



Australian Government

AMPQUA416 Conduct an internal audit of a documented program

Release: 1

AMPQUA416 Conduct an internal audit of a documented program

Modification History

Release	Comments
Release 1	This version released with AMP Australian Meat Processing Training Package Version 8.0.

Application

This unit describes the skills and knowledge required to conduct an internal audit of a documented program.

This unit applies to plant managers, quality management personnel, managers and marketing personnel who have a role in scheduling, preparing for and conducting an internal audit in a meat processing premises. The scope of the audit may include operational areas such as food safety, workplace health and safety, vendor and environmental programs. This may include industry standards and codes.

Work in this unit must be carried out to comply with the appropriate Australian Standard.

All work must be carried out to comply with workplace procedures, according to state/territory health and safety and food 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.

Pre-requisite Unit

Nil

Unit Sector

Quality Assurance (QUA)

Elements and Performance Criteria

Elements	Performance Criteria
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>

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1. Plan the audit	1.1 Interpret audit schedule and plan and organise the timely conduct of internal audit 1.2 Determine objectives, scope and criteria of audit according to workplace requirements 1.3 Assemble and brief audit team about the objectives, scope and criteria of the audit 1.4 Notify those affected by and involved in the audit, and document responsibilities according to workplace requirements 1.5 Notify stakeholders involved in an internal audit according to workplace requirements 1.6 Identify procedures, records and workplace documentation needed for the audit 1.7 Document evidence collection methods and sources to be used during the audit, including developing workplace checklists according to workplace specifications 1.8 Conduct a document review prior to audit
2. Conduct the audit	2.1 Conduct an entry meeting with relevant parties to explain the purpose, scope and criteria for the audit, the methods to be used for conducting the audit, and procedures for reporting and following up results 2.2 Conduct an audit of the program according to workplace and regulatory requirements 2.3 Use effective communication skills when conducting the audit 2.4 Collect verifiable objective evidence against the criteria of the audit 2.5 Make findings using the objective evidence against the audit criteria 2.6 Identify and categorise non-conformances according to workplace requirements 2.7 Record audit activity according to workplace requirements
3. Report on audit findings	3.1 Prepare an audit report, detailing areas of the program that were audited and findings against the audit criteria, including non-conformances 3.2 Document objective evidence according to workplace standards 3.3 Keep records of audit process, objective evidence and findings

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	according to workplace and regulatory requirements 3.4 Report findings according to workplace requirements
4. Confirm and close out corrective action	4.1 Verify the effectiveness of corrective actions 4.2 Maintain records of the 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
Learning	- Conduct research to identify, collect and analyse evidence - Use information systems, technologies and software to manage security, authorisation and distribution of audit data and records
Reading	- Interpret relevant Commonwealth, state and/or territory legislation, regulations and related codes of practice, and determine the legal responsibilities of the business - Interpret relevant codes or compliance program requirements
Oral communication	Use negotiation skills to organise and facilitate audit processes, including following meeting procedures and resolving issues
Numeracy	Analyse processing data to recognise trends

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
AMPQUA416 Conduct an internal audit of a documented program	AMPX404 Conduct an internal audit of a documented program	Unit code updated Performance Criteria clarified Foundation Skills added Performance Evidence,	Equivalent

Code and title current version	Code and title previous version	Comments	Equivalence status
		Knowledge Evidence and Assessment Conditions reworded for clarity	

Links

Companion Volumes, including Implementation Guides, are available at VETNet: -
<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=5e2e56b7-698f-4822-84bb-25adbb8443a7>

Assessment Requirements for AMPQUA416 Conduct an internal audit of a documented program

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Performance Evidence

An individual demonstrating competency must satisfy all of the elements and performance criteria in this unit.

There must be evidence that the individual has conducted at least one internal audit of a documented program, or section, within a meat processing facility, including:

- planned and organised audit activities
- gathered, analysed and recorded data accurately
- communicated the audit process, requirements and findings to relevant personnel clearly and accurately
- identified and followed the audit trail
- interpreted evidence and made a judgement on the level of compliance
- prepared factual and objective audit reports.

Knowledge Evidence

An individual must be able to demonstrate the knowledge required to perform the tasks outlined in the elements and performance criteria of this unit. This includes knowledge of:

- audit management processes to develop and implement an audit against an agreed plan, including an understanding of the scope/level of authority to revise the resource and allocate time allocations to take account of variation to plan
- 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 (CCPs) and establish critical limits, appropriate to the nature of the hazard, the requirements of the audit and the industry sector
- personal attributes required of an auditor
- 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 hazards within the documented system
- vocabulary and terms relating to food safety, including terms and jargon used to describe technical processes, industry standards and common biological and chemical terms.

Assessment Conditions

Assessment of the skills in this unit of competency must take place under the following conditions:

- physical conditions:
 - skills must be demonstrated in a meat processing workplace or an environment that accurately represents workplace conditions
- resources, equipment and materials:
 - workplace reporting and monitoring systems
- specifications:
 - policies and procedures that support the documented program
 - data collected from the documented system
- relationships:
 - interactions with work team.

Assessment for this unit must include at least three forms of evidence.

Assessors of this unit must satisfy the requirements for assessors in applicable vocational education and training legislation, frameworks and/or standards.

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