Australian Government

Department of Education, Employment and Workplace Relations

# BSBAUD503A Lead a quality audit

**Release: 1**

INDUSTRY
SKILLS
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# Modification History

Not Available

# INTRODUCTION

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| Unit Descriptor | This unit specifies the outcomes required to lead an audit team undertaking 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. |
| Competency Field | Business management services |
| Domain | Quality auditing |
| Application of the Competency | The unit is relevant to audits where a lead auditor is responsible for a team of auditors. The types of quality audit that may be covered by this standard include an external or internal systems audit or process or product/service audit. |

| **Element** | **Performance Criteria** |
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| 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.  Conduct entry meeting | 1.1 Entry meeting is organised in advance at a mutually agreed time |
| | 1.2 Agenda for audit is prepared |
| | 1.3 Objectives and scope of the audit are confirmed at the meeting |
| | 1.4 Schedules and logistical arrangements are confirmed at the meeting |
| | 1.5 Changes to plan, schedules and arrangements are made where required |
| 2.  Identify and gather information | 2.1 A range of potential sources of information is identified |
| | 2.2 Appropriate persons are interviewed |
| | 2.3 Relevant information and sample documentation is gathered |

| 3. Manage audit team resources | 3.1 Activities of audit team members are supervised |
| | 3.2 Audit team findings are assessed and reviewed in line with audit scope |
| | 3.3 Team members are re-assigned as required |
| | 3.4 Contingency actions are taken as required |
| | 3.5 Agreement is sought and reached on corrective action reports |
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| 4. Conduct exit meeting | 4.1 Preparations are made for exit meeting |
| | 4.2 Results and findings are examined against audit objectives and presented to auditee |
| | 4.3 Reporting arrangements are agreed upon |
| | 4.4 Context and consequences of audit are explained and discussed during follow-up |
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| 5. Provide feedback to members of audit team | 5.1 Feedback on performance is provided to audit team members |
| | 5.2 Audit team members are encouraged to critique their own work as part of the audit team |
| | 5.3 Advice for improvement is provided and documented |

# 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.

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| Legislation, codes and national standards relevant to the workplace which may include: | • award and enterprise agreements and relevant industrial instruments<br>• 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<br>• relevant industry codes of practice |
| Sources of information may be: | • interviews<br>• observation of activities<br>• examination of internal documentation<br>• inspection of records, for example meeting minutes, reports or log books<br>• examination of reports from external sources, e.g. external laboratory reports and vendor ratings |
| Appropriate persons may include: | • persons performing activities or tasks under consideration in the audit process<br>• persons from different levels within the auditee's organisation, for example management, administrative personnel and workfloor personnel |
| Sample documentation may include: | • meeting minutes<br>• reports<br>• log books<br>• reports from external sources<br>• documented procedures<br>• work instructions<br>• previous audit reports<br>• test results<br>• systems specifications<br>• user requirements definitions. |

# 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 standard must be able to provide evidence that they have taken a leadership role in a range of quality audits. Evidence will demonstrate that the individual managed the information gathering process by team members and the analysis, synthesis and reporting of findings.

## Specific Evidence Requirements

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| Required knowledge and understanding include: | • legal issues and terminology relating to quality auditing<br>• audit methods and techniques<br>• 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<br>• product and/or service knowledge<br>• quality principles and techniques<br>• current audit practices<br>• 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<br>• communication skills: interpersonal, listening and questioning techniques<br>• team work<br>• leadership<br>• problem-solving<br>• organisational and planning skills<br>• 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 | a further area of generic competence. The bracketed numbering indicates the performance level required in this unit: |
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| | Level (1) represents the competence to undertake tasks effectively |
| | Level (2) represents the competence to manage tasks |
| | Level (3) represents the competence to use concepts for evaluating and reshaping tasks |
| | The bulleted points provide examples of how the key competencies can be applied for this unit. |
| Communicating ideas and information (3) | • communicating verbally to work with auditees and other team members associated with the audit<br>• communicating in writing to meet documentation requirements |
| Collecting, analysing and organising information (2) | • managing process to gather and analyse information for audit |
| Planning and organising activities (2) | • planning and organising own role in audit and that of members of the audit team<br>• overseeing audit process |
| Working in a team (3) | • leading and working with audit team<br>• working with auditees |
| Using mathematical ideas and techniques (1) | • applying basic numerical and mathematical calculation skills to auditing processes |
| Solving problems (2) | • applying problem-solving skills to address issues arising during course of the audit |
| Using technology (2) | • understanding how the auditee uses software in managing data<br>• using word processing software to produce required documentation arising from analysis and evaluation phase of audit •using assistive technology, if required |
| Innovation skills (2) | • identifying and recommending improvements to auditee team members' performance |

| Products that could be used as evidence include: | • correspondence with auditees and team members<br>• corrective action reports<br>• reports provided for auditees<br>• agendas and minutes of entry and exit meetings<br>• written feedback provided to audit team members |
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| Processsess that could be used as evidence include: | • how process was planned from entry to exit meeting<br>• how team members were managed during audits<br>• how contingencies were addressed as they arose<br>• how team members' participation was reviewed and fed back to individuals |
| Resource implications for assessment include: | • access to audit documentation<br>• access to feedback from auditees and other team members |
| 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<br>• at least four examples of participation in audits as a lead auditor for the audit team 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 |