



Australian Government

Department of Education, Employment and Workplace Relations

BSBAUD402B Participate in a quality audit

Revision Number: 1

BSBAUD402B Participate in a quality audit

Modification History

Not applicable.

Unit Descriptor

Unit descriptor	This unit describes the performance outcomes, skills and knowledge required to prepare for and participate in a quality audit as a member of a quality audit team. 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. No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.
------------------------	--

Application of the Unit

Application of the unit	This unit applies to individuals working in a team audit environment who analyse and evaluate information from a variety of sources to provide solutions to auditing issues, including unpredictable quality auditing problems. The types of audit may include an external or internal systems audit or process or product/service audit. A broad knowledge of quality auditing is required for this unit. Leading an audit team is addressed by BSBAUD503B Lead a quality audit.
--------------------------------	---

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Prerequisite units		

Employability Skills Information

Employability skills	This unit contains employability skills.
-----------------------------	--

Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.	Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.
---	--

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
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
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

ELEMENT	PERFORMANCE CRITERIA
	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

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

This section describes the skills and knowledge required for this unit.

Required skills

- communication skills to listen to clients and other audit team members and to clarify points with them as necessary
- culturally appropriate communication skills to relate to people from diverse backgrounds and people with diverse abilities
- interpersonal skills to establish rapport with clients and to liaise with other audit team members
- literacy skills to read, write, edit and proofread documents to ensure clarity of meaning, accuracy and consistency of information
- organisational and time management skills to sequence tasks, meet timelines and arrange meetings
- problem-solving skills to identify any issues that have the potential to impact on the auditing process or outcome and to develop options to resolve these issues when they arise
- teamwork skills
- technology skills to use a range of equipment required to conduct quality auditing activities.

Required knowledge

- auditing codes of practice or ethics
- auditing methods and techniques
- auditing regulations and standards including:
 - AS/NZS ISO 9000:2006 Quality management systems - Fundamentals and vocabulary
 - AS/NZS ISO 19011:2003 Guidelines for quality and/or environmental management systems auditing
- current audit practices
- industry products and/or services
- quality auditing principles and techniques
- relevant legislation affecting business operation, including appropriate occupational health and safety, environmental, and privacy legislation
- terminology relating to quality auditing.

Evidence Guide

EVIDENCE GUIDE

The Evidence Guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

Overview of assessment

Critical aspects for assessment and evidence required to demonstrate competency in this unit

Evidence of the following is essential:

- preparation of multiple audit plans for a range of quality audits containing information on the audit schedule, proposed activities, methods, and techniques; risk analysis and proposed treatment of identified risks; entry and exit meeting agendas
- participation in audits as a member of an audit team
- gathering of data and information by a variety of methods
- knowledge of relevant legislation and national standards
- developing a comprehensive report for the exit meeting, which analyses findings and information gathered to arrive at the findings.

Context of and specific resources for assessment

Assessment must ensure:

- access to an actual workplace undertaking a quality audit or a simulated workplace environment
- access to workplace documentation including previous quality audit reports, checklists, risk management plans and audit plans.

Method of assessment

A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:

- direct questioning combined with review of portfolios of evidence by third party workplace reports of on-the-job performance by the candidate
- demonstration of quality auditing techniques
- observations of participation in exit meetings
- oral or written questioning to assess knowledge of audit preparation activities
- assessment of organisational documentation reviewed for the audit
- analysis of reports developed - with clear, comprehensive findings

EVIDENCE GUIDE	
	• observation of performance in role plays.
Guidance information for assessment	Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example: • other quality auditing units.

Range Statement

RANGE STATEMENT

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

<i>Audit plan</i> may include:	• audit requirements and/or identification of relevant quality system documentation • auditee provision of personnel for audit • confidentiality requirements • contingency actions • distribution of reports • entry meeting • exit meeting • follow-up procedures • measurement criteria • reporting procedures • resource requirements • safety of auditors • sampling techniques • scope and objectives of audit • time lines and schedules
<i>Methods and techniques</i> may include:	• advanced management information systems • analysis • determining information flows • evaluating the effectiveness of system controls • questioning • sampling • scanning • tracing • trend analysis
<i>Sources of information</i> may include:	• activities • internal documentation • interview results • records, such as meeting minutes, reports or log books • reports from external sources, such as external laboratory reports and vendor ratings

RANGE STATEMENT	
<i>Appropriate persons</i> may include:	• persons from different levels within the auditee's organisation such as management, administrative personnel and work floor personnel • persons performing activities or tasks under consideration in the audit process
<i>Sample documentation</i> may include:	• documented procedures • log books • meeting minutes • previous audit reports • reports • reports from external sources • systems specifications • test results • user requirements definitions • work instructions
<i>Relevant documentation</i> may include:	• audit procedures • checklists • forms for documenting conformance and non-conformance evidence • forms for recording information • organisational charts • previous audit reports • quality standards • records of meetings • sampling plans defined in documented procedures or in audit plan • schedules

Unit Sector(s)

Unit sector	
--------------------	--

Competency field

Competency field	Regulation, Licensing and Risk - Quality Auditing
-------------------------	---

Co-requisite units

Co-requisite units		