



Australian Government

Department of Education, Employment and Workplace Relations

FDFPPL3005A Participate in an audit process

Revision Number: 2

FDFPPL3005A Participate in an audit process

Modification History

November 2011: update to imported unit.

Unit Descriptor

Unit descriptor	This unit of competency covers the skills and knowledge required to participate in an internal audit process and is appropriate where internal audit processes are conducted to support externally audited programs.
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Application of the Unit

Application of the unit	This unit has application where auditing 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. These may include but are not limited to occupational health and safety (OHS), quality and environmental management. At this level, the person would typically work under direction and may be required to operate within established audit procedures, such as those outlined in ISO 10011. 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. When applied to the pharmaceutical industry, FDFPH2001A Apply Good Manufacturing Practice procedures should be selected to support the application of this unit. FDFPH2001A incorporates content covered in FDFOP2063A Apply quality systems and procedures, and can be used as an alternative to this prerequisite unit for this sector.
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Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Prerequisite units		
	FDFOHS2001A	Participate in OHS processes
	FDFOP2063A	Apply quality systems and procedures
	MSAENV272B	Participate in environmentally sustainable work practices

Employability Skills Information

Employability skills	This unit contains employability skills.
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Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.	Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.
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Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Participate in planning an audit	1.1.Roles and responsibilities for participating in the audit are identified 1.2.The purpose and scope of the audit is identified 1.3.Information and resources required to conduct the audit are identified and located
2. Participate in conducting an audit	2.1.Information is collected that is adequate, representative and meets audit requirements 2.2.Information is analysed to assess adequacy of performance against program 2.3.Records are reviewed to confirm compliance with the program 2.4.Compliance with the program is observed in the workplace 2.5.Areas requiring corrective action are identified
3. Report and follow up audit outcomes	3.1.Situations presenting an imminent and serious risk to the program objectives are identified and reported immediately in accordance with reporting requirements 3.2.Audit reports are prepared to address audit scope requirements 3.3.The results of the audit are communicated according to audit purpose and requirements 3.4.A corrective action plan is developed

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

This section describes the skills and knowledge required for this unit.

Required skills

Ability to:

- identify personal roles and responsibilities for participating in the audit process
- identify audit purpose, scope, steps and timelines
- identify and locate information required to conduct the audit
- review workplace documentation to confirm that required information is available
- prepare tools as required to collect information, such as checklists and interview schedules
- identify any changes that have occurred in the workplace since initiating the program or since the last program audit that could affect program outcomes
- apply appropriate questioning, observation and related communication skills to support information collection
- review records, conduct interviews, observe workplace practice and collect other relevant information as required to assess compliance with program requirements
- take immediate action to report non-conformities that present an imminent and serious risk to the program objectives within level of responsibility
- identify, investigate and record evidence of non-conformance and judge significance
- assess the adequacy of the program by analysing the information collected against the program objectives
- form conclusions on audit outcomes based on an objective assessment of evidence collected
- report the findings of the audit in appropriate format
- communicate audit outcomes within level of responsibility using techniques and presentation styles appropriate to the audience
- where findings indicate either a failure to comply with the program or inadequacy of the program, participate in investigation of causes of failure and identification of corrective action options
- use oral communication skills/language competence to fulfil the job role as specified by the organisation, including questioning, active listening, asking for clarification and seeking advice from supervisor
- work cooperatively within a culturally diverse workforce

Required knowledge

Knowledge of:

- the purpose and intent of the program being audited
- personal roles and responsibilities in the audit process and related responsibilities

REQUIRED SKILLS AND KNOWLEDGE

- of other members of the audit team
- the purpose and stages involved in the audit process
- workplace information and related information management systems
- 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
- technical knowledge relevant to the program being audited in order to verify compliance and assess adequacy of existing control measures, including relevant industry standards
- purpose and responsibilities for maintaining records

Evidence Guide

EVIDENCE GUIDE

The Evidence Guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

Overview of assessment

Assessment must be carried out in a manner that recognises the cultural and literacy requirements of the assessee and is appropriate to the work performed. Competence in this unit must be achieved in accordance with food safety standards and regulations.

Critical aspects for assessment and evidence required to demonstrate competency in this unit

Evidence of ability to:

- identify the requirements and procedures for participating in the audit
- identify the purpose and scope of the audit
- collect, assess and provide information as required by the audit process
- identify and act on inconsistencies or issues which may affect audit processes or outcomes
- comply with audit requirements
- follow up on audit outcomes.

Context of and specific resources for assessment

Assessment must occur in a real or simulated workplace where the assessee has access to:

- workplace program documentation
- audit procedures and standards as applied in the workplace
- advice on related legislation, industry standards and codes of practice
- information systems and data collection technology
- reporting formats/requirements
- workplace/personnel as required to collect data/observe compliance.

Method of assessment

This unit should be assessed together with core units and other units of competency relevant to the function or work role. In addition, the following optional unit may be relevant:

- BSBRES401A Analyse and present research information.

Guidance information for assessment

To ensure consistency in one's performance, competency should be demonstrated on more than one occasion over a period of time in order to cover a variety of

EVIDENCE GUIDE

	circumstances, cases and responsibilities, and where possible, over a number of assessment activities.
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Range Statement**RANGE STATEMENT**

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

Audits

Audits may be conducted against workplace programs and/or legislative requirements. Audits may be undertaken for advisory or regulatory purposes and may be led by internal or external auditors

Information collection methods

Information collection methods include:

- interviews
- observation
- review of workplace records
- accessing relevant technical information

Corrective action plans

A corrective action plan identifies non-conformance, corrective actions, date by which action must be taken and any other follow up requirements

Unit Sector(s)**Unit sector**

People management/planning/logistics

Competency field

Competency field	
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Co-requisite units

Co-requisite units		