



Australian Government

AMPX404 Conduct an internal audit of a documented program

Release: 1

AMPX404 Conduct an internal audit of a documented program

Modification History

Release	TP Version	Comment
1	AMPv1.0	Initial release

Application

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

This unit is applicable to plant managers, Quality Assurance (QA) personnel, managers and marketing personnel who have a role in scheduling, preparing for and conducting an internal audit in a meat processing plant. 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 should be carried out to comply with workplace requirements.

This unit applies to individuals who take responsibility for their own work and for the quality of others' work within known parameters. They provide and communicate solutions to a range of predictable and sometimes unpredictable problems.

This unit must be delivered and assessed in the context of Australian meat industry standards and regulations.

No occupational licensing, legislative or certification requirements are known to apply to this unit at the time of publication.

Pre-requisite Unit

Unit Sector

Elements and Performance Criteria

Element	Performance criteria
Elements describe the essential outcomes.	Performance criteria describe the performance needed to demonstrate achievement of the element.
1. Plan the audit	1.1 Interpret audit schedule and plan and organise the timely conduct of internal audit

Element	Performance criteria
	1.2 Determine objectives, scope and criteria of audit according to workplace requirements 1.3 Assemble and brief audit team, as required, 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 in accordance with 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 in accordance with 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 which were audited and findings against the audit criteria, including non-conformances, where applicable 3.2 Document objective evidence according to workplace standards 3.3 Keep records of audit process, objective evidence and findings in accordance with 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

Foundation Skills essential to performance are explicit in the performance criteria of this unit of competency.

Range of Conditions

Unit Mapping Information

MTMPS415A Conduct an internal audit of a documented program	E
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Links

Companion Volume implementation guides are found in VETNet -

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

Assessment Requirements for AMPX404 Conduct an internal audit of a documented program

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Performance Evidence

The candidate must conduct an internal audit of at least one complete section of a documented program.

The candidate must:

- locate relevant commonwealth, state and/or territory legislation, regulations and related codes of practice and determine the legal responsibilities of the business
- locate relevant codes or compliance program requirements
- communicate the audit process, requirements and findings to relevant personnel clearly and accurately
- apply planning skills to ensure the smooth conduct of the audit process
- use negotiation skills to organise and facilitate audit processes, including following meeting procedures and resolving issues
- identify and follow an audit trail
- conduct research to identify, collect and analyse evidence
- gather, analyse and record data accurately
- plan and organise audit activities
- use information systems, technologies and software to manage security, authorisation and distribution of audit data and records
- interpret evidence and make a judgement on the level of compliance
- prepare well-balanced, factual and objective written audit reports

Knowledge Evidence

The candidate must demonstrate a broad factual, technical and theoretical 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 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 food safety hazards including HACCP as described in the Codex Alimentarius Guidelines
- 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

Competency must be demonstrated while conducting an internal audit of an operating meat processing enterprise.

All evidence must be collected in the context of current Australian meat industry standards and regulations.

As a minimum, the following three forms of assessment must be used:

- quiz of underpinning knowledge
- workplace demonstration
- workplace referee or third-party report of performance over time

Assessors must satisfy current standards for RTOs.

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