



**Australian Government**

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

# **BSBAUD504B Report on a quality audit**

**Revision Number: 1**

## BSBAUD504B Report on 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 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.</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 addresses the function performed by either an auditor having sole responsibility for the audit or a lead auditor of 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. Compile audit results	1.1. Compare <i>results</i> of audit evaluation against audit objectives and criteria 1.2. Analyse audit results
2. Prepare report	2.1. Provide objective evidence relating to the need for reduction, elimination and prevention of non-conformance as the basis for the <i>audit report</i> 2.2. Produce audit report according to specified audit requirements 2.3. Present audit report to auditee and other stakeholders
3. Negotiate follow up process with auditee	3.1. Determine and initiate any corrective action required to deal with non-conformance, in consultation with auditee 3.2. Provide suggestions for improvements where applicable 3.3. Ensure time lines are agreed upon for completion of corrective action activities 3.4. Ensure corrective action follow-up procedures are agreed with auditee
4. Monitor and review audit system and activities	4.1. Evaluate effectiveness and suitability in achieving audit objectives 4.2. Investigate possible <i>improvements in audit methods</i> , economy and efficiency

## Required Skills and Knowledge

### REQUIRED SKILLS AND KNOWLEDGE

This section describes the skills and knowledge required for this unit.

#### Required skills

- communication skills to listen to and question, clients and other audit team members
- culturally appropriate communication skills to relate to people from diverse backgrounds and abilities
- interpersonal skills to establish rapport with clients and to liaise with other audit team members
- literacy skills to read, write, edit and proofread documents to ensure clarity of meaning, accuracy and consistency of information
- organisational, planning and time management skills to sequence tasks, meet time lines, conduct inspections and arrange meetings
- problem-solving skills to overcome any issues which may potentially affect the auditing process or outcome
- teamwork skills
- technology skills to use a range of equipment required to conduct quality auditing activities.

#### 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>• completion and presentation of audit reports to auditees/clients and stakeholders</li> <li>• negotiations for follow-up actions with auditees/clients</li> <li>• knowledge of auditing regulations and standards.</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 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 objective evidence provided in relation to the need for reduction, elimination and prevention of non-conformance</li> <li>• review of audit reports</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>• analysis of documentation outlining possible improvements in audit methods</li> <li>• observations of interactions with team members, colleagues and auditees</li> <li>• observations of presentations of audit reports to auditees and their organisation</li> <li>• oral or written questioning to assess knowledge of audit report contents</li> <li>• review of corrective action follow-up procedures agreed with auditee.</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>

<b>EVIDENCE GUIDE</b>
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|  | <ul style="list-style-type: none"><li>• other quality auditing units.</li></ul> |
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## Range Statement

### RANGE STATEMENT

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><b><i>Results</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• corrective actions to reduce, eliminate and prevent non-conformance</li> <li>• examination and evaluation of controls associated with systems, activities and processes</li> <li>• means of improving processes, systems, products and business results</li> <li>• objective evidence of conformance</li> <li>• objective evidence of non-conformance relating to organisational processes, systems, activities, products and/or services</li> </ul>
<p><b><i>Audit report</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• agreed objectives and scope of audit</li> <li>• audit results</li> <li>• distribution list for the audit report</li> <li>• follow-up required</li> <li>• identification of audit team members</li> <li>• identification of the auditee's representatives</li> <li>• information on confidentiality</li> <li>• outline of the auditing process, including obstacles encountered</li> <li>• retention of auditing records, including work documents</li> <li>• specified audit requirements</li> <li>• timeframe in which audit was conducted</li> </ul>
<p><b><i>Improvements in audit methods</i></b> may include:</p>	<ul style="list-style-type: none"> <li>• assessment of audit results</li> <li>• evaluation of auditor performance</li> <li>• evaluation of the effect of the quality audit outcomes on the auditee's activities, products and/or services</li> <li>• examination of complaints, appeals and other feedback received from auditee</li> <li>• examination of mechanisms by which consistency of audits is achieved</li> <li>• overall evaluation of the methods and</li> </ul>



<b>RANGE STATEMENT</b>	
	effectiveness of the audit organisation <ul style="list-style-type: none"> <li>• review of the audit reporting process and records</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>		