



Australian Government

FBPPPL4007 Manage internal audits

Release: 1

FBPPPL4007 Manage internal audits

Modification History

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

Application

This unit of competency covers the skills and knowledge required to support the management of internal audit processes across a range of programs.

This unit applies to individuals who conduct internal audit processes to support externally audited programs. In this context, auditing must occur in an area that the person is not directly responsible for and where they are required to follow a formal, structured process. In addition to this standard, an auditor would typically work within the audit procedures as outlined in the relevant International Organization for Standardization (ISO) standard.

When conducting a food safety audit, *FBPAUD4003 Conduct food safety audits* should be used.

No occupational licensing or certification requirements 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. Plan an audit	1.1 Negotiate and agree on the purpose and scope of the audit 1.2 Identify and secure information and resources required to conduct the audit 1.3 Develop and negotiate an audit schedule to meet audit scope and

Elements	Performance Criteria
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
	timelines
2. Prepare for an audit	2.1 Determine audit information sample and collection tools 2.2 Identify and communicate roles, responsibilities and authority levels of the audit team to audit team members as appropriate 2.3 Inform affected work areas and personnel of schedule, and advise of their role in the process
3. Monitor the audit process	3.1 Ensure information collected is adequate, representative and meets audit requirements 3.2 Analyse information to assess adequacy of performance against program objectives 3.3 Review records to confirm compliance with the program 3.4 Observe compliance with the program in the workplace 3.5 Identify issues requiring corrective action 3.6 Address obstacles to achieving audit within agreed timelines
4. Report and follow up audit outcomes	4.1 Report situations presenting an imminent and serious risk to the program objectives in accordance with reporting requirements and workplace procedures 4.2 Prepare audit reports to address audit scope requirements 4.3 Communicate the results of the audit to appropriate personnel according to audit purpose and requirements and workplace procedures 4.4 Develop and negotiate a corrective action plan within level of responsibility 4.5 Monitor and confirm implementation of corrective action as set out in the corrective action plan 4.6 Ensure that breaches in corrective action plan are followed up, and action is taken or reported according to level of responsibility and audit purpose

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	Analyse documentation from a variety of sources to determine and compare audit requirements
Writing	Prepare and produce documentation using clear and detailed language in order to convey explicit information, requirements and recommendations for audits

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
FBPPPL4007 Manage internal audits	FDFPPL4008A Manage internal audits	Updated to meet Standards for Training Packages Prerequisites removed Minor changes to Performance Criteria for clarity	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 FBPPPL4007 Manage internal audits

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Performance Evidence

An individual demonstrating competency in this unit must satisfy all of the elements and performance criteria of this unit.

There must be evidence that the individual has managed at least one internal audit, including:

- determining scope of and purpose of audit
- scheduling audit and making required arrangements
- establishing information collection parameters
- selecting information collection techniques
- collecting and analysing information
- ensuring compliance with workplace procedures
- developing and communicating required corrective action plan
- completing workplace records as required.

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 purpose and intent of the program being audited, including the requirements of relevant national, state and local government legislation relating to program purpose and requirements
- auditor roles, responsibilities and legal obligations as relevant to the audit purpose, including:
 - responsibilities of both internal and external auditors
 - different types of auditors and of authorised officers who may be involved in the audit program
- legal responsibilities for reporting imminent and serious non-conformities
- audit requirements relating to work health and safety and quality environmental management audits
- requirements and procedures for certification/registration of auditors and authorised officers according to audit type

- frequency and scope of audit requirements to meet legal obligations
- appropriate ethical conduct of auditors as set out in codes of ethics of auditors, and additional requirements as may be determined by the workplace
- the purpose and stages involved in the audit process, including compliance with International Organization for Standardization (ISO) audit standards as appropriate to audit requirements
- workplace information and related information management systems
- techniques for collecting information, including:
 - appropriate sampling techniques
 - information collection methods
 - the strengths and weaknesses of each method to ensure data is adequate and representative
 - an understanding of techniques identified in the relevant ISO standard.
- data analysis methods relevant to the audit process
- communication skills and techniques, including appropriate questioning, observation and related communication skills to support information collection, appropriate to the workplace
- technical knowledge relevant to the program being audited in order to verify the adequacy of:
 - workplace safety processes and standards
 - control methods, including industry standards/practice
 - monitoring and recordkeeping
 - validation processes
 - corrective action/process improvement procedures
- where program control methods or limits vary from industry standards or where there are no industry standards, technical knowledge required to assess data used by the business to validate acceptable limits (this may be addressed by identifying and involving appropriate technical expertise)
- information management and communication systems to document and communicate audit outcomes in appropriate formats.

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
- resources, equipment and materials:
 - workplace program and related documentation
- specifications:
 - relevant legislation
 - audit procedures and standards, including any external standards relevant to the audit, including ISO standards

- advice on related technical industry standards and codes of practice
- information systems and data collection technology.

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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