



Australian Government

Department of Education, Employment and Workplace Relations

MTMPS415A Conduct an internal audit of a documented program

Release: 1

MTMPS415A Conduct an internal audit of a documented program

Modification History

Not Applicable

Unit Descriptor

Unit descriptor	This unit covers the skills and knowledge required to conduct an internal audit of a documented program.
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Application of the Unit

Application of the unit	This unit is applicable to plant managers, Quality Assurance (QA) personnel, managers and marketing personnel who have a role in scheduling, preparing for and conducting an internal audit in a meat processing plant. The scope of the audit may include operational areas such as food safety, Occupational Health and Safety (OH&S), vendor and environmental programs. This may include industry standards and codes.
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Licensing/Regulatory Information

Not Applicable

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. Plan the audit	<p>1.1. Audit schedule is interpreted and the timely conduct of internal audit is planned and organised.</p> <p>1.2. Objectives, scope and criteria of audit are determined according to <i>workplace requirements</i>.</p> <p>1.3. Audit team is assembled and briefed, as required, for the objectives, scope and criteria of the audit.</p> <p>1.4. Those affected by and involved in the audit are notified and responsibilities documented according to workplace requirements.</p> <p>1.5. Stakeholders involved in an internal audit are notified according to workplace requirements.</p> <p>1.6. Procedures, records and <i>workplace documentation</i> needed for the audit are identified.</p> <p>1.7. <i>Evidence collection methods and sources</i> to be used in the audit are documented, including workplace checklists developed to workplace specifications.</p> <p>1.8. A document review is conducted prior to audit.</p>
2. Conduct the audit	<p>2.1. An entry meeting is conducted with relevant parties to explain the purpose, scope and criteria for the audit, the methods to be used in the audit, and how results will be reported and followed up.</p> <p>2.2. An audit of the program is conducted in accordance with workplace and regulatory requirements.</p> <p>2.3. Effective communication skills are used to conduct the audit</p> <p>2.4. Verifiable objective evidence is collected against the criteria of the audit.</p> <p>2.5. Findings are made using the objective evidence against the criteria of the audit.</p> <p>2.6. Non-conformances are identified and categorised according to workplace requirements</p> <p>2.7. Audit activity is recorded according to workplace requirements.</p>
3. Report on audit findings	<p>3.1. An audit report is prepared, detailing areas of the program which were audited and findings against the audit criteria, including non-conformances, where applicable.</p> <p>3.2. Objective <i>evidence</i> is documented according to workplace standards.</p> <p>3.3. Records of audit process, objective evidence and</p>

ELEMENT	PERFORMANCE CRITERIA
	<p>findings are kept in accordance with workplace and regulatory requirements.</p> <p>3.4. Findings are reported according to workplace requirements.</p>
4. Confirm and close out corrective action	<p>4.1. The effectiveness of corrective actions is verified.</p> <p>4.2. <i>Records</i> of the effectiveness of corrective actions are maintained.</p>

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

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

Required skills

Ability to

- locate relevant commonwealth, state and/or territory legislation, regulations and related codes of practice and determine the legal responsibilities of the business relevant to the industry sector
- locate relevant codes or compliance program requirements
- communicate the audit process, requirements and findings to relevant personnel clearly and accurately
- apply planning skills to ensure the smooth conduct of the audit process
- use negotiation skills to organise and facilitate audit processes, including following meeting procedures and resolving issues
- identify and follow an audit trail
- conduct research to identify, collect and analyse evidence
- gather, analyse and record data accurately
- plan and organise audit activities
- use information systems, technologies and software to manage security, authorisation and distribution of audit data and records
- interpret evidence and make a judgement on the level of compliance
- prepare well-balanced, factual and objective written audit reports

Required knowledge

Knowledge of:

- audit management to develop and implement an audit against an agreed plan, including an understanding of the scope/level of authority to revise the resource

REQUIRED SKILLS AND KNOWLEDGE

- and allocate time allocations to take account of variation to plan
- audit processes
 - legislation, regulations, orders, codes and standards applicable to the areas being audited
 - communication methods relevant to different groups and audience
 - evidence appropriate for use in audit processes, including an understanding of the difference between objective and hearsay evidence and methods for recording and managing evidence to provide reliable reference information in the event that evidence is challenged
 - evidence collection methods including record sampling and sample analysis, including an understanding of the evidence collection options relevant to a given audit situation, the reliability of each collection method and the range/extent of evidence collection methods required to ensure that audit outcomes are objective, consistent, fair and reliable
 - legislation that impacts on acceptable communication methods and conduct including anti-discrimination, anti-harassment and privacy legislation
 - methods used to identify Critical Control Points and establish critical limits, suited to the nature of the hazard, the requirements of the audit and the industry sector
 - personal attributes required of an auditor
 - strategies to communicate in culturally diverse environments
 - the internal auditing policies and procedures of the workplace
 - the structure, authority levels and lines of reporting within the organisation
 - the underlying principles of risk-based approaches to controlling food safety hazards including HACCP as described in the Codex Alimentarius Guidelines
 - vocabulary and terms relating to food safety, including terms and jargon to describe technical processes, industry standards and common biological and chemical terms

Evidence Guide

EVIDENCE GUIDE	
<p>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.</p>	
<p>Overview of assessment</p>	<p>The meat industry has specific and clear requirements for evidence. A minimum of three forms of evidence is required to demonstrate competency in the meat industry. This is specifically designed to provide evidence that covers the demonstration in the workplace of all aspects of competency over time.</p> <p>These requirements are in addition to the requirements for valid, current, authentic and sufficient evidence.</p> <p>Three forms of evidence means three different kinds of evidence - not three pieces of the same kind. In practice it will mean that most of the unit is covered twice. This increases the legitimacy of the evidence.</p> <p>All assessment must be conducted against Australian meat industry standards and regulations.</p>
<p>Critical aspects for assessment and evidence required to demonstrate competency in this unit</p>	<p>Candidates must be able to plan, conduct and report and internal audit of a documented program.</p> <p>Competency must be demonstrated in the workplace, utilising an approved audit plan and procedure from the workplace. Candidates must conduct an entire internal audit.</p>
<p>Context of and specific resources for assessment</p>	<p>Assessment must involve working with actual realistic data and in the context of an audit plan that meets regulatory requirements.</p>
<p>Method of assessment</p>	<p>Recommended methods of assessment include:</p> <ul style="list-style-type: none"> • mock audit conducted in the workplace • debrief after participation in a real audit • quiz of underpinning knowledge • verified work log or diary • workplace demonstration • workplace referee or third-party report of

EVIDENCE GUIDE	
	<p>performance over time.</p> <p>Assessment practices should take into account any relevant language or cultural issues related to Aboriginality or Torres Strait Islander, gender, or language backgrounds other than English. Language and literacy demands of the assessment task should not be higher than those of the work role.</p>
Guidance information for assessment	A current list of resources for this Unit of Competency is available from MINTRAC www.mintrac.com.au or telephone 1800 817 462.

Range Statement

RANGE STATEMENT	
<p>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.</p>	
<p><i>workplace requirements</i> may include</p>	<ul style="list-style-type: none"> • hygiene and sanitation requirements • internal and external OH&S requirements • industry standards and codes of practices • regulatory standards, including AS 4696:2007 <i>Australian Standard for the Production and Transportation of Meat and Meat products for Human Consumption</i> • state and federal legislation • the wearing of Personal Protective Equipment (PPE) • observation of workplace hygiene and sanitation requirements.
<p><i>workplace documentation</i> may include:</p>	<ul style="list-style-type: none"> • work instructions • Standard Operating Procedures (SOPs) • enterprise specific procedures

RANGE STATEMENT	
	<ul style="list-style-type: none"> • OH&S requirements • QA requirements • previous audit reports and corrective action records • vendor requirements • environmental requirements.
<i>Evidence collection methods and sources</i> may include:	<ul style="list-style-type: none"> • observation • interviews • checklists • auditee documentation review • reports/data from other sources such as customer feedback, technical references, computerised databases • results of analyses • analytical results.
Audit <i>evidence</i> may include	<ul style="list-style-type: none"> • system records • evidence collection records • statements of fact or other information relevant to the audit criteria and which is verifiable • observations • third party certification (e.g. HACCP accreditation) • records of audit stage progression.
<i>Audit records</i> may include:	<ul style="list-style-type: none"> • audit plans • audit reports • non-conformity reports • corrective action reports • follow up reports • audit data base.

Unit Sector(s)

Unit sector	No sector assigned
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Co-requisite units

Co-requisite units		

Competency field

Competency field	
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