FWPCOT4224 Conduct internal audit of chain of custody certification for forest and wood products

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Modification History

Release	Comments
Release 1	This version released with FWP Forest and Wood Products Training Package Version 8.0.

Application

This unit of competency describes the skills and knowledge required to plan and implement an internal audit of chain of custody certification in a forest or wood products business.

The unit applies to quality assurance personnel, managers and other personnel who are responsible for scheduling, preparing for and conducting internal audits of chain of custody certification in forest and wood product procurement, processing, sales and distribution operations.

All work must be carried out to comply with workplace procedures, according to state/territory health and safety regulations, legislation and standards that apply to the workplace.

No licensing, legislative or certification requirements apply to this unit at the time of publication. Individuals must comply with any qualification requirements for internal auditors set by the relevant chain of custody certification body.

Pre-requisite Unit

Nil

Unit Sector

Common Technical (COT)

Elements and Performance Criteria

Elements	Performance Criteria
Elements describe the essential outcomes.	*Performance criteria describe the performance needed to demonstrate achievement of the element.*
1. Plan internal audit of chain of custody	1.1 Identify all requirements to be included in internal audit according to workplace and certification body policies and procedures

Elements	Performance Criteria
Elements describe the essential outcomes.	*Performance criteria describe the performance needed to demonstrate achievement of the element.*
certification	1.2 Confirm legislation, standards and codes of practice relevant to chain of custody operations
	1.3 Prepare audit schedule to ensure that all requirements are audited at a frequency commensurate with risk
	1.4 Confirm objectives, scope and criteria of audit according to chain of custody certification scheme and workplace requirements
	1.5 Inform audit team of objectives, scope and criteria of audit and importance of ethical behaviour, as required
	1.6 Identify procedures, records and documentation required for internal audit
	1.7 Confirm all sites, business units and personnel that will be included in audit scope, including contractors and organisations performing outsourced functions, if required
	1.8 Develop checklists and document evidence collection methods and sources to be used during audit according to chain of custody certification scheme and workplace requirements
	1.9 Review documents prior to conduct of internal audit
2. Conduct internal audit of chain of custody certification	2.1 Inform relevant parties of purpose, scope and criteria for audit, audit methods, and procedures for reporting and following up results
	2.2 Conduct audit in accordance with chain of custody certification scheme and workplace requirements
	2.3 Use effective communication and negotiation skills when interacting with others while conducting the audit
	2.4 Collect verifiable objective evidence against audit criteria
	2.5 Make findings using objective evidence against audit criteria
	2.6 Identify and categorise non-conformances according to chain of custody certification scheme and workplace requirements
	2.7 Record audit activities
3. Report outcomes of internal audit of chain of custody certification	3.1 Document objective evidence according to chain of custody certification scheme and workplace requirements
	3.2 Prepare audit report detailing areas audited, audit findings and non-conformances where applicable
	3.3 Maintain records of audit process, objective evidence and findings
	3.4 Report audit findings according to chain of custody certification

Elements	Performance Criteria
Elements describe the essential outcomes.	*Performance criteria describe the performance needed to demonstrate achievement of the element.*
	scheme and workplace requirements
4. Confirm implementation of corrective action	4.1 Verify the implementation and effectiveness of recommended corrective actions 4.2 Maintain records of effectiveness of corrective actions

Foundation Skills

This section describes those language, literacy, numeracy and employment skills that are essential for performance in this unit of competency but are not explicit in the performance criteria.

Skill	Description
Reading	• Interpret and analyse workplace documents used in internal audit of chain of custody certification
Writing	• Compile written notes and prepare reports used in internal audit process
Oral communication	• Ask questions using appropriate language to clarify workplace processes and obtain information relevant to audit
Numeracy	• Interpret graphical and statistical information in workplace records relevant to internal audit procedures for chain of custody certification

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
FWPCOT4224 Conduct internal audit of chain of custody certification for forest and wood products	Not applicable	The unit has been created to address a skill or task required by industry that is not covered by an existing unit	Newly created

Links

Companion Volumes, including Implementation Guides, are available at VETNet: - https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=0d96fe23-5747-4c01-9d6f-3509ff8d3d47