



Australian Government

BSBAUD512 Lead quality audits

Release: 1

BSBAUD512 Lead 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 lead audit teams as they conduct quality audits. It covers conducting entry and exit meetings; identifying and gathering relevant information; managing audit team resources; and providing feedback to audit team members on their performance.

The unit applies to individuals who have a well-established knowledge of quality auditing and who are proficient in using a range of quality auditing and managerial techniques to supervise quality audit teams.

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. Lead entry meeting	1.1 Confirm agenda is prepared for entry meeting 1.2 Review and confirm proposed audit plan with relevant stakeholders in entry meeting 1.3 Make changes to audit plan, as required
2. Identify and gather evidence	2.1 Identify sources of information according to audit plan 2.2 Interview relevant stakeholders 2.3 Gather information and documentation
3. Manage audit team resources	3.1 Supervise activities of audit team members 3.2 Re-assign team members, as required

ELEMENT	PERFORMANCE CRITERIA
	3.3 Instigate contingency actions, as required
4. Lead exit meeting	4.1 Review, assess, and reach agreement on audit team findings according to audit plan 4.2 Prepare for exit meeting 4.3 Examine results and findings against audit objectives and present to relevant stakeholders 4.4 Confirm reporting arrangements for the quality audit with the auditee 4.5 Explain context and consequences of audit and discuss follow-up 4.6 Review and submit final audit report according to audit plan
5. Lead team members in performance improvement	5.1 Provide feedback on performance to audit team 5.2 Encourage and support audit team to review their own work 5.3 Provide and document advice for individual improvement

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 audit scoping materials
Writing	- Develops a range of documents using relevant structure, tone and vocabulary appropriate to audience, context and purpose - Records and amends information and conveys details in accordance with audit objectives
Oral Communication	- Participates in spoken exchanges using clear language, tone and pace - Uses questioning and listening techniques to clarify requirements
Numeracy	Uses mathematical calculations to analyse and arrange numeric information
Teamwork	- Selects the appropriate form, channel and mode of communication for a specific purpose relevant to team communication requirements - Recognises the importance of rapport in establishing and building effective working relationships - Collaborates with others to negotiate acceptable outcomes, playing an active role in directing and facilitating effective group interaction
Initiative and	Makes a range of critical and non-critical decisions in relatively complex situations, taking a range of factors into account

Skill	Description
enterprise	
Self-management	Organises, plans and sequences own workload and schedules work activities of others
Problem solving	Responds to problems requiring immediate attention, drawing on past experiences to devise solutions
Technology	Uses digital tools and systems to assist in leading a quality audit team

Unit Mapping Information

Supersedes and is equivalent to BSBAUD503 Lead 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 BSBAUD512 Lead 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:

- lead a quality audit team on at least two occasions, including:
 - leading entry and exit meetings
 - identifying all objectives, schedules and relevant information and confirming they have been included in the audit plan
 - managing the information gathering process by team members, and analysing, synthesising and reporting of the findings
 - assisting team members to continuously improve their performance.

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:

- quality auditing principles, methods and techniques
- requirements of auditing standards
- key features of technology required for quality auditing activities for leading a quality audit team
- strategies to develop performance improvement in audit team members.

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 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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