



Australian Government

Department of Education, Employment and Workplace Relations

BSBAUD501A Initiate a quality audit

Release: 1

Modification History

Not Available

INTRODUCTION

Unit Descriptor	This unit specifies the outcomes 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.
Competency Field	Business management services
Domain	Quality auditing
Application of the Competency	A quality audit is a systematic and objective examination and comparison of activities and their results with specified requirements, and the determination about whether these are effective in meeting objectives. The types of audit may include an external or internal systems audit or process or product/service audit.

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. Assess the quality audit scope and objectives	<p>1.1 Audit objectives are determined and discussed with the auditee, client and all other relevant parties</p> <p>1.2 Scope of the quality audit is determined and discussed with the auditee, client and all other relevant parties</p> <p>1.3 Relevant standards that impact on the environment in which the audit operates are identified</p> <p>1.4 Scope is determined commensurate with identified risks</p>
2. Communicate with auditee regarding proposed quality audit	<p>2.1 Audit history, organisational structure and culture are determined through consultation with the auditee</p> <p>2.2 Proposed audit methods and techniques to be applied are</p>

- negotiated and agreed with the auditee
- 2.3 Audit processes are outlined to establish sequence of audit activities, and the roles of the auditors and auditees in the process
3. Identify resources required to conduct the quality audit
- 3.1 Resources required to perform the quality audit efficiently and effectively are identified
- 3.2 Availability of resources required to conduct the audit is confirmed with auditee
4. Develop and submit a quality audit plan
- 4.1 Quality audit plan is developed according to established scope and objectives
- 4.2 Timing, schedules and responsibilities are assigned for implementation of the audit plan
- 4.3 Audit priorities are developed and agreed with auditees and audit team members
- 4.4 Audit plan is documented and submitted to auditee

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

Audit objectives may include:

- evaluation of level of compliance of auditee's activities, systems, processes, products or services with the quality system's objectives
- compliance with contractual and/or legislative requirements
- measuring performance in achieving quality objectives and confirming the effectiveness of the implemented quality system in meeting specified objectives
- identifying areas of potential improvement
- evaluation of follow-up corrective action since previous audit

Scope may include:

- depth and focus of audit
- sites
- industry specific issues, for example seasonal factors
- standards to be applied
- products, services, processes and/or activities to be audited
- legal and regulatory issues
- organisational customs and protocols

Relevant standards may include:

- relevant legislation
- regulations
- professional standards
- industry standards

Audit methods and techniques may include:

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

Resources may include:

- number of auditors required
- experience and technical expertise of auditors
- time
- facilities
- travel and accommodation
- auditee-provided resources
- reference materials
- financial requirements

The quality audit plan may be as comprehensive as necessary, and include:

- entry meeting
- roles and responsibilities of auditors
- 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 interview
- follow-up procedures
- confidentiality requirements

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 planned a number of quality audits with auditees and submitted audit plans for approval and actioning. The documented audit plans will include the scope and objectives of the audit, audit methods and techniques, required resources and schedules, and responsibilities for conducting the proposed audit.

Specific Evidence Requirements

Required knowledge and understanding include:

- legal issues and terminology relating to quality auditing
- audit methods and techniques
- 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
- communication skills: interpersonal, listening and questioning techniques
- team work
- problem-solving
- organisational and planning skills
- time management

Key competencies or generic skills relevant

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent

to this unit	<p>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 (3)	<ul style="list-style-type: none"> • communicating verbally to negotiate and consult with auditee and other relevant parties associated with the audit • 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 (3)	<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 auditee, other auditors and managers to gain approval for audit plan
Using mathematical ideas and techniques (1)	<ul style="list-style-type: none"> • applying basic numerical and mathematical calculation skills to auditing processes
Solving problems	<ul style="list-style-type: none"> • not applicable
Using technology (1)	<ul style="list-style-type: none"> • using word processing software to document audit plan • using assistive technology, if required
Innovation skills (1)	<ul style="list-style-type: none"> • identifying improvements to performance of auditee or area being audited through the process of initiating the audit
Products that could be used as evidence include:	<ul style="list-style-type: none"> • completed audit plan with schedules, scope, objectives and responsibilities • notes made in preparing the audit plan • lists of required resources for audit
Processes that could be used as evidence	<ul style="list-style-type: none"> • how scope and objectives of audits were determined • how audit methods and techniques were negotiated and agreed to

- include:
- with auditee
 - how required resources for audit were determined
 - how audit plan was negotiated and agreement gained for plan
- Resource implications for assessment included:
- access to workplace documentation
 - access to auditee's feedback on how audit plans were developed
- 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 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