



**Australian Government**

**Department of Education, Employment and Workplace Relations**

# **AHCSDT406A Undertake internal audits in a seed laboratory**

**Release 1**

## AHCSDT406A Undertake internal audits in a seed laboratory

### Modification History

| Release | TP Version | Comments        |
|---------|------------|-----------------|
| 1       | AHC10v4    | Initial release |

### Unit Descriptor

This Unit describes the performance outcomes, skills and knowledge required to carry out an internal audit in a seed testing laboratory.

### Application of the Unit

This Unit applies to senior seed analysts working within enterprise guidelines. In general, they oversee the preparation of samples for testing; conduct and supervise specified tests in accordance with enterprise requirements; interpret and report results; maintain record-keeping systems; and have responsibility for overall laboratory operations, the supervision of staff, and implementation of quality assurance procedures.

### Licensing/Regulatory Information

Not applicable.

### Pre-Requisites

Nil.

### Employability Skills Information

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 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.

## Elements and Performance Criteria

1. Prepare for internal audit
  - 1.1 Previous internal audits are reviewed.
  - 1.2 Relevant enterprise documents are sourced and reviewed.
  - 1.3 **Audit plan** is prepared to suit staff availability and laboratory operations.
  - 1.4 Appropriate checklists and audit related documentation are prepared.
  - 1.5 In consultation with management, specific **methods and techniques are agreed.**
2. Conduct audit
  - 2.1 **Seed testing techniques** are conducted by analysts and observed and reported on by auditor.
  - 2.2 Questioning strategies are used to obtain further information from analysts on testing techniques and approaches.
  - 2.3 Deviations to the SOPs observed during observations of testing are relayed to the analyst.
  - 2.4 Seed storage, chemical store and sampling areas are inspected.
  - 2.5 Work charts, schedules, reports and plans are scrutinized.
  - 2.6 The availability and currency of **laboratory documents** are reviewed.
  - 2.7 **Archived documents** are inspected to ensure they are complete and meet statutory holding period.
3. Report findings
  - 3.1 Staff meeting is held to discuss outcomes of audit.
  - 3.2 Continuous improvement forms are completed by auditor with suggested corrective actions.
  - 3.3 An Audit Report is prepared and provided to management for review.
  - 3.4 Continuous improvement forms are presented at future staff meetings until corrective action is completed.
  - 3.5 Data collected during audit is filed in laboratory information management system.
  - 3.6 Confidentiality and security of enterprise information and laboratory data is maintained.

## Required Skills and Knowledge

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

### Required skills include:

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#### Ability to:

- communicate with laboratory staff and management to explain audit requirements and outcomes
- organise and manage time to sequence audit tasks, meet timelines and arrange meetings
- use problem-solving skills to identify any issues that have the potential to impact on the auditing process or outcome, and to develop options to resolve these issues when they arise.

### Required knowledge includes:

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#### Knowledge of:

- the role of the International Seed Testing Association (ISTA) and the ISTA Rules for Seed Testing
- auditing methods and techniques
- seed testing techniques, equipment and methodologies
- enterprise standard operating procedures (SOPs)
- relevant legislation affecting business operation.

## 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.

|                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                            |
|----------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Overview of assessment                                                                       |                                                                                                                                                                                                                                                                                                                                                                                            |
| Critical aspects for assessment and evidence required to demonstrate competency in this Unit | <p>Evidence of the following is required:</p> <ul style="list-style-type: none"><li>• preparation of audit plan and strategy for a seed testing laboratory</li><li>• gathering of data and information by a variety of methods</li><li>• developing a continuous improvement report with suggested corrective actions</li><li>• preparing an audit report for management review.</li></ul> |
| Context of and specific resources for assessment                                             | <p>Competency requires the application of work practices under work conditions. Selection and use of resources for some worksites may differ due to the regional or enterprise circumstances.</p>                                                                                                                                                                                          |
| Method of assessment                                                                         | <p>This Unit should be assessed together with core Units and other Units of Competency relevant to the function or work role.</p>                                                                                                                                                                                                                                                          |
| Guidance information for assessment                                                          | <p>To ensure consistency of performance, competency should be demonstrated on more than one occasion over a period of time in order to cover a variety of circumstances, cases and responsibilities, and where possible, over a number of assessment activities.</p>                                                                                                                       |

## 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.

|                                                     |                                                                                                                                                                                                                                                                                                                                                                                                    |
|-----------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b><i>Audit plan</i></b> may include:               | <ul style="list-style-type: none"> <li>• audit requirements and/or identification of relevant quality system documentation</li> <li>• provision of personnel for audit</li> <li>• confidentiality requirements</li> <li>• reporting procedures</li> <li>• time lines and schedules.</li> </ul>                                                                                                     |
| <b><i>Seed testing techniques</i></b> may include:  | <ul style="list-style-type: none"> <li>• working sample preparation</li> <li>• purity tests</li> <li>• germination test</li> <li>• tetrazolium test</li> <li>• determination of other seed</li> <li>• seed identification</li> <li>• 1000 seed weight test</li> <li>• moisture content test.</li> </ul>                                                                                            |
| <b><i>Laboratory documentation</i></b> may include: | <ul style="list-style-type: none"> <li>• Standard Operating Procedures (SOP's)</li> <li>• tolerance tables for analyst use</li> <li>• quality manual</li> <li>• quality policy manual</li> <li>• organisational chart</li> <li>• continuous improvement forms</li> <li>• customer complaint file</li> <li>• staff development and training records</li> <li>• seed reference collection</li> </ul> |
| <b><i>Archived documents</i></b> may include:       | <ul style="list-style-type: none"> <li>• ISTA Certificates</li> <li>• Analysis Certificates (non-ISTA)</li> <li>• audit reports</li> <li>• request forms</li> <li>• calibration records</li> <li>• equipment log books.</li> </ul>                                                                                                                                                                 |

## **Unit Sector(s)**

Seed Testing