



Australian Government

Department of Education, Employment and Workplace Relations

BSBAUD504A Report on a quality audit

Release: 1

Modification History

Not Available

INTRODUCTION

Unit Descriptor This unit specifies the outcomes required to report on the outcomes of a quality audit and to take appropriate follow-up action. It covers compiling audit results; preparing a report for the auditee/client; negotiating follow-up action with the auditee/client; and monitoring and reviewing auditing system and activities.

Competency Field Business management services

Domain Quality auditing

Application of the Competency The unit addresses the function performed by either an auditor having sole responsibility for the audit or a lead auditor of a team.

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

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. Compile audit results

1.1 Results of the evaluation of audit evidence are compared against audit objectives and criteria

2. Prepare report

2.1 Objective evidence relating to the need for reduction, elimination and prevention of non-conformance is provided as basis for the audit report

2.2 The audit report is produced according to specified audit requirements

2.3 The audit report is presented to auditee and other stakeholders

3. Negotiate follow-up process with client/auditee

3.1 Determination and initiation of any corrective action required to deal with non-conformance is conducted in consultation with auditee

3.2 Suggestions for improvements are provided where applicable

3.3 Timelines are agreed upon for completion of corrective action activities

3.4 Corrective action follow-up procedures are agreed with auditee

4. Monitor and review audit system and activities

4.1 Effectiveness and suitability in achieving audit objectives is evaluated

4.2 Possible improvements in audit methods, economy and efficiency are investigated

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

Results may include:

- objective evidence of conformance
- objective evidence of non-conformance relating to organisational processes, systems, activities, products and/or services
- examination and evaluation of controls associated with systems, activities and processes
- corrective actions to reduce, eliminate and prevent non-conformance
- means of improving processes, systems, products and business results

The audit report may include:

- the agreed objectives and scope of the audit
- specified audit requirements
- timeframe in which the audit was conducted
- identification of the auditee's representatives
- identification of audit team members
- outline of the auditing process, including obstacles encountered
- information on confidentiality
- audit results
- distribution list for the audit report
- follow-up required
- retention of auditing records, including work documents

Improvements in audit methods can be investigated

- overall evaluation of the methods and effectiveness of the audit organisation

by:

- evaluation of auditor performance
- review of the audit reporting process and records
- examination of complaints, appeals and other feedback received from auditee
- assessment of the audit results
- evaluation of the effect of the quality audit outcomes on the auditee's activities, products and/or services
- examination of mechanisms by which consistency of audits is achieved.

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 completed and presented a number of audit reports to auditees/clients and stakeholders, and negotiated required follow-up actions with the auditee/client.

Specific Evidence Requirements

<p>Required knowledge and understanding include:</p>	<ul style="list-style-type: none"> • 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, ISO19011:2003: Guidelines for Quality and/or Environmental Management Systems Auditing • product and/or service knowledge • quality principles and techniques • auditor code of ethics
<p>Required skills and attributes include:</p>	<ul style="list-style-type: none"> • ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities • report development • communication skills: interpersonal, listening and questioning techniques • team work • problem-solving • organisational and planning skills • presentation skills • time management
<p>Key competencies or generic skills relevant to this unit</p>	<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>

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 report and negotiate with client/auditee
 - communicating in writing to document findings and follow-up actions as required
- Collecting, analysing and organising information (2)
- determining required follow-up actions to be taken from outcomes of audits
- Planning and organising activities (2)
- planning and organising follow-up actions with auditee/client
- Working in a team (2)
- working with auditee/client and audit team involved in audits
- Using mathematical ideas and techniques (-)
- not applicable
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- Solving problems (-)
- not applicable
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- Using technology (1)
- using word processing software to produce required documentation
 - using assistive technology, if required
- Innovation skills (2)
- skills associated with introducing improvements to auditing system as a result of review process
- Products that could be used as evidence include:
- completed reports detailing required follow-up actions
 - notes made in preparing reports
 - correspondence with auditee/client and audit team in relation to follow-up actions and reporting process
 - action plans developed after negotiation with auditee/client
- Processes that could be used as evidence include:
- how follow-up actions were determined from outcomes of audit
 - how follow-up actions were negotiated
 - how agreement was reached on follow-up action plans
 - how audit system and activities were reviewed

- Resource implications for assessment include:
- access to relevant audit reports and follow-up action plans
 - access to feedback from auditees and other stakeholders
- 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 participation in follow-up actions and reporting of audit outcomes 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