Modification history

Release	Comments
Release 1	This version released with FWP Forest and Wood Products Training Package Version 8.0.

FWPCOT4XXX	Conduct internal audit of chain of custody certification for forest and wood products
Application	This unit of competency describes the skills and knowledge required to plan and implement an internal audit of chain of custody certification in a forest or wood products business. The unit applies to quality assurance personnel, managers and other personnel who are responsible for scheduling, preparing for and conducting internal audits of chain of custody certification in forest and wood product procurement, processing, sales and distribution operations. No licensing, legislative or certification requirements apply to this unit at the time of publication. Individuals must comply with any qualification requirements for internal auditors set by the relevant chain of custody certification body.
Prerequisite Unit	Nil
Unit Sector	Common Technical (COT)

Elements	Performance Criteria
Elements describe the essential outcomes.	*Performance criteria describe the performance needed to demonstrate achievement of the element.*
1. Plan internal audit of chain of custody certification	1.1 Identify all requirements to be included in internal audit according to workplace and certification body policies and procedures 1.2 Prepare audit schedule to ensure that all requirements are audited at a frequency commensurate with risk 1.3 Confirm objectives, scope and criteria of audit according to chain of custody certification scheme and workplace requirements 1.4 Inform audit team of objectives, scope and criteria of the audit and importance of ethical behaviour, as required 1.5 Identify procedures, records and documentation required for the internal audit 1.6 Confirm all sites, business units and personnel, including contractors and organisations performing outsourced functions if required, that will be included in the scope of the audit 1.7 Develop checklists and document evidence collection methods and sources to be used during the audit according to chain of custody certification scheme and workplace requirements 1.8 Review documents prior to conduct of internal audit.
2. Conduct internal audit of chain of custody certification	2.1 Inform relevant parties, including contractors and organisations performing outsourced functions if required, of the purpose, scope and criteria for the audit, the audit methods to be used, and procedures for reporting and following up results 2.2 Conduct audit in accordance with chain of custody certification scheme and workplace requirements 2.3 Use effective communication and negotiation skills when interacting with other while conducting the audit 2.4 Collect verifiable objective evidence against the criteria of the audit 2.5 Make findings using the objective evidence against the audit criteria 2.6 Identify and categorise non-conformances according to chain of custody certification scheme and workplace requirements 2.7 Record audit activities

Elements	Performance Criteria
Elements describe the essential outcomes.	*Performance criteria describe the performance needed to demonstrate achievement of the element.*
3. Report outcomes of internal audit of chain of custody certification	3.1 Prepare audit report, detailing areas of the chain of custody certification which were audited and audit findings including non-conformances, where applicable 3.2 Document objective evidence according to chain of custody certification scheme and workplace requirements 3.3 Maintain records of audit process, objective evidence and findings 3.4 Report audit findings according to chain of custody certification scheme and workplace requirements
4. Confirm implementation of corrective action	4.1 Verify the implementation and effectiveness of corrective actions 4.2 Maintain records of effectiveness of corrective actions

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 and comprehend workplace documents used in internal audit of chain of custody certification
Writing	• Compile written notes and prepare reports used in internal audit process
Oral Communication	• Ask questions using appropriate language to clarify workplace processes
Numeracy	• Interpret graphical and statistical information in workplace records relevant to internal audit procedures for chain of custody certification

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
FWPCOT4XXX Conduct internal audit of chain of custody certification for forest and wood products	Not applicable	The unit has been created to address a skill or task required by industry that is not covered by an existing unit.	New unit

Links	Companion Volumes, including Implementation Guides, are available at VETNet: https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=0d96fe23-5747-4c01-9d6f-3509ff8d3d47

TITLE	Assessment requirements for FWPCOT4XXX Conduct internal audit of chain of custody certification for forest and wood products

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 conducted one internal audit of chain of custody certification in either a forest and wood processing, sales or distribution business.

In performing this task, the individual has:
- sourced standards and internal audit requirements for the relevant chain of custody certification scheme
- communicated the internal audit process, requirements and findings to workplace personnel
- planned the internal audit
- demonstrated ethical behaviour
- applied communication and negotiation skills to facilitate internal audit processes, including conducting one on one and group meetings and applying conflict resolution skills, as required
- identified and followed an audit trail
- identified, collected and analysed evidence
- gathered, analysed, recorded and distributed internal audit data using business information systems
- interpreted evidence and made compliance judgements
- prepared factual and objective written internal audit reports
- recommended corrective actions, if required
- verified implementation of corrective actions.

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:
- current Australian Standard on internal auditing requirements
- ethical behaviour of internal auditors
    - integrity
    - objectivity
    - confidentiality
    - competency
- purpose of internal audit of chain of custody certification
- chain of custody certification
    - purpose of certification
    - roles and responsibilities of personnel responsible for chain of custody implementation and monitoring in the workplace
    - chain of custody certification process and period of chain of custody certification
    - certification documentation, including product groups
    - chain of custody certification bodies and schemes
    - functions in chain of custody schemes
- key components of chain of custody system
    - system for purchasing, acquiring and receipting certified materials
    - system for handling certified material ie: keeping them separated from non-certified materials
    - system for providing certified material to customers
- chain of custody certification requirements:
    - workplace chain of custody procedures
    - responsible sourcing including information requirements and verification of certification claims by suppliers
    - classification of materials (certified, neutral and other)
    - controlled sources
    - traceability
    - chain of custody implementation methods (physical separation method, percentage-based method and credit method)

Knowledge Evidence
- types, meaning, conditions of use and correct use of chain of custody trademarks, logos and labels   - format, content and use of chain of custody workplace documents used for certification, audit and quality purposes, including: - timber source documents   - receipts   - processing records   - quality records   - numbering and labelling documents   - workplace and chain of custody certification scheme internal audit requirements and processes: - scheduling of audits   - role of internal auditors   - process, documentation and reporting   - procedures for multi-site audits   - reasons for inclusion of contractors and organisations providing outsourced functions in internal audits   - requirements for and methods of responding to non-compliances and process improvements identified by audit   - relationship between internal and external audit processes   - information needs and communication methods relevant for different groups and audience engaged in internal audit process   - evidence appropriate for use in internal audit of chain of custody certification for forest and wood products   - evidence collection methods   - key features of legislation that impacts on the conduct of internal audit procedures including privacy, workplace health and safety and anti-discrimination legislation   - structure, authority levels and lines of reporting in workplace   - vocabulary and terms relating to chain of custody certification for forest and wood products.

Assessment Conditions
Assessment of the skills in this unit of competency must take place under the following conditions: - physical conditions: - skills must be demonstrated in a work environment or an environment that accurately represents workplace conditions   - resources, equipment and materials: - internet access and computer equipment to research information on chain of custody certification scheme   - specifications: - workplace documentation relevant to operation of chain of custody certification scheme   - chain of custody certification scheme documentation including policy, procedures and standards.   Assessors of this unit must satisfy the requirements for assessors in applicable vocational education and training legislation, frameworks and/or standards.

Links	Companion Volume implementation guides are found in VETNet: https://vetnet. gov.au/Pages/TrainingDocs.aspx?q=0d96fe23-5747-4c01-9d6f-3509ff8d3d47