food safety** that the chicken is cooked properly, because getting it wrong at this step could easily make it unsafe to eat. Cooking the chicken properly will make sure that the Salmonella bacteria are killed. As a result the hazard will be eliminated and the risk reduced to an acceptable level.

### **Critical limit**

Borderline between safe/unsafe practices and processes affecting food . It relates directly to the hazard and is absolute and measurable, NOT variable. Critical criteria must be established at each critical control point to ensure the safety of the product.

### **Monitoring**

Deals with assessing whether a critical control point is under control and therefore involves constant checking every day to ensure that the critical limit for a particular CCP has not been breached.

### **Corrective action**

If a critical limit has been breached the safety of the final product cannot be guaranteed. Action has to be taken to correct the situation and bring the process back into control, ideally without wasting the product. The HACCP plan should specify (a) what action should be taken and (b) who is responsible for taking the action.

### **Verification**

The process of confirming periodically that the whole HACCP system is functioning effectively and just as planned. Verification should also take place whenever there is a change in the process (e.g. when new ingredients or equipment are introduced), or when there is a system failure or new hazards are identified. The HACCP plan should be amended accordingly.



### **High-risk/ready-to-eat food**

Foods which are high in protein and moisture, therefore providing favourable conditions for bacterial multiplication, and which are intended for consumption without further treatment (cooking) that would destroy the bacteria. These foods require strict time and temperature control (refrigeration) to remain safe to eat. Examples: eggs, dairy products, meat based gravies, fish, shellfish, cooked poultry, cooked rice, cooked meat, meat products.

### **Allergy – allergic reaction**

An identifiable immunological response to certain foods or food additives when the immune system treats these as a threat to the body. Allergic reactions such as sneezing, rashes and swelling normally occur within minutes of contact with the allergenic food. The reactions can vary from mild to severe and in some extreme cases it can be life threatening, ***anaphylaxis***, when a person may suffer an ***anaphylactic shock***.

### **Food intolerance**

Does not involve the immune system and reactions take longer to develop – hours or even days after eating the food. Symptoms are normally stomach-related: diarrhea, nausea, bloating and stomach pains. Most common food intolerances are to gluten (protein found in wheat, barley, oats) and lactose (sugar found in milk).



## 1. Word Search

T	I	H	Y	P	O	T	H	E	T	I	C	A	L
W	H	I	N	S	P	E	C	T	I	O	N	P	F
H	L	I	E	C	Z	T	B	B	X	T	K	C	R
E	T	O	R	A	V	E	I	T	E	T	A	H	E
L	I	L	H	D	A	Q	Z	X	S	L	B	C	Q
A	U	D	I	T	P	S	H	J	I	U	R	P	U
O	N	J	X	Q	P	A	C	B	K	F	D	X	E
I	O	V	C	O	V	E	R	T	X	J	A	H	N
I	N	T	E	R	N	A	L	T	D	G	E	U	C
A	M	C	O	M	T	I	L	L	Y	E	L	L	Y
F	S	E	H	I	N	A	D	E	Q	U	A	T	E
J	D	A	O	E	V	I	D	E	N	C	E	M	C
K	N	N	D	R	A	N	C	O	D	B	P	Y	O
N	O	N	C	O	N	F	O	R	M	A	N	C	E

Inadequate  
Frequency  
Calibration  
Hypothetical  
Evidence  
Third-party

Internal  
Inspection  
Non-conformance  
Covert  
Audit



## 2 . Inspection or Audit

The purpose of an inspection/audit is to:



What are the benefits of inspections/audits to your organisation?

Problems associated with inspections/audits?

Prerequisites for effective inspections/audits



### 3. Desirable Behavioural and Interpersonal Skills of an Auditor

(Answers are at the back of the book)

<b>Behavioural and Interpersonal Skills</b>	<b>Desirable</b>	<b>Undesirable</b>
Curious		
Assertive		
Argumentative		
Impartial and objective		
Unprofessional		
Diplomatic		
Untrustworthy		
Pay attention to detail		
Aware of cultural sensitivities		
Laid back		
Consistent		
Know-it-all		
Condescending		
Analytical		
Treat people as equals: do not talk down to people		
Have a passion for your subject		
Easily distracted		
Approachable		
Authoritative		
Gullible		
Manage time well		
Thick-skinned		
Good body language		
Aggressive		
Cynical		





### Activity 4. Mix and Match

A) Audit conclusion	<input type="checkbox"/>	1) Set of policies, procedures or requirements used as the basis of the audit.
B) Audit Criteria	<input type="checkbox"/>	2) Information obtained, directly or indirectly by an auditor during an audit.
C) Audit Evidence	<input type="checkbox"/>	3) The outcome of an audit after consideration of the audit objectives in relation to the audit evidence or findings.

### Activity 5. Mix and Match

A) Certification audit	<input type="checkbox"/>	1) Limited to an examination of documents away from their place of use.
B) Desk audit	<input type="checkbox"/>	2) An audit undertaken to gain a certificate or award against a recognised standard.
C) Full audit	<input type="checkbox"/>	3) An audit of all activities of a company, operation or business.

### Activity 6. Mix and Match

A) Non-conformity	<input type="checkbox"/>	1) An audit conducted by a company on one of the companies supplying it with a product or service.
B) Supplier audit	<input type="checkbox"/>	2) Non-fulfilment or failure to comply with a specified requirement.



## Multiple choice questions to check your understanding

**1 An auditor is told that calibration is done daily, but does not see a record for calibration in use in the production area. What is the best next step?**

- A. Raise a non-conformance
- B. Ask to see a completed record for a day in the previous week
- C. Ask to see the calibration record form for the day of the audit
- D. Ask for a calibration check to be done to enable this to be observed

**2 Which of the following is an example of a hypothetical question?**

- A. What happens if a mouse is identified in the packaging store?
- B. Did you call the pest contractor immediately after you identified there was a mouse in the storage area?
- C. What is your pest-control procedure?
- D. Can I confirm that you have a pest control contractor that deals with mice in all areas?

**3 Which of the following would not be a significant concern to an auditor?**

- A. Changes to process records that have not been initialed by the original member of staff
- B. The use of pencils for completion of important process records
- C. Blank sections within process monitoring records
- D. The auditee taking a long time to find a requested record

**4 When undertaking an audit, the use of a blank checklist can be beneficial because it:**

- A. Allows anyone to conduct the audit successfully
- B. Ensures only things of importance are checked
- C. Can add structure to the audit
- D. Can be used instead of a report

**5 One of the main purposes of a third-party audit is to:**

- A. Ensure that all procedures are better than your competitors'
- B. Catch staff out who are doing something wrong
- C. Develop standards to form a basis for training
- D. Check adherence to pre-defined standards



**6 Which of the following is correct in relation to audit reports?**

- A. Reports should only focus on the bad
- B. It must be possible to act on the information
- C. Inconsistency of output is not an issue
- D. Reports should always be of a predetermined length and format

**7 is appropriate to base the frequency of an audit on:**

- A. Business resources
- B. Risk assessment
- C. The availability of managers
- D. The complexity of the operation

**8 The last stage of the audit process is:**

- A. The closing meeting
- B. The written report
- C. Verifying effective completion
- D. Analysis of data collected

**9 At the closing meeting, it would be poor practice for an auditor to:**

- A. Change their opinion on the basis of the new objective evidence
- B. Remove a non-conformance due to pressure from the auditee
- C. Base their judgement on observations and the records examined
- D. Provide objective justification for non-conformities based on their observations

**10 An auditor is asked to produce evidence in support of a non-conformance raised but is unable to do so. What effect will this have on the audit process?**

- A. Speed up the audit report as there will be less paperwork to complete
- B. Improve the relationship between the auditor and the company
- C. It may undermine the auditor's professionalism and undermine the audit process
- D. It will restrict the audit scope and enable empathy with the challenges of compliance



## Answers

### 4. Desirable Behavioural and Interpersonal Skills of an Auditor

<b>Behavioural and Interpersonal Skills</b>	<b>Desirable</b>	<b>Undesirable</b>
Curious	X	
Assertive	x	
Argumentative		x
Impartial and objective	x	
Unprofessional		X
Diplomatic	x	
Untrustworthy		x
Pay attention to detail	X	
Aware of cultural sensitivities	x	
Laid back		X
Consistent	X	
Know-it-all		x
Condescending		x
Analytical	x	
Treat people as equals: do not talk down to people	x	
Have a passion for your subject	X	
Easily distracted	x	
Approachable	x	
Authoritative	x	
Gullible		x
Manage time well	X	
Thick-skinned	x	
Good body language	x	
Aggressive		x
Cynical		x



### Activity 4. Mix and Match

B) Audit conclusion	3	2) Set of policies, procedures or requirements used as the basis of the audit.
C) Audit Criteria	1	3) Information obtained, directly or indirectly by an auditor during an audit.
C) Audit Evidence	2	4) The outcome of an audit after consideration of the audit objectives in relation to the audit evidence or findings.

### Activity 5. Mix and Match

B) Certification audit	2	2) Limited to an examination of documents away from their place of use.
C) Desk audit	1	3) An audit undertaken to gain a certificate or award against a recognised standard.
D) Full audit	3	4) An audit of all activities of a company, operation or business.

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