



Australian Government

AMPQUA421 Prepare for and respond to an external audit of the establishment's quality system

Release: 1

AMPQUA421 Prepare for and respond to an external audit of the establishment's quality system

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 prepare for and respond to an audit of a quality system conducted by an external party.

This unit is applicable to managers and quality assurance personnel who prepare for and facilitate external audits by regulators, accrediting agencies, customers or overseas reviewers in a food or meat processing premises.

All work must be carried out to comply with workplace procedures, according to state/territory health and safety, food and meat 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. Prepare for external audit	1.1 Document and schedule known or expected dates of external audits according to workplace practices 1.2 Confirm dates and notify all relevant company personnel

Elements	Performance Criteria
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
2. Identify audit scope and prepare team	2.1 Identify audit scope 2.2 Identify size of team who will prepare, and roles of team members 2.3 Assemble team who will prepare for external audit and make necessary notifications throughout the workplace 2.4 Brief team on scope of preparation for audit 2.5 Convey audit scope to people affected by external audit processes
3. Review internal audit reports to check areas expected to be covered in the external audit	3.1 Conduct internal audits, where necessary, and develop reports according to workplace policy and procedures 3.2 Review previous internal audit reports and production reports to identify past problem areas and corrective actions 3.3 Monitor and review previous problem areas 3.4 Review previous customer complaints that reflect on food production and safety
4. Make arrangements for the external audit process	4.1 Make arrangements for the external audit and confirm with the auditors 4.2 Make arrangements for greeting the external auditors and the provision of a workplace guide according to workplace requirements 4.3 Notify relevant internal departments of the arrangements 4.4 Determine roles and responsibilities of enterprise personnel in the audit process
5. Accompany the external auditors	5.1 Facilitate entry and exit interviews 5.2 Escort external auditors for the duration of the audit according to established arrangements and workplace procedures
6. Report on the external audit	6.1 Report external audit finding according to workplace requirements 6.2 Communicate external audit findings to relevant individuals 6.3 Follow up on external audit findings and take corrective action, where appropriate

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	• Gather and interpret evidence and make a judgment on the level of compliance • 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 objective reports
Oral communication	• Interact clearly and effectively with team members and external auditors

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
AMPQUA421 Prepare for and respond to an external audit of the establishment's quality system	AMPX406 Manage or oversee an external audit of the establishment's quality system	Unit code and title updated Performance Criteria clarified Foundation Skills added Performance Evidence, Knowledge Evidence and Assessment Conditions reworded for clarity	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 AMPQUA421 Prepare for and respond to an external audit of the establishment's quality system

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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 prepared for, and responded to, at least one external audit of an establishment's quality system, including:

- scheduled and managed the planning for external audits
- prepared internal reports for auditors covering expected areas of focus
- facilitated access and accompanied external auditors during audit
- reported the results of the external audit, including any corrective actions that need to be taken, to management.

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:

- regulatory and other requirements for external audits
- the specified regulatory and commercial requirements of the 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 food or 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 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>