



**Australian Government**

**Department of Education, Employment and Workplace Relations**

# **PRMWM35B Undertake process audit**

**Release: 1**

## **PRMWM35B Undertake process audit**

### **Modification History**

Not Applicable

### **Unit Descriptor**

#### **Unit descriptor**

This unit of competency describes conducting a process audit to determine clients' processing and waste management and minimisation practices.

### **Application of the Unit**

Not Applicable

### **Licensing/Regulatory Information**

Not Applicable

### **Pre-Requisites**

Not Applicable

### **Employability Skills Information**

Not Applicable

### **Elements and Performance Criteria Pre-Content**

Not Applicable

## Elements and Performance Criteria

### ELEMENT

### PERFORMANCE CRITERIA

#### 1 Organise for audit

- 1.1 Determine process *audit requirements* from consultation with *client*, company process audit methodology and review of findings of waste assessment, where available
- 1.2 Obtain written approval for *process audit* from the client in accordance with *company requirements*
- 1.3 Obtain *equipment* for audit in accordance with audit requirements
- 1.4 Identify *details relating to access to site and site requirements* and follow in accordance with job requirements
- 1.5 Identify from process audit requirements locations of plant/equipment to be audited and clarify with client
- 1.6 Organise audit with client to coincide with specific processes and operations
- 1.7 Select and fit *personal protective equipment* in accordance with job requirements, *manufacturers' specifications*, company requirements and OHS and other relevant legislation
- 1.8 Identify *potential risks and hazards* to job requirements and manage in accordance with company requirements, OHS and other relevant legislation

#### 2 Conduct audit

- 2.1 Conduct process audit in accordance with audit requirements, company requirements, OHS and other relevant legislation
- 2.2 Document all processes with actual and potential sources of waste in each process clearly identified
- 2.3 Identify and list all inputs, outputs and material balances of processing
- 2.4 Observe and assess work processes for efficiency and effectiveness in waste management and minimisation
- 2.5 Quantify, characterise and source all *waste streams* produced to determine how and why they are generated in accordance with process audit requirements
- 2.6 Where applicable, identify and record

| ELEMENT                   | PERFORMANCE CRITERIA                                                                                                                     |
|---------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
|                           | processes for the pre-treatment, storage, handling and disposal of waste                                                                 |
|                           | 2.7 Interview relevant personnel to determine operational and process characteristics                                                    |
| 3 Document audit findings | 3.1 Compile and tabulate all collected audit data and provide to relevant personnel                                                      |
|                           | 3.2 Document all <i>details of audit activity</i> accurately and promptly in accordance with audit requirements and company requirements |

## Required Skills and Knowledge

Refer to Evidence Guide

## Evidence Guide

### EVIDENCE GUIDE

#### Critical aspects of competency

- Thoroughly prepares for waste audit including determining audit requirements, obtaining necessary equipment, clarifying details relating to access to site and site requirements, confirming locations of sites/processes to be audited, selecting and fitting necessary PPE, identifying and managing potential risks and hazards to work environment
- Correctly identifies and lists all inputs, outputs and by-products of processes
- Observes work processes for efficiency and effectiveness in waste management and minimisation
- Correctly identifies and quantifies wastes, and sources wastes to determine how and why they were generated

#### Knowledge needed to achieve the performance criteria

Knowledge and understanding are essential to apply this unit in the workplace, to transfer the skills to other contexts, and to deal with unplanned events. The knowledge requirements for this unit are listed below.

- Common reasons for undertaking a process audit.
- Industry practice for conducting process audits.
- Waste analytical methods.
- Standard audit requirements and procedures.
- Waste types, streams and characteristics.
- Measurements, including weights and volumes.
- Recording techniques.
- Company requirements.
- Potential risks and hazards in waste auditing.
- Emergency response procedures.
- Occupational health and safety requirements.
- Duty of care in provision of services.
- Relevant industry standards.
- Relevant legislation.
- Relevant environmental regulations.
- OHS hierarchy of control.

#### Specific skills needed to achieve the performance criteria

To achieve the performance criteria, some complementary skills are required. These are:

- communication including liaison, interpersonal, listening, questioning, following instructions
- reading and interpreting assessment findings
- methodical organisation of work
- identifying processes
- drawing flowcharts
- calculating materials balances
- identification of waste types, streams and characteristics
- recording information
- accuracy and attention to detail
- computer skills

- using communications equipment (two-way radio and mobile phone)
- report preparation
- estimating
- hazard identification
- basic numeracy skills including measurements and calculations (weights, volumes and quantities)
- following MSDS
- use of emergency and personal protective equipment
- safe and efficient work practices.

**Other units of competency that could be assessed with this unit**

This unit could be assessed on its own or in combination with other competencies relevant to the job function, for example BSBSBM404A Undertake business planning.

**Resources required to assess this unit**

The following resources should be available:

- process audit requirements
- audit environment
- audit equipment
- site requirements
- personal protective equipment
- measurement and calculation tools (e.g. recording equipment, weight/volume measurement, calculator)
- case studies.

**Gaining evidence to assess this unit**

For valid and reliable assessment of this unit, the competency should be demonstrated over a period of time and be observed by the assessor (or assessment team working together to conduct the assessment). The competency is to be demonstrated in a range of situations, which may include customer/workplace interruptions and involvement in related activities normally experienced in the workplace.

Evidence of competency is best obtained by observing activities in the field and reviewing process audit. If this is not practicable, observations in realistic simulated environments may be substituted.

**Consistency in performance**

Assessment requires that strategies meet the objectives of clients and comply with industry expectations in the particular client environment. If the environment is narrowly defined or is not representative of industry needs, it will be necessary to assess the unit within a variety of waste management environments or different client needs to assess competency process audit. Oral questioning or written assessment and hypothetical situations (scenarios) may be used to assess underpinning knowledge. (In assessment situations where the candidate is offered a preference between oral questioning and written audit, questions are to be identical.)

Supplementary evidence may be obtained from relevant authenticated correspondence from existing supervisors, team leaders or specialist training staff.

Note: All practical demonstrations must adhere to the safety and environmental regulations relevant to each state or territory.

**Key competency levels**

There are a number of processes that are learnt throughout work and life that are required in all jobs. They are fundamental processes and generally transferable to other work functions. Some of these are covered by the key competencies, although others may be added.

Information below highlights how these processes are applied in this competency standard.

- |                              |                                             |                                                     |
|------------------------------|---------------------------------------------|-----------------------------------------------------|
| <b>1</b> Perform the process | <b>2</b> Perform and administer the process | <b>3</b> Perform, administer and design the process |
|------------------------------|---------------------------------------------|-----------------------------------------------------|

|                                                                         |   |                                                                                                                                                                                                                                           |
|-------------------------------------------------------------------------|---|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| How can <b>communication of ideas and information</b> be applied?       | 2 | Discuss relevant issues with appropriate personnel about the audit process.                                                                                                                                                               |
| How can <b>information be collected, analysed and organised</b> ?       | 2 | Gather and analyse information from a number of sources (including relevant legislation, manufacturers' specifications, audit requirements, process audit requirements documentation and company specifications) about the audit process. |
| How are <b>activities planned and organised</b> ?                       | 2 | Plan and organise methods to conduct audit in accordance with company requirements.                                                                                                                                                       |
| How can <b>teamwork</b> be applied?                                     | 1 | Work cooperatively with colleagues to conduct ongoing audit processes.                                                                                                                                                                    |
| How can the use of <b>mathematical ideas and techniques</b> be applied? | 1 | Conduct and document appropriate mathematical calculations used throughout the audit process.                                                                                                                                             |
| How can <b>problem-solving skills</b> be applied?                       | 1 | Discuss potential problems and solutions that may arise throughout the audit process.                                                                                                                                                     |
| How can the <b>use of technology</b> be applied?                        | 1 | Demonstrate understanding of technological principles and physical skills to use appropriate equipment.                                                                                                                                   |

## Range Statement

### RANGE STATEMENT

The range statement links the required knowledge and organisational and technical requirements to the workplace context. It describes any contextual variables that will be used or encountered when applying the competency in work situations. It allows for different work practices and work and knowledge requirements as well as for differences between organisations and workplaces. The following variables may be present for this particular unit.

**Audit requirements** include:

- checklist
- company requirements
- compliance with legislation or regulations
- date
- identifying recyclable types
- location
- measurement and recording requirements
- personnel and equipment requirements
- processes to be audited
- public health/safety

- site contacts
- site requirements
- specific functions requiring observation and audit
- time.

**Client/company** includes all forms of business enterprises in this context including government agencies, local governments/councils, private and public companies, and residents/ratepayers.

**Company requirements** are found in briefing documents, letters, quality assurance documents, tender/contract documents and verbal or written instructions.

**Details of audit activity** include but are not limited to:

- accidents/injuries
- checklist
- date
- equipment used
- location
- results/findings
- time
- waste disposal.

**Details relating to access to site and specific site requirements** include but are not limited to:

- access and egress points
- noise control
- occupational health and safety requirements
- personal protective equipment
- security clearance
- time of access
- union requirements
- work permits.

**Emergency and personal protective equipment** must include:

- appropriate footwear
- communications equipment
- eye protection
- eyewash kit
- fire extinguishers
- First Aid kit
- gloves
- overalls and protective clothing.

**Emergency and personal protective equipment** could also include:

- breathing apparatus
- emergency procedure guides
- face shield/mask
- hard hat
- hearing protection
- material safety data sheets (MSDS)
- spill kit.

**Emergency response action/procedures** include but are not limited to:

- clean up
- contain emergency
- equipment/plant isolation and shut-down
- evacuation
- First Aid
- make safe
- notification of authorities
- use of appropriate personal protective equipment.

**Equipment** includes:

- barriers and warning signs
- camera
- computer
- personal protective equipment (PPE)
- process charts and diagrams
- recording and counting equipment
- reference manuals
- site maps
- software.

**Manufacturers' specifications** are found in equipment specifications and operator manuals.

**Performance of this unit** is carried out in accordance with relevant requirements of the following:

- Australian Standards
- environmental regulations
- legislative requirements
- manufacturers' specifications
- organisational procedures
- relevant state/territory regulations.

**Personal protective equipment** required will be stored, maintained and worn/fitted in accordance with company requirements and occupational health and safety and other legislation.

**Potential risks and hazards** are those risks and hazards identified by the organisation that could lead to injury or illness of employees, contractors, visitors or the public; damage to plant, vehicles or property; or that could cause harm to the environment.

This relates to on-site and off-site activities (whether company owned or occupied premises, customer/client premises or public property) over which it could be expected the organisation had control.

**Processes to be audited** could be behavioural, biological, chemical, computerised, mechanical and physical.

**Safe operating procedures** include any activity or operation conducted on site to ensure health and safety of personnel/equipment in the area.

**Site** may include business premises, landfill site, local government area, plant/factory, private residence and waste processing plant.

**Waste streams** include various categories of:

- chemical waste

- construction and demolition
- dangerous goods
- green waste
- hazardous waste
- municipal waste
- prescribed waste
- putrescibles
- quarantine
- recyclables liquid
- regulated waste
- solid inert.
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## **Unit Sector(s)**

Not Applicable