



Australian Government

FBPPPL3005 Participate in an audit process

Release: 1

FBPPPL3005 Participate in an audit process

Modification History

Release	Comments
Release 1	This version released with FBP Food, Beverage and Pharmaceutical Training Package Version 2.0.

Application

This unit of competency describes the skills and knowledge required for individuals to participate in auditing, where it occurs in an area that the person is not directly responsible for and where they are required to follow a formal, structured process. It is designed to support participation in auditing a range of programs designed to identify hazards, assess risk and implement control measures.

At this level, the person would typically work under direction and may be required to operate within established audit procedures. Participation implies that the person can participate in all stages of an audit but is not responsible for negotiating audit scope, allocating audit tasks to others or reporting on audit outcomes.

All work must be carried out to comply with workplace procedures according to state/territory health and safety regulations, legislation and standards that apply to the workplace.

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

People, Planning and Logistics (PPL)

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. Participate in planning an audit	1.1 Establish roles and responsibilities for participating in audit 1.2 Determine the purpose and scope of the audit

Elements	Performance Criteria
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
	1.3 Identify and locate information and resources required for audit
2. Participate in conducting an audit	2.1 Collect information that is adequate, representative and meets audit requirements 2.2 Analyse information to assess adequacy of performance against program 2.3 Review program records to compare with the audit compliance requirements 2.4 Observe compliance with the program in the workplace 2.5 Identify areas requiring corrective action
3. Follow up audit outcomes and prepare action plans	3.1 Assess audit outcomes that present a risk to the program objectives 3.2 Develop a corrective action plan to address the audit outcomes 3.3 Prepare adjustments to work activities to address action plan 3.4 Communicate the results of the audit and required adjustments to appropriate personnel

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
Reading	Read, interpret and consolidate information from briefing notes and other data, and compare against defined criteria and requirements
Writing	Accurately record and complete organisational documents using clear language and correct spelling, grammar and terminology
Oral communication	Clearly explain detailed information using language, tone and pace appropriate to audience
Get the work done	Contribute to continuous improvement of current work practices by applying basic principles of analysis

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
FBPPPL3005 Participate in an audit process	FDFPPL3005A Participate in an audit process	Updated to meet Standards for Training Packages Minor changes to Performance Criteria to clarity intent Prerequisites removed	Equivalent unit

Links

Companion Volume Implementation Guides are found in VETNet: -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=78b15323-cd38-483e-aad7-1159b570a5c4>

Assessment Requirements for FBPPPL3005 Participate in an audit process

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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 participated in an audit process on at least one occasion, including:

- collecting, assessing and providing information as required by the audit process
- acting on risk identified in the audit process
- following up on audit outcomes by developing action plans
- communicating outcomes to work personnel.

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:

- requirements and procedures for participating in an audit
- the purpose and scope of an audit, including the stages involved in the audit process
- roles and responsibilities of individuals involved in an audit process
- types of information required for a range of audit situations, including:
 - health and safety in the workplace
 - quality
 - environmental
- techniques for collecting information, including options, relevance and strengths and weaknesses of each method to ensure data is adequate and representative
- data analysis methods relevant to the audit process
- communication skills and techniques appropriate to the workplace to inform other personnel of audit outcomes and modified work practices
- technical knowledge relevant to the program being audited in order to:
 - verify compliance
 - assess adequacy of control measures

- relevance to industry standards
- purpose and responsibilities for maintaining records
- process to transition audit deficiencies into corrective action plans.

Assessment Conditions

Assessment of skills must take place under the following conditions:

- physical conditions:
 - skills must be demonstrated in a workplace setting or an environment that accurately represents a real workplace to collect data and observe compliance
- resources, equipment and materials:
 - workplace program documentation
 - information systems and data collection technology
- specifications:
 - audit procedures and standards as applied in the workplace
 - relevant legislation, industry standards and codes of practice.

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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