BSBAUD501B Initiate a quality audit

Revision Number: 1

BSBAUD501B Initiate a quality audit

Modification History

Not applicable.

Unit Descriptor

Unit descriptor	This unit describes the performance outcomes, skills and knowledge required to initiate and organise a quality audit with an auditee. It covers assessing the scope and objectives of a quality audit; communicating with the auditee regarding the proposed quality audit; identifying resources required to conduct the audit; and developing and submitting a quality audit plan.
	The types of audit may include an external or internal systems audit or process or product/service audit.
	No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.

Application of the Unit

Application of the unit	This unit applies to individuals with well established, sound theoretical knowledge base in quality auditing who are proficient in using a wide range of specialised quality auditing and managerial techniques to plan, carry out and evaluate a quality audit, their own work and that of others working under their direct supervision in a quality audit team.

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Prerequisite units		

Employability Skills Information

Employability skills	This unit contains employability skills.

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.

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Assess quality audit scope and objectives	1.1. Determine and discuss *audit objectives* with the auditee, client and all other relevant parties 1.2. Determine and discuss *scope* of the quality audit with the auditee, client and all other relevant parties 1.3. Identify *relevant standards* that impact on the environment in which the audit operates 1.4. Determine scope commensurate with identified risks
2. Communicate with auditee regarding proposed quality audit	2.1. Determine audit history, organisational structure and culture through consultation with the auditee 2.2. Negotiate and ensure agreement with auditee, the proposed *audit methods and techniques* to be applied 2.3. Outline audit processes to establish sequence of audit activities, and the roles of the auditors and auditees in the process
3. Identify resources required to conduct quality audit	3.1. Identify *resources* required to perform the quality audit efficiently and effectively 3.2. Select audit team members on the basis of relevant expertise 3.3. Confirm availability of resources required to conduct the audit with auditee 3.4. Assign roles and responsibilities to audit team members
4. Develop and submit quality audit plan	4.1. Develop *quality audit plan* according to established scope and objectives 4.2. Assign timing, schedules and responsibilities for implementation of the audit plan 4.3. Develop audit priorities and ensure agreement with auditees and audit team members 4.4. Document and submit audit plan to auditee
5. Prepare audit team	5.1. Inform audit team members of their responsibilities, audit objectives and scope 5.2. Communicate audit plan and schedules to all audit team members 5.3. Discuss and clarify audit methods and techniques with audit team members
6. Review auditee documentation	6.1. Review auditee's previous audits to establish possible impact on the conduct of the current audit

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ELEMENT	PERFORMANCE CRITERIA
	6.2. Review and check relevant organisational documents for accuracy
	6.3. Resolve arising problems with auditee and relevant parties
7. Identify and prepare checklists and audit related documentation	7.1. Develop checklists to reflect audit scope and objectives
	7.2. Develop or obtain documentation required for the audit
	7.3. Prepare agenda for entry meeting
	7.4. Include value-adding activities in audit related documentation where required

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

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

Required skills

- communication skills to listen to and question clients and other audit team members
- culturally appropriate communication skills to relate to people from diverse backgrounds and abilities
- interpersonal skills to establish rapport with clients and to liaise with other audit team members
- literacy skills to read, write, edit and proofread documents to ensure clarity of meaning, accuracy and consistency of information
- organisational, planning and time management skills to sequence tasks, meet time lines, conduct inspections and arrange meetings
- problem-solving skills to overcome any issues which may potentially affect the auditing process or outcome
- teamwork skills
- technology skills to use equipment required to conduct quality auditing activities.

Required knowledge

- auditing codes of practice or ethics
- auditing methods and techniques
- auditing regulations and standards, including:
    - AS/NZS ISO: 9000:2006: Quality management systems - Fundamentals and vocabulary
    - AS/NZS ISO 19011:2003: Guidelines for quality and/or environmental management systems auditing
- current audit practices
- industry, product and/or service knowledge
- quality auditing principles, techniques and systems
- requirements of house or other style manual protocols for written communications
- relevant legislation affecting business operations including appropriate occupational health and safety, environmental, and privacy legislation
- software applications relevant to conducting quality auditing activities
- terminology relating to quality auditing.

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	
Critical aspects for assessment and evidence required to demonstrate competency in this unit	Evidence of the following is essential: • documented audit plans for auditees across a variety of contexts including the scope and objectives of the audit, proposed audit methods and techniques to be used, required resources and schedules, and allocation of individual audit team member responsibilities for conducting the proposed audit • knowledge of relevant legislation, national standards and compliance issues.
Context of and specific resources for assessment	Assessment must ensure: • access to workplace documentation including previous quality audit reports, checklists, risk management plans and audit plans.
Method of assessment	A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit: • direct questioning combined with review of portfolios of evidence by third party workplace reports of on-the-job performance by the candidate • review quality auditing documentation • demonstration of quality auditing techniques in a workplace • observations of interactions with team members and colleagues • observations of presentations of audit plans • oral or written questioning to assess knowledge of auditing codes of practice or ethics • assessment of audit plan.
Guidance information for assessment	Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example: • other quality auditing units.

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.	
Audit objectives may include:	- compliance with contractual and/or legislative requirements - evaluation of follow-up corrective action since previous audit - evaluation of level of compliance of auditee's activities, systems, processes, products or services with quality system's objectives - identifying areas of potential improvement - measuring performance in achieving quality objectives and confirming the effectiveness of the implemented quality system in meeting specified objectives
Scope may include:	- depth and focus of audit - industry specific issues, for example seasonal factors - legal and regulatory issues - organisational customs and protocols - products, services, processes and/or activities to be audited - sites - standards to be applied
Relevant standards may include:	- industry standards - professional standards - regulations - relevant legislation
Audit methods and techniques may include:	- analysis - determining information flows - evaluating the effectiveness of system controls - questioning - sampling - scanning - tracing - trend analysis

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RANGE STATEMENT	
Resources may include:	• auditee-provided resources • experience and technical expertise of auditors • facilities • financial requirements • number of auditors required • reference materials • time • travel and accommodation
Quality audit plan may include:	• audit requirements and/or identification of relevant quality system documentation • auditee provision of personnel for audit • confidentiality requirements • contingency actions • distribution of reports • entry meeting • exit interview • follow-up procedures • measurement criteria • reporting procedures • resource requirements • roles and responsibilities of auditors • safety of auditors • sampling techniques • scope and objectives of audit • time lines and schedules

Unit Sector(s)

Unit sector	

Competency field

Competency field	Regulation, Licensing and Risk - Quality Auditing

Co-requisite units

Co-requisite units		

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