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BSBAUD503 Lead a quality audit

Release: 1

BSBAUD503 Lead a quality audit

Modification History

Release	Comments
Release 1	This version first released with BSB Business Services Training Package Version 1.0.

Application

This unit describes the skills and knowledge required to lead an audit team as it runs a quality audit. It covers conducting entry and exit meetings; identifying and gathering relevant information; managing audit team resources; and providing feedback to audit team members on their performance. The types of quality audit that may be covered by this unit include an external or internal systems audit or process or product/service audit.

It applies to individuals with a well-established theoretical knowledge base of quality auditing, who are proficient in using a wide range of specialised quality auditing and managerial techniques to carry out their own work and to supervise the quality audit team. It is relevant to audits where a lead auditor is responsible for a quality audit team.

No licensing, legislative or certification requirements apply to this unit at the time of publication.

Unit Sector

Regulation, Licensing and Risk – Quality Auditing

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
Elements describe the essential outcomes.	*Performance criteria describe the performance needed to demonstrate achievement of the element.*
1 Conduct entry meeting	1.1 Organise entry meeting in advance at a mutually agreed time 1.2 Prepare agenda for audit 1.3 Confirm objectives and scope of audit at entry meeting 1.4 Confirm schedules and logistical arrangements at entry meeting 1.5 Make changes to plan, schedules and arrangements where required

ELEMENT	PERFORMANCE CRITERIA
2 Identify and gather information	2.1 Identify a range of potential sources of information 2.2 Interview appropriate persons 2.3 Gather relevant information and sample documentation
3 Manage audit team resources	3.1 Supervise activities of audit team members 3.2 Assess and review audit team findings in line with audit scope 3.3 Re-assign team members as required 3.4 Instigate contingency actions as required 3.5 Seek and reach agreement on corrective action reports
4 Conduct exit meeting	4.1 Make preparations for exit meeting 4.2 Examine results and findings against audit objectives and present to auditee 4.3 Ensure reporting arrangements are agreed on 4.4 Explain context and consequences of audit and discuss during follow-up
5 Guide team members in continuously improving their performance	5.1 Provide feedback on performance to audit team members 5.2 Encourage and support audit team members to critique their own work 5.3 Provide and document advice for individual improvement

Foundation Skills

This section describes language, literacy, numeracy and employment skills incorporated in the performance criteria that are required for competent performance.

Skill	Performance Criteria	Description
Reading	3.2, 4.2	• Interprets and analyses information from audit scoping materials
Writing	1.2, 1.5, 5.3	• Develops a range of documents using relevant structure, tone and vocabulary appropriate to audience, context and purpose • Records or amends information and conveys details in accordance with audit objectives

Oral Communication	1.3, 1.4, 2.2, 3.5, 4.2-4.4, 5.1, 5.2, 5.3	• Participates in spoken exchanges using clear language, tone and pace • Uses questioning and listening techniques to clarify requirements
Numeracy	4.2	• Uses mathematical calculations to analyse and arrange numeric information
Interact with others	1.3, 1.4, 2.2, 3.1, 3.3, 4.2-4.4, 5.1, 5.2, 5.3	• Selects the appropriate form, channel and mode of communication for a specific purpose relevant to own role • Recognises the importance of rapport in establishing and building effective working relationships • Collaborates with others to negotiate acceptable outcomes, playing an active role in directing and facilitating effective group interaction
Get the work done	1.1, 1.2, 1.4, 2.1, 2.3, 3.2, 3.3, 3.4, 4.1	• Organises, plans and sequences own workload and schedules work activities of others • Uses a combination of formal, logical planning processes and an increasingly intuitive understanding of context to identify relevant information and evaluate appropriate strategies to achieve objectives • Responds to problems requiring immediate attention, drawing on past experiences to devise solutions • Makes a range of critical and non-critical decisions in relatively complex situations, taking a range of factors into account

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
BSBAUD503 Lead a quality audit	BSBAUD503B Lead a quality audit	Updated to meet Standards for Training Packages	Equivalent unit

Links

Companion Volume implementation guides are found in VETNet - https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=11ef6853-ceed-4ba7-9d87-4da407e23c10