



Australian Government

BSBAUD402 Participate in a quality audit

Release: 1

BSBAUD402 Participate in a quality audit

Modification History

Release	Comments
Release 1	This version first released with BSB Business Services Training Package Version 1.0.

Application

This unit describes the skills and knowledge required to prepare for and participate in a quality audit as a member of a quality audit team. The types of audits may include external or internal systems audits or process or product/service audits.

The process includes reviewing designated documentation; identifying and developing checklists and audit related documentation; preparing audit schedules; gathering, analysing and evaluating information; and reporting findings to the lead auditor.

It applies to individuals with a broad knowledge of the quality auditing environment who analyse and evaluate information from a variety of sources to provide solutions to auditing issues, including unpredictable quality auditing problems.

No licensing, legislative or certification requirements apply to this unit at the time of publication.

Unit Sector

Regulation, Licensing and Risk – Quality Auditing

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
1 Review auditee documentation	1.1 Where applicable, review auditee's previous quality audits to establish possible impact on the conduct of the current audit 1.2 Request relevant organisational documents from auditee, and review and check the adequacy of these documents 1.3 Amend reviewed documents, and determine and source any further documentation required 1.4 Resolve issues which arise with auditee and relevant parties

ELEMENT	PERFORMANCE CRITERIA
2 Participate in developing audit schedules	2.1 Access or prepare appropriate checklists/tools and audit related documentation 2.2 Confirm schedules and required resources with auditee before beginning auditing activities 2.3 Anticipate possible issues and outline strategies to address these issues, should they arise 2.4 Ensure preparation activities and documentation correspond to the audit plan 2.5 In consultation with auditing team, determine appropriate methods and techniques 2.6 Assist lead auditor in creating entry and exit meeting agendas
3 Gather and analyse information	3.1 Access a range of potential sources of information 3.2 Collect and make an initial assessment of sample documentation 3.3 Interview appropriate persons in relation to relevant documentation 3.4 Identify and report patterns, trends, interrelationships and areas of risk 3.5 Identify aspects of the audit that require the use of specialists and request appropriate assistance
4 Evaluate information	4.1 Evaluate information against prescribed benchmarks 4.2 Form a defensible opinion as to the meeting of these benchmarks by the auditee 4.3 Ensure opinions are formed from and supported by available information
5 Report findings	5.1 Formulate findings and prepare a corrective action report if discrepancies or non-compliances are detected 5.2 Examine results/findings against audit objectives and present to lead auditor 5.3 Report recommendations for improvements as applicable
6 Participate in exit meeting	6.1 Prepare for exit meeting 6.2 Ensure reporting arrangements are agreed upon and documented during the meeting 6.3 Ensure context and consequences of audit are explained, and follow-up is discussed

Foundation Skills

This section describes language, literacy, numeracy and employment skills incorporated in the performance criteria that are required for competent performance.

Skill	Performance Criteria	Description
Reading	1.1-1.3, 2.1, 2.2, 2.4, 2.6, 3.1-3.5, 4.1, 4.3, 5.1, 5.2	Identifies and interprets information from organisational documentation and workplace procedures
Writing	1.2, 1.3, 2.1, 2.2, 2.4, 2.6, 3.2-3.5, 4.1, 4.3, 5.1-5.3, 6.2	Records or amends information and conveys details in accordance with audit objectives
Oral Communication	1.2, 1.4, 2.2, 2.5, 2.6, 3.3, 3.5, 5.2, 5.3, 6.2, 6.3	- Participates in spoken exchanges using structure and language to suit the audience - Listens for required information and asks clarifying questions
Numeracy	2.5, 3.1, 3.2, 3.4, 4.1-4.3, 5.1, 5.2	Uses a wide range of mathematical calculations to analyse and arrange numeric information
Navigate the world of work	1.1, 1.2	Adheres to organisational policies and procedures and considers own role in terms of its contribution to broader goals of the work environment
Interact with others	1.2, 1.4, 2.2, 2.5, 2.6, 3.3, 3.4, 3.5, 5.2, 5.3, 6.2, 6.3	- Collaborates and cooperates with others to achieve joint outcomes - Selects and uses appropriate conventions and protocols when communicating with team members and other people in a range of work contexts
Get the work done	1.1-1.4, 2.1, 2.3, 2.4, 3.1, 3.4, 4.1-4.3, 6.1	- Organises, plans and prioritises workload with some sense of what can be achieved in a timeframe - Systematically gathers, analyses and evaluates all relevant information to make decisions - Recognises and addresses some problems within own scope, recognising when to seek the expertise of others

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
BSBAUD402 Participate in a quality audit	BSBAUD402B Participate in a quality audit	Updated to meet Standards for Training Packages	Equivalent unit

Links

Companion Volume implementation guides are found in VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=11ef6853-ceed-4ba7-9d87-4da407e23c10>

Assessment Requirements for BSBAUD402 Participate in a quality audit

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Performance Evidence

Evidence of the ability to:

- review and amend all relevant documentation
- develop an audit schedule using relevant tools and strategies
- use various methods to gather data and information to complete an audit, seeking specialist advice where appropriate
- use predetermined benchmarks to evaluate findings and formulate well-founded opinions
- develop a comprehensive report for the exit meeting, which analyses both context and consequences of the completed audit
- use terminology relating to quality auditing in written or oral communications.

Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.

Knowledge Evidence

To complete the unit requirements safely and effectively, the individual must:

- describe relevant auditing codes of practice or ethics
- outline auditing methods and techniques
- summarise current audit practices
- identify current industry products and/or services to assist in the auditing process.

Assessment Conditions

Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced in the regulation, licensing and risk – quality auditing field of work and include access to:

- workplace documentation including previous quality audit reports, checklists, risk management plans and audit plans.

Assessors must satisfy NVR/AQTF assessor requirements.

Links

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