



Australian Government

AMPQUA418 Conduct a document review

Release: 1

AMPQUA418 Conduct a document review

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 undertake a document review of a workplace's Approved Arrangement or quality system for compliance with regulatory and commercial requirements.

This unit applies to individuals who document reviews of an Approved Arrangement or quality system. Such reviews are typically carried out by a quality assurance officer or team, or a regulatory authority. This unit would also apply to first line managers, including supervisors and team leaders.

Individuals must demonstrate industry recognised technical expertise in the area being audited.

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>
1. Plan the document	1.1 Determine the objectives, scope and criteria for the document

Elements	Performance Criteria
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
review	review 1.2 Identify relevant and current regulatory and commercial requirements 1.3 Define audit client and reporting processes 1.4 Select an audit team with appropriate technical expertise against the scope
2. Develop document review checklist	2.1 Develop checklist questions against the document review criteria 2.2 Validate the checklist and ensure it covers all applicable regulations and/or commercial requirements as defined by the scope
3. Conduct document review	3.1 Identify and retrieve required workplace documents for review from workplace system 3.2 Establish the authenticity of the documents being reviewed 3.3 Review documents against the prepared checklist, and determine compliance with each element on the checklist 3.4 Identify and raise non-conformances against nominated criteria
4. Report on outcomes of document review	4.1 Collate and report on findings according to workplace requirements 4.2 Consult with relevant personnel and raise corrective actions where required according to workplace requirements 4.3 Close out audit
5. Confirm and close out corrective actions	5.1 Evaluate the effectiveness of the corrective action after an agreed time interval 5.2 Close out corrective actions according to workplace requirements 5.3 Report on the document review and corrective actions taken

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
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Skill	Description
Learning	- Gather and interpret evidence and make a judgment on the level of compliance - Reference the specific requirement that has not been met when a non-conformity is issued - Use information systems, technologies and software to manage security, authorisation and distribution of review data and records
Reading	- Interpret regulatory or commercial requirements for quality system - Interpret detail in documents to determine conformance or non-conformance
Writing	Prepare factual and objectively written reports
Oral communication	Interact effectively with team members

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
AMPQUA418 Conduct a document review	AMPX425 Conduct a document review	Unit code updated Performance Criteria clarified Foundation Skills added Performance Evidence, Knowledge Evidence and Assessment Conditions revised	Not equivalent

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 AMPQUA418 Conduct a document review

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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 a document review of at least one section of the Approved Arrangement or quality system within area of technical expertise, including:

- planned and organised activities to conduct the review effectively
- interpreted evidence and made a judgment on the level of compliance
- prepared factual reports for audit
- interacted effectively with team members.

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:

- the specified regulatory and commercial requirements of the Approved Arrangement or quality system and their impact on the nominated workplace
- audit management strategies to develop an audit plan and audit processes
- legislation, regulations, orders, codes and standards applicable to the areas being audited
- the structure, authority levels and lines of reporting within the organisation.

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 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 Approved Arrangement or quality 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.

Links

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<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=5e2e56b7-698f-4822-84bb-25adbb8443a7>