



Australian Government

Department of Education, Employment and Workplace Relations

BSBAUD401A Prepare for a quality audit

Release: 1

Modification History

Not Available

INTRODUCTION

Unit Descriptor This unit specifies the outcomes required to prepare for the conduct of a quality audit within a quality audit team by reviewing, identifying and developing specific components of the audit plan.

Competency Field Business management services

Domain Quality auditing

Application of the Competency This unit addresses reviewing documentation, identifying and preparing checklists and audit related documentation, and preparing audit schedules through the lead auditor.

The types of audit may include an external or internal systems audit or process or product/service audit. Preparation for an audit as a sole auditor is addressed by BSBAUD501A Initiate a quality audit. This unit (BSBAUD401A) is relevant to preparing for an audit where the audit is undertaken by an audit team.

Element

Performance Criteria

Elements define the critical outcomes of a unit of competency.

The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. Italicised terms are elaborated in the Range Statement.

1. Review auditee documentation

- 1.1 Auditee's previous quality audits are reviewed to establish possible impact on the conduct of the current audit
- 1.2 Relevant organisational documents are reviewed and checked for adequacy
- 1.3 Issues which arise are resolved with auditee and relevant parties

2. Identify and prepare checklists and audit related documentation

- 2.1 Appropriate checklists are developed to reflect scope and objectives of the quality audit
- 2.2 Potential risks are identified and contingency plans

- developed
- 2.3 Specific work documents required for quality audit are developed or obtained as required
- 2.4 Value-adding activities are included in audit related documentation where required
- 3. Develop audit schedules through the lead auditor
 - 3.1 Schedules and required resources are confirmed with auditee before auditing activities begin
 - 3.2 Preparation activities and documentation are checked to ensure they correspond with the audit plan
 - 3.3 Approval is sought and received for quality audit plan, activities, methods and techniques and relevant documentation from auditee through lead auditor
 - 3.4 Entry and exit meeting agendas are prepared

RANGE STATEMENT

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace which may include:

- award and enterprise agreements and relevant industrial instruments
- relevant legislation from all levels of government that affects business operation, especially in regard to Occupational Health and Safety and environmental issues, equal opportunity, industrial relations and anti-discrimination
- relevant industry codes of practice

The audit plan may include:

- entry meeting
- timelines and schedules
- scope and objectives of audit
- audit requirements and/or identification of relevant quality system documentation
- resource requirements
- contingency actions
- sampling techniques
- auditee provision of personnel for audit
- safety of auditors
- measurement criteria
- reporting procedures
- distribution of reports
- exit meeting
- follow-up procedures
- confidentiality requirements

Methods and techniques may include:

- analysis
- sampling
- scanning
- determining information flows
- evaluating the effectiveness of system controls
- questioning
- tracing

- trend analysis
- advanced management information systems

Documentation may include:

- checklists
- schedules
- audit procedures
- sampling plans defined in documented procedures or in the audit plan
- forms for recording information
- forms for documenting conformance and non-conformance evidence
- records of meetings
- previous audit reports
- quality standards
- organisational charts

EVIDENCE GUIDE

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

Overview of Assessment Requirements

A person who demonstrates competence in this unit must be able to provide evidence that they have undertaken preparations for a range of quality audits that will involve a team leader and a team of auditors. Evidence of preparation for such audits will include production of audit documentation including: an audit plan with schedules, activities, methods and techniques; risk analysis and proposed treatment of identified risks; approval for proposed plan; and entry and exit meeting agendas.

Specific Evidence Requirements

Required knowledge and understanding include:

- audit methods and techniques
- legal issues and terminology relating to quality auditing
- codes of practice, regulations and standards, for example ISO 9000:2000: Quality Management Systems – Fundamentals and Vocabulary, ISO 19011:2003: Guidelines for Quality and/or Environmental Management Systems Auditing
- product and/or service knowledge
- quality principles and techniques
- current audit practices
- auditor code of ethics

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- risk assessment
- communication skills: interpersonal, listening, questioning techniques
- team work
- problem-solving
- organisational and planning skills
- time management

Key competencies or generic skills relevant to this unit	<p>The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:</p> <p>Level (1) represents the competence to undertake tasks effectively</p> <p>Level (2) represents the competence to manage tasks</p> <p>Level (3) represents the competence to use concepts for evaluating and reshaping tasks</p> <p>The bulleted points provide examples of how the key competencies can be applied for this unit.</p>
Communicating ideas and information (2)	<ul style="list-style-type: none">• communicating verbally to negotiate and consult with auditee and other relevant parties• communicating in writing to meet documentation requirements
Collecting, analysing and organising information (2)	<ul style="list-style-type: none">• gathering information and tools• analysing available methods to inform audit
Planning and organising activities (2)	<ul style="list-style-type: none">• planning audit schedule and activities with auditee
Working in a team (2)	<ul style="list-style-type: none">• working with team leader and auditing team and personnel in area to be audited
Using mathematical ideas and techniques (1)	<ul style="list-style-type: none">• applying basic numerical and mathematical calculation skills to auditing processes
Solving problems (2)	<ul style="list-style-type: none">• applying problem-solving skills to risk analysis and treatment• applying problem-solving skills to issues arising with auditee and relevant parties
Using technology (1)	<ul style="list-style-type: none">• using word processing software to produce required documentation for audits• using assistive technology, if required
Innovation skills (1)	<ul style="list-style-type: none">• identifying improvements to audit plan and methodologies to be used
Products that could be	<ul style="list-style-type: none">• completed audit plan with schedules, scope, objectives,

used as evidence
include:

outcomes and resources

- notes made in preparing audit plan
- risk analysis and treatment options
- checklists and other tools developed for audit

Processes that could be
used as evidence
include:

- how audit documentation was reviewed and issues resolved with auditee in relation to proposed audit
- how documentation was prepared for audit, including risk analysis and treatment options
- how audit schedules were developed and approval gained

Resource implications
for assessment include:

- access to workplace documentation

Validity and sufficiency
of evidence requires:

- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
- at least four examples of completed audit plans that have been produced by the candidate for a range of situations

Integrated competency
assessment means:

- that this unit can be assessed alone or as part of an integrated assessment activity involving other relevant units in the areas of auditing, project management and frontline management