



Australian Government

BSBAUD411 Participate in quality audits

Release: 1

BSBAUD411 Participate in quality audits

Modification History

Release	Comments
Release 1	This version first released with BSB Business Services Training Package Version 7.0.

Application

This unit describes the skills and knowledge required to prepare for and participate in quality audits as a member of a quality audit team. The types of audits may include internal or external systems audits, process audits or product/service audits. The process includes reviewing designated documentation; identifying and developing checklists and audit related documentation; preparing audit plans and evaluating information; and reporting findings to the lead auditor.

The unit applies to individuals with a broad knowledge of the quality auditing environment, who gather, analyse and evaluate information from a variety of sources and provide objective audit findings, to be included as part of the audit report.

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

Unit Sector

Technical Skills – Audit and Compliance

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 own role and documentation	1.1 Review own role and responsibilities within quality audit team 1.2 Review previous quality audits and determine impact on conduct of current audit, where required 1.3 Source required organisational documentation from lead auditor, and check the adequacy of the documentation 1.4 Review documents, and determine and request further documentation required 1.5 Identify and resolve documentation issues with lead auditor and

ELEMENT	PERFORMANCE CRITERIA
	relevant stakeholders, within scope of own role 1.6 Identify aspects of the audit that require the use of specialists and refer to lead auditor
2. Participate in audit preparation	2.1 Access or prepare checklists, tools and audit related documentation 2.2 Confirm schedule and required resources with lead auditor 2.3 Prepare for possible issues and outline mitigation strategies 2.4 Confirm that preparation activities and documentation align with the audit plan with required personnel 2.5 Determine appropriate methods and techniques in consultation with auditing team 2.6 Create entry and exit meeting agendas according to organisational templates, and present to required audit team member, where required 2.7 Participate in entry meeting
3. Gather and analyse information	3.1 Access a range of sources of information relevant to task 3.2 Collect, and make an initial assessment of, documentation 3.3 Communicate with relevant parties in relation to documentation 3.4 Analyse patterns, trends, interrelationships and areas of risk, and communicate to team according to own role and responsibilities
4. Evaluate information	4.1 Evaluate information against prescribed benchmarks 4.2 Form an objective decision regarding the level of compliance found 4.3 Check decision is formed from and supported by available information
5. Report findings	5.1 Formulate findings and prepare recommendations on corrective actions if discrepancies or non-compliances are detected 5.2 Examine results and findings against audit objectives and present to lead auditor 5.3 Report recommendations for improvements to lead auditor according to agreed documentation
6. Participate in exit meeting process	6.1 Prepare for exit meeting using exit meeting agenda 6.2 Confirm context and consequences of audit are explained, and follow-up is discussed

Foundation Skills

This section describes those language, literacy, numeracy and employment skills that are essential to performance but not explicit in the performance criteria.

Skill	Description
Reading	Identifies and interprets information from organisational documentation and workplace procedures
Writing	- Records or amends information and conveys details - Produces reports matching style of writing to purpose and audience
Oral Communication	- Participates in spoken exchanges using structure and language to suit the audience - Listens for required information and asks clarifying questions
Teamwork	- 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
Self-management	Organises, plans and prioritises workload with some sense of what can be achieved in a timeframe
Problem solving	Recognises and addresses some problems within own scope, recognising when to seek the expertise of others
Technology	Uses digital tools and systems to report audit findings

Unit Mapping Information

Supersedes and is equivalent to BSBAUD402 Participate in a quality audit.

Links

Companion Volume Implementation Guide is found on VETNet -

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

Assessment Requirements for BSBAUD411 Participate in quality audits

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Performance Evidence

The candidate must demonstrate the ability to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including evidence of the ability to:

- participate in a quality audit as a member of a quality audit team on at least two occasions.

In the course of the above, the candidate must:

- source and review documentation
- develop audit plan using tools and strategies
- use predetermined reference criteria to evaluate findings and formulate well-founded objective decisions
- contribute to preparation of a corrective action report
- use terminology relating to auditing in written and oral communications.

Knowledge Evidence

The candidate must be able to demonstrate knowledge to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including knowledge of:

- auditing benchmarks
- auditing methods and techniques
- current audit practices
- current industry products and services that support the auditing process
- key components of an audit plan
- patterns, trends, interrelationships and areas of risk in an organisational quality system
- key features of technology required for quality auditing participation and reporting.

Assessment Conditions

Skills in this unit must be demonstrated in a workplace or simulated environment where the conditions are typical of those in a working environment in this industry.

This includes access to:

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

Assessors of this unit must satisfy the requirements for assessors in applicable vocational education and training legislation, frameworks and/or standards.

Links

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