



Australian Government

BSBAUD501 Initiate a quality audit

Release: 1

BSBAUD501 Initiate 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 initiate and organise a quality audit with an auditee. It covers assessing the scope and objectives of a quality audit; communicating with the auditee regarding the proposed quality audit; identifying resources required to conduct the audit; and developing and submitting a quality audit plan. The types of audits may include external or internal systems audits or process or product/service audits.

It applies to individuals with a well-established theoretical knowledge base in quality auditing who are proficient in using a wide range of specialised, quality auditing and managerial techniques to plan, carry out and evaluate a quality audit. Individuals also supervise and monitor the processes and outcomes of others working in a quality audit team.

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 Assess quality audit scope and objectives	1.1 Determine and discuss audit objectives with the auditee, client and all other relevant parties 1.2 Determine and discuss scope of the quality audit with the auditee, client and all other relevant parties 1.3 Identify relevant standards that impact the environment in which the audit operates 1.4 Determine scope commensurate with identified risks

ELEMENT	PERFORMANCE CRITERIA
2 Communicate with auditee regarding proposed quality audit	2.1 Determine audit history, organisational structure and culture through consultation with the auditee 2.2 Negotiate and ensure agreement with auditee, the proposed audit methods and techniques to be applied 2.3 Outline audit processes to establish sequence of audit activities, and the roles of the auditors and auditees in the process
3 Identify resources required to conduct quality audit	3.1 Identify resources required to perform the quality audit efficiently and effectively 3.2 Select audit team members on the basis of relevant expertise 3.3 Confirm availability of resources required to conduct the audit with auditee 3.4 Assign roles and responsibilities to audit team members
4 Develop and submit quality audit plan	4.1 Develop quality audit plan according to established scope and objectives 4.2 Assign timing, schedules and responsibilities for implementation of the audit plan 4.3 Develop audit priorities and ensure agreement with auditees and audit team members 4.4 Document and submit audit plan to auditee
5 Prepare audit team	5.1 Inform audit team members of their responsibilities, audit objectives and scope 5.2 Communicate audit plan and schedules to all audit team members 5.3 Discuss and clarify audit methods and techniques with audit team members
6 Review auditee documentation	6.1 Review auditee's previous audits to establish possible impact on the conduct of the current audit 6.2 Review and check relevant organisational documents for accuracy 6.3 Resolve arising problems with auditee and relevant parties
7 Identify and prepare checklists and audit related documentation	7.1 Develop checklists to reflect audit scope and objectives 7.2 Develop or obtain documentation required for the audit 7.3 Prepare agenda for entry meeting 7.4 Include value-adding activities in audit related documentation

ELEMENT	PERFORMANCE CRITERIA
	where required

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	1.3, 4.1, 6.1, 6.2, 7.1	Interprets and analyses information from organisational documentation
Writing	4.1-4.4, 6.2, 7.1-7.4	- Develops a range of documents using structure, tone and vocabulary appropriate to audience, context and purpose - Records or amends information and conveys details in accordance with audit objectives
Oral Communication	1.1, 1.2, 2.1-2.3, 4.3, 5.1-5.3, 6.3	- Participates in spoken exchanges using structure and language to suit the audience - Uses questioning and listening techniques to clarify requirements
Numeracy	4.2	Uses mathematical calculations for project scheduling
Navigate the world of work	1.3	Monitors adherence to organisational policies and relevant standards and considers own role in terms of its contribution to broader goals of the work environment
Interact with others	1.1, 1.2, 2.1, 2.2, 3.4, 4.4, 5.1, 5.2	- Selects the appropriate form, channel and mode of communication for a specific purpose relevant to own role - Recognises the importance of building rapport and building effective working relationships - Collaborates with others to negotiate acceptable outcomes, playing an active role in facilitating effective group interaction
Get the work done	1.1, 1.2, 1.4, 2.1, 2.3, 3.1, 3.2, 4.1, 4.2, 4.3, 6.1, 6.3	- Organises, plans and sequences own workload and schedules work activities of others - Uses analytical processes to decide on a course of action, establishing criteria for deciding between options and seeking advice from others before taking action when necessary

		Addresses some unfamiliar problems of increasing complexity within own scope, recognising when to seek the expertise of others
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Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
BSBAUD501 Initiate a quality audit	BSBAUD501B Initiate 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 BSBAUD501 Initiate a quality audit

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Performance Evidence

Evidence of the ability to:

- produce documented audit plans for auditees across a variety of contexts including:
 - the scope and objectives of the audit
 - proposed audit methods and techniques to be used
 - required resources and schedules
 - allocation of individual audit team member responsibilities for conducting the proposed 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:

- identify the relevant auditing codes of practice or ethics
- describe auditing methods and techniques
- outline the requirements of auditing regulations and standards
- identify current audit practices
- outline quality auditing principles, techniques and systems
- describe the requirements of house or other style manual protocols for written communications
- identify software applications relevant to quality auditing activities.

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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