



Australian Government

Department of Education, Employment and Workplace Relations

TLIJ5007A Conduct internal quality audits

Release: 1

TLIJ5007A Conduct internal quality audits

Modification History

Not Applicable

Unit Descriptor

Unit Descriptor

This unit involves the skills and knowledge required to conduct internal quality audits in accordance with relevant regulatory requirements and workplace procedures. It includes preparing for internal audit, scheduling internal audit, conducting audit and documenting findings, and reporting audit results in accordance with workplace requirements. Licensing, legislative, regulatory or certification requirements may be applicable to this unit.

Application of the Unit

Application of the Unit

Work must be carried out in compliance with the relevant regulations, standards and codes of practice, including the ADG Code.

Work is under general guidance on progress and outcomes of work. It requires discretion and judgement for self and others in planning and using resources, services and processes to achieve required outcomes within workplace policy and procedures.

A range of opportunities may be used to develop the work area and to support the development of work systems, innovative strategies to deal with contingencies and to encourage the achievement of the workplace's goals and key performance objectives by the work area and the individuals and teams within it.

The unit generally applies to those with responsibility for resource coordination and allocation, and leadership of others individually or in teams.

Licensing/Regulatory Information

Refer to Unit Descriptor

Pre-Requisites

Not Applicable

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. Assessment of performance is to be consistent with the evidence guide.

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1 Prepare for internal audit	1.1 Benchmarks for the quality audit are established/identified 1.2 Procedures required to be audited are identified and implications of non-conformance are estimated 1.3 Technical and/or calibration requirements for audits are noted and (where necessary) appropriate support personnel are identified 1.4 Production schedules are examined to identify appropriate schedule for audit
2 Schedule internal audit	2.1 Audit timings are planned to ensure that relevant procedures are conducted within workplace agreed time intervals and timeframes 2.2 Audit frequency is adjusted based on importance of activities to the business unit, process or workplace changes or customer feedback 2.3 Contact is made with appropriate personnel and relevant appointments for the audit are made
3 Conduct audit and document findings	3.1 Methods for the conduct of the audit are established and confirmed 3.2 Observations and interviews are conducted with (any) required approved third party 3.3 Documentation of observations and interview responses is completed
4 Report audit results	4.1 Audit results are discussed with personnel associated with the procedures or standards audit 4.2 Audit reports indicate compliances noted 4.3 Non-compliance reports indicate location, relevant standard or procedure, and supporting evidence

Required Skills and Knowledge

REQUIRED KNOWLEDGE AND SKILLS

This describes the essential knowledge and skills and their level required for this unit.

Required knowledge:

- Relevant regulations, codes of practice and legislative requirements including the Australian Dangerous Goods Code where applicable
- Relevant OH&S and environmental protection procedures and regulations

REQUIRED KNOWLEDGE AND SKILLS

- Workplace procedures for the conduct of internal quality audits
- Problems that may occur during the conduct of internal quality audits, and action that can be taken to resolve or report the problems
- Risks and hazards related to the conduct of internal quality audits, and ways of controlling the risks involved
- Focus of operation of work systems, resources, management and workplace operating systems
- Equipment applications, capacities, configurations, safety hazards and control mechanisms
- Enterprise business policies and plans including procedures for identification of non-compliance and best practice
- Application of relevant Australian Standards and certification requirements
- Quality procedures and implementation strategies
- Resource availability including the competencies of individuals in the team/group
- Understanding and knowledge of the application of current competencies within functional activity
- Coaching and mentoring approaches to support team members to share knowledge and skills
- Relevant workplace documentation procedures

Required skills:

- Communicate effectively with others when conducting internal quality audits
- Read and interpret instructions, procedures, information and signs relevant to the conduct of internal quality audits
- Interpret and follow operational instructions and prioritise work
- Complete documentation related to the conduct of internal quality audits
- Operate electronic communication equipment to required protocol
- Provide leadership to others
- Work collaboratively with others when conducting internal quality audits
- Adapt appropriately to cultural differences in the workplace, including modes of behaviour and interactions with others
- Promptly report and/or rectify any problems, faults or malfunctions that may be identified when conducting internal quality audits in accordance with regulatory requirements and workplace procedures
- Implement contingency plans for unanticipated situations that may arise when conducting internal quality audits
- Apply precautions and required action to minimise, control or eliminate hazards that may exist during the conduct of internal quality audits
- Plan and organise activities
- Monitor work activities in terms of planned schedule

Required skills:

- Modify activities to cater for variations in workplace contexts and environment
- Work systematically with required attention to detail without injury to self or others, or damage to goods or equipment
- Select and apply appropriate application of technology, information systems and procedures
- Operate and adapt to differences in equipment in accordance with standard operating procedures
- Select and use required personal protective equipment conforming to industry and OH&S standards

Evidence Guide**EVIDENCE GUIDE**

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required knowledge and skills, the range statement and the assessment guidelines for this Training Package.

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

- The evidence required to demonstrate competency in this unit must be relevant to and satisfy all of the requirements of the elements and performance criteria of this unit and include demonstration of:
 - applying the underpinning knowledge and skills
 - applying relevant legislation and workplace procedures
 - conducting an internal audit in the workplace

Context of and specific resources for assessment

- Performance is demonstrated consistently over a period of time and in a suitable range of contexts
- Resources for assessment include:
 - a range of relevant exercises, case studies and/or other simulated practical and knowledge assessment, and/or
 - access to an appropriate range of relevant operational situations in the workplace
- In both real and simulated environments, access is required to:
 - relevant and appropriate materials and equipment, and
 - applicable documentation including workplace procedures, regulations, codes of practice and operation manuals

EVIDENCE GUIDE

Method of assessment

- As a minimum, assessment of knowledge must be conducted through appropriate assessments using written/practical/oral assessments
- Practical assessment must occur:
 - through activities in an appropriately simulated environment, and/or
 - in an appropriate range of situations in the workplace

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.

- | | |
|---|--|
| Work may be undertaken: | <ul style="list-style-type: none"> • in various work environments in the sections of the warehousing, storage, transport and distribution industries |
| Customers may be: | <ul style="list-style-type: none"> • internal or external |
| Operations may be conducted: | <ul style="list-style-type: none"> • by day or night |
| The workplace environment may involve: | <ul style="list-style-type: none"> • twenty-four hour operation • single and multi-site location • large, medium and small workplaces |
| Audits may cover: | <ul style="list-style-type: none"> • aspects of services, products, risks, work systems and workplace |
| Quality audits may be conducted: | <ul style="list-style-type: none"> • as part of enterprise, site or licence requirements |
| Audits may be conducted: | <ul style="list-style-type: none"> • alone or in conjunction with other staff from the enterprise • using external personnel |
| Hazards may include: | <ul style="list-style-type: none"> • confined spaces • hazardous or dangerous materials/goods • contamination of, or from, goods/materials being transported/stored • fire/explosions • noise, light, energy sources • stationary and moving machinery, parts or components • moving vehicles |
| Communication in the work area may include: | <ul style="list-style-type: none"> • phone • electronic data interchange (EDI) |

RANGE STATEMENT

- fax
 - email
 - internet
 - RF communications
 - barcode readers
 - oral, aural or signed communications
- Requirements for work may include:
- site restrictions and procedures
 - use of safety and personal protective equipment
 - systems and facilities for controlling storage environments
 - specialised lifting and/or handling equipment
 - incident/accident breakdown procedures
 - additional gear and equipment
 - noise restrictions
 - hours of operations
 - authorities and permits
 - communications equipment
- Hazard management is consistent with:
- the principle of hierarchy of control with elimination, substitution, isolation and engineering control measures being selected before safe working practices and personal protective equipment
- Consultative processes may involve:
- other employees and supervisors
 - suppliers, potential customers and existing clients
 - relevant authorities and institutions
 - government instrumentalities
 - emergency services
 - management and union representatives
 - industrial relations and OH&S specialists
 - other maintenance, professional or technical staff
- Depending on the type of organisation concerned and the local terminology used, workplace procedures may include:
- company procedures
 - enterprise procedures
 - organisational procedures
 - established procedures
- Information/documentation may include:
- Australian and international codes of practice and regulations relevant to workplace activities, including the ADG Code where applicable
 - workplace operating procedures and policies
 - supplier and/or client instructions
 - operations manuals, job specifications and procedures and induction documentation
 - manufacturers specifications for equipment and environmental control systems

RANGE STATEMENT

- suppliers handling and storage advice
 - quality and customer service standards and procedures
 - material safety data sheets
 - Safe Working Limits (SWL) and Working Load Limits (WLL) of load shifting equipment and storage facilities
 - relevant Australian and international standards, criteria and certification requirements
 - communications technology equipment, oral, aural or signed communications
 - emergency procedures
 - relevant competency standards and training materials
 - QA plans, data and document control
 - conditions of service, legislation and industrial agreements including workplace agreements and awards
- Applicable procedures and codes may include:
- relevant codes and regulations including ADG Code where applicable
 - relevant Australian and international standards and certification requirements
 - relevant state/territory OH&S and environmental protection legislation in terms of duties of employers, employees, suppliers and contractors
 - licence, patent or copyright arrangements
 - relevant workplace relations legislation
 - relevant workers compensation legislation
 - equal opportunity, equal employment opportunity and affirmative action legislation

Unit Sector(s)

Not Applicable

Competency Field

Competency Field J - Quality