



Australian Government

Department of Education, Employment and Workplace Relations

SIFGLC003A Conduct internal quality audits

Revision Number: 1

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Modification History

Not applicable.

Unit Descriptor

Unit descriptor This unit describes the performance outcomes, skills and knowledge required to internally audit and report on a workplace's compliance with relevant quality standards documentation.

Application of the Unit

Application of the unit This unit applies to a range of roles within the funeral services industry.

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Prerequisite units Nil

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 required performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge and/or the range statement. Assessment of performance is to be consistent with the evidence guide.

Elements and Performance Criteria

ELEMENT

PERFORMANCE CRITERIA

- | | |
|--|---|
| 1 Prepare for internal audit. | <ul style="list-style-type: none"> 1.1 Identify <i>procedures to be audited</i>. 1.2 Establish benchmarks for the quality audit and liaise with <i>support personnel</i>. 1.3 Access required <i>documents and sources of information</i>. 1.4 Plan audit according to <i>workplace policies and procedures</i>. 1.5 Adjust audit frequency in response to <i>workplace changes</i> or client feedback. 1.6 Contact <i>appropriate staff</i> and organise appointments for audit. |
| 2 Conduct audit and document findings. | <ul style="list-style-type: none"> 2.1 Identify and confirm <i>methods</i> for conduct of audit. 2.2 Conduct observations and interviews according to workplace policies and procedures. 2.3 Complete relevant audit documentation requirements according to workplace policies and procedures. |
| 3 Report audit results. | <ul style="list-style-type: none"> 3.1 Consult relevant personnel about audit results. 3.2 Document compliance results in audit reports. 3.3 Complete <i>non-compliance reports</i> according to workplace policies and procedures. |

ELEMENT	PERFORMANCE CRITERIA
	3.4 Identify and document system variances and make suggestions for improvements.
	3.5 Forward reports to appropriate personnel for action.
4 Respond to audit report.	4.1 Note employee responses to audit reports and identify issues for response.
	4.2 Identify <i>corrective actions</i> arising from audit and refer to appropriate staff.
	4.3 Implement changes to operational processes as part of continuous improvement system.
	4.4 Follow-up and check results of changes to operational processes.

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

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

Required skills

- communication skills, including clear and direct communication and active listening and questioning skills to conduct audit interviews and share information on audit outcomes
- literacy and numeracy skills to access and use relevant sources of information, document audit results and use computers
- self-management and organisational skills to identify processes, and plan and conduct audit
- problem-solving skills to identify and implement continuous improvement to operational processes and modify activities dependant on differing workplace contexts and environment.

Required knowledge

- quality improvement procedures
- quality audit processes
- relevant workplace policies and procedures, including procedures for identification of non-compliance and best practice.

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.

Critical aspects for assessment and evidence required to demonstrate competency in this unit

Evidence of the following is essential:

- identification of audit requirements and selection of appropriate methods relevant to the to the quality system and any regulatory requirements
- use of communication techniques to encourage appropriate participation of relevant staff and personnel in the audit processes
- accurate documentation of reports and other records of audit according to workplace policies and procedures and the requirements of the specific quality system
- project or work activities to conduct internal quality

EVIDENCE GUIDE

audits on multiple occasions and over a period of time to ensure the monitoring aspects of an audit can be completed, to ensure consistency of performance and ability to respond to and evaluate different situations.

Context of and specific resources for assessment

Assessment must ensure:

- access to appropriate computers, communication technology and software programs to conduct quality audits
- consultation with staff
- access to relevant documentation, such as internal quality standards and workplace procedures.

Methods of assessment

A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:

- observation of candidate identifying procedures and benchmarks for audit, accessing required documents and sources of information for audit, conducting audit, and preparing and writing audit reports
- written or verbal questioning to assess knowledge and understanding of relevant workplace policies and procedures with regard to conducting internal quality audits in the funeral services industry
- review of portfolios of evidence and third-party workplace reports of on-the-job performance by the candidate.

Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example:

- TDTJ197B Apply quality procedures.

Employability skills embedded in this unit should be assessed holistically with other relevant units that make up the skill set or qualification and in the context of the job role.

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.

Procedures to be audited may include:

- OHS in terms of duties of employers, employees, suppliers and contractors
- standards and certification requirements
- maintenance
- finance
- record keeping
- emergency procedures, including fire and accident procedures.

Support personnel may include:

- technical staff
- external consultants.

RANGE STATEMENT

Documents and sources of information may include:

- quality or enterprise work specifications and procedures
- manufacturer specifications and supplier handling and storage advice
- workplace operating procedures and policies
- supplier or client instructions
- material safety data sheets (MSDS)
- communications technology equipment
- verbal, aural or signed communications
- personal and work area work procedures and practices
- conditions of service, legislation and industrial agreements, including:
 - workplace agreements and awards
 - OHS procedures
 - applicable federal, state and territory legislative framework concerning:
 - OHS in terms of duties of employers, employees, suppliers and contractors
 - workplace relations
 - workers' compensation
 - hazardous substances and dangerous goods
 - environment protection
 - anti-discrimination, equal employment opportunity (EEO) and affirmative action
 - standards and certification requirements
 - licence, patent or copyright arrangements
 - quality assurance procedures
 - emergency procedures, including fire and accident procedures.

Workplace policies and procedures may include:

- timing of audits
- agreed intervals between audits
- timeframes
- procedures for identifying non-compliance and best practice.

RANGE STATEMENT

Workplace changes may include:

- increased accidents or incidents
- insurance requirements.

Appropriate staff may include:

- supervisors
- other employees.

Methods may include:

- techniques to encourage participation by employees, clients and suppliers
- use of approved third party
- allocation and delegation of tasks
- information gathering techniques.

Non-compliance reports may include:

- location of non-compliance
- relevant standard or activity that does not comply
- evidence and supporting information.

Corrective actions may include:

- improved procedures
- improved practices.

Unit Sector(s)

Sector

Funeral Services

Competency field

Competency field

Governance and Legal Compliance