



Australian Government

BSBAUD511 Initiate quality audits

Release: 1

BSBAUD511 Initiate 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 initiate and organise quality audits. It covers assessing the scope and objectives of quality audits; communicating with the auditees and developing and submitting a quality audit plans.

The unit applies to individuals who have an established knowledge base in quality auditing, and who are proficient in using a range of quality auditing and managerial techniques to initiate quality audits. Individuals may 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

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. Assess quality audit scope and objectives	1.1 Identify standards that impact on the environment in which audit operates 1.2 Determine and agree on audit objectives and scope with auditee and other required stakeholders 1.3 Identify risks within scope of quality audit
2. Communicate with auditee	2.1 Consult with auditee and determine relevant information 2.2 Prepare audit notifications according to organisational protocols 2.3 Confirm proposed audit methods and techniques to be applied with auditee

ELEMENT	PERFORMANCE CRITERIA
	2.4 Outline audit processes and establish sequence of audit activities, and the role of the audit team and auditee
3. Prepare resources for quality audit	3.1 Identify resources required to perform the quality audit 3.2 Select audit team members on the basis of relevant expertise 3.3 Identify resources required with auditee
4. Develop and submit quality audit plan	4.1 Develop quality audit plan according to established scope and objectives 4.2 Assign roles and responsibilities to audit team members 4.3 Assign timing, schedules and responsibilities for implementation of the audit plan 4.4 Document and submit audit plan to auditee for approval, where required
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 Determine auditee's previous quality audits as relevant and establish impact on the conduct of the current audit 6.2 Source organisational documentation from auditee, and check adequacy of documentation provided 6.3 Review documents, and determine and source any further documentation required
7. Prepare audit documentation	7.1 Develop checklist according to audit scope and objectives 7.2 Create entry and exit meeting agendas according to organisational templates

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	Interprets and analyses information from organisational documentation
Writing	Develops a range of documents using structure, tone and vocabulary appropriate to audience, context and purpose

Skill	Description
	Records and amends information and conveys details in accordance with audit objectives
Oral Communication	- Participates in spoken exchanges using structure and language to suit the audience - Uses questioning and listening techniques to clarify requirements
Numeracy	Uses mathematical calculations for project scheduling
Planning and organising	Monitors adherence to organisational policies and relevant standards
Teamwork	Collaborates with others to negotiate acceptable outcomes, playing an active role in facilitating effective group interaction
Problem solving	Identifies and addresses complex problems within own scope, recognising when to seek the expertise of others
Self-management	Organises, plans and sequences own workload and schedules work activities of others
Technology	Uses digital tools and systems to assist in initiating quality audits

Unit Mapping Information

Supersedes and is equivalent to BSBAUD501 Initiate 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 BSBAUD511 Initiate 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:

- produce documented audit plans for auditees on at least two different occasions, including:
 - scope and objectives of the audit
 - proposed audit methods and techniques to be used
 - required resources and audit plan
 - allocation of individual audit team member responsibilities.

In the course of the above, the candidate must:

- use terminology relating to quality auditing in 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 codes of practice and ethics
- auditing methods and techniques, including audit plans and value adding activities
- requirements of auditing regulations and standards
- current audit practices
- quality auditing principles, techniques and systems
- requirements of organisational and audit style manual protocols for written communications
- key features of technology required for quality auditing activities described in performance evidence.

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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