



Australian Government

AMPX425 Conduct a document review

Release: 1

AMPX425 Conduct a document review

Modification History

Release	TP Version	Comment
1	AMPv1.0	Initial release

Application

This unit describes the skills and knowledge required to undertake a document review of a company's Approved Arrangement or Quality system for compliance with regulatory and commercial requirements.

Document reviews of an Approved Arrangement or Quality System may be carried out by a Quality Assurance Officer/team or a regulatory authority. They may also be carried out by third party providers.

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

This unit is applicable to individuals who are responsible for supervising, developing and managing new recruits. Typically this unit would be applicable to first line managers, including supervisors and may also apply to team leaders.

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

Nil.

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 document review	1.1 Determine the objective(s), scope and criteria of the document review

Element	Performance criteria
	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 against criteria 2.2 Ensure the checklist covers all applicable regulations and/or commercial requirements as defined by the scope
3. Conduct document review	3.1 Identify and retrieve required enterprise documents for review 3.2 Review documents against the prepared checklist and determine compliance with each element on the checklist 3.3 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 and report the effectiveness of the corrective action after an agreed time interval 5.2 Close out Corrective Actions according to workplace requirements

Foundation Skills

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

Range of Conditions

Unit Mapping Information

New unit.

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 AMPX425 Conduct a document review

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Performance Evidence

The candidates must conduct a document review.

The candidate must:

- complete at least one document review of a section of the Approved Arrangement or Quality System within area of technical expertise
- establish the authenticity of the documents being audited
- identify and assemble documents for a minimum of one audit of an Approved Arrangement or Quality System
- develop and validate a checklist for the audit
- verify compliance with regulatory systems and/or commercial requirements
- explain the process of audit and the reasons for the findings made
- be able to reference the specific requirement that has not been met when a non-conformity is issued
- plan and organise audit activities to conduct the audit effectively
- use information systems, technologies and software, where applicable, to manage security, authorisation and distribution of audit data and records
- interpret evidence and make a judgment on the level of compliance
- prepare well-balanced, factual and objective written audit reports
- use communication methods relevant to different groups and audience

Knowledge Evidence

The candidate must demonstrate a broad factual, technical and theoretical knowledge of:

- the specified regulatory and commercial requirements and their impact on the nominated enterprise
- audit management 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 may take place using a sample Approved Arrangement or Quality Assurance system; however, all evidence collected must meet minimum regulatory and commercial requirements.

All evidence must be collected in the context of current Australian standards and regulations, as well as commercial standards which relate to the enterprise.

The assessor and/or assessment team must demonstrate a current working knowledge of the nature, structure and purpose of Approved Arrangements or Quality Assurance system and the regulatory and commercial requirements impacting the nominated enterprise.

The following three forms of assessment must be used:

- Written test or quiz
- Workplace Project
- Workplace referees report

Assessors must satisfy current standards for RTOs.

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