



**Australian Government**

**Department of Education, Employment and Workplace Relations**

# **BSBAUD503B Lead a quality audit**

**Revision Number: 1**

## BSBAUD503B Lead a quality audit

### Modification History

Not applicable.

### Unit Descriptor

<p><b>Unit descriptor</b></p>	<p>This unit describes the performance outcomes, skills and knowledge required to lead an audit team as they undertake 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.</p> <p>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.</p> <p>No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.</p>
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### Application of the Unit

<p><b>Application of the unit</b></p>	<p>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 carry out their own work and to supervise the quality audit team. The unit is relevant to audits where a lead auditor is responsible for a quality audit team.</p>
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### Licensing/Regulatory Information

Not applicable.

## Pre-Requisites

<b>Prerequisite units</b>		

## Employability Skills Information

<b>Employability skills</b>	This unit contains employability skills.
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## 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.
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## Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
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
2. Identify and gather information	2.1. Identify a range of potential <i>sources of information</i> 2.2. Interview <i>appropriate persons</i> 2.3. Gather relevant information and <i>sample documentation</i>
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 upon 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

## Required Skills and Knowledge

### 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

<b>EVIDENCE GUIDE</b>	
<p>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.</p>	
<b>Overview of assessment</b>	
<b>Critical aspects for assessment and evidence required to demonstrate competency in this unit</b>	<p>Evidence of the following is essential:</p> <ul style="list-style-type: none"> <li>demonstration of leadership and management of a quality auditing team across quality audits in a variety of contexts</li> <li>management of the information gathering process by team members, and analysis, synthesis and reporting of the findings</li> <li>knowledge of auditing methods and techniques.</li> </ul>
<b>Context of and specific resources for assessment</b>	<p>Assessment must ensure:</p> <ul style="list-style-type: none"> <li>access to workplace documentation including previous quality audit reports, checklists, risk management plans and audit plans.</li> </ul>
<b>Method of assessment</b>	<p>A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:</p> <ul style="list-style-type: none"> <li>analysis of information gathered in the information gathering process</li> <li>review of audit plans</li> <li>direct questioning combined with review of portfolios of evidence by third party workplace reports of on-the-job performance by the candidate</li> <li>observations of application of audit techniques</li> <li>observations of interactions with team members, colleagues and auditees</li> <li>oral or written questioning to assess knowledge of current audit practices</li> <li>review of documentation advising team members about improving their performance.</li> </ul>
<b>Guidance information for assessment</b>	<p>Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example:</p> <ul style="list-style-type: none"> <li>other quality auditing units.</li> </ul>

## Range Statement

<b>RANGE STATEMENT</b>	
<p>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.</p>	
<p><b><i>Sources of information</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• examination of internal documentation</li> <li>• examination of reports from external sources, for example external laboratory reports and vendor ratings</li> <li>• inspection of records, for example meeting minutes, reports or log books</li> <li>• interviews</li> <li>• observation of activities</li> </ul>
<p><b><i>Appropriate persons</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• persons from different levels within the auditee's organisation, for example management, administrative personnel and work floor personnel</li> <li>• persons performing activities or tasks under consideration in the audit process</li> </ul>
<p><b><i>Sample documentation</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• documented procedures</li> <li>• log books</li> <li>• meeting minutes</li> <li>• previous audit reports</li> <li>• reports</li> <li>• reports from external sources</li> <li>• systems specifications</li> <li>• test results</li> <li>• user requirements definitions</li> <li>• work instructions</li> </ul>

## Unit Sector(s)

<b>Unit sector</b>	
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## Competency field

<b>Competency field</b>	Regulation, Licensing and Risk - Quality Auditing
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## Co-requisite units

<b>Co-requisite units</b>		