



CATAPULT

BSBAUD411

Participate in quality audits

Table of Contents (Extract)

NOTE: This is a sample only. This cover page is not included in Catapult Smallprint's printed books.

This Table of Contents extract is taken from Catapult Smallprint's full hardcopy Trainer/Assessor Guide for the unit BSBAUD411.

For more information, including using our enhanced online version of this unit in Catapult LMS, or to purchase the Learner or Trainer printed books, please see this unit on our website by clicking this link:

<https://catapultlearning.com.au/product/BSBAUD411/>

Trainer/assessor guide

BSBAUD411

Participate in quality audits

Welcome to this unit of study

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.

It may be undertaken as:

- » part of a formal qualification nationally recognised through the Australian Qualifications Framework (AQF)
- » a stand alone unit
- » part of a formal skill set

Contents

About this trainer/assessor guide	4
Learning resource.....	5
Topic 1: Review own role and documentation	5
Audit team role and responsibilities	5
The impact of previous quality audits	8
Check documentation is adequate.....	9
Review audit documents.....	11
Resolve documentation issues	13
Identify the need for specialists.....	14
Check your understanding	15
Topic 2: Participate in audit preparation.....	17
Prepare checklists and tools for the audit.....	17
Confirm the audit schedule and necessary resources.....	19
Prepare for issues and outline mitigation strategies	21
Confirm preparation aligns with the audit plan.....	22
Determine the appropriate audit methods and techniques.....	25
Create the entry and exit meeting agendas	27
Participate in the entry meeting	30
Check your understanding	31
Topic 3: Gather and analyse information.....	33
Access sources of information relevant to a task.....	33
Collect and make an initial assessment of the documentation	35
Communicate in relation to the documentation	36
Analyse patterns, trends, interrelationships, and areas of risk	38
Check your understanding	39
Topic 4: Evaluate information	41
Evaluate the information against benchmarks.....	41
Form an objective decision on compliance	43
Check the decision is consistent with the available information.....	44
Check your understanding	45
Topic 5: Report findings.....	47
Formulate findings and prepare corrective action requests.....	47
Examine the results and findings against the audit objectives.....	48
Report recommendations for improvements	49
Check your understanding	51
Topic 6: Participate in exit meeting process	53
Prepare for the exit meeting using the exit meeting agenda	53
Explain the context and consequences of the audit	55
Check your understanding	57
Topic 7: Additional learning	59
Technology used for quality auditing.....	59
References.....	61

Assessment workbook	63
Unit information	65
What is competency-based assessment?.....	66
How will my competency be assessed?	67
Assessment agreement	68
Foundation skills checklist.....	69
Skills recognition	70
Topic 1: Review own role and documentation	71
Topic 2: Participate in audit preparation	72
Topic 3: Gather and analyse information.....	73
Topic 4: Evaluate information	74
Topic 5: Report findings.....	75
Topic 6: Participate in exit meeting process	76
Knowledge questions	77
Topic 1: Review own role and documentation	78
Topic 2: Participate in audit preparation.....	86
Topic 3: Gather and analyse information.....	98
Topic 4: Evaluate information	103
Topic 5: Report findings.....	106
Topic 6: Participate in exit meeting process	109
Topic 7: Specific knowledge evidence.....	112
Performance tasks	114
Third party evidence collection agreement	115
Topic 1: Review own role and documentation	116
Topic 2: Participate in audit preparation	118
Topic 3: Gather and analyse information.....	120
Topic 4: Evaluate information	122
Topic 5: Report findings.....	124
Topic 6: Participate in exit meeting process	126
Completion record	128
Unit mapping	129
Trainer/ assessor user instructions	133

About this trainer/assessor guide

Learning resource

The learning resource is divided into the following topics:

- » Review own role and documentation
- » Participate in audit preparation
- » Gather and analyse information
- » Evaluate information
- » Report findings
- » Participate in exit meeting process
- » Additional learning

Each topic provides information to help you gain the skills and knowledge required to perform the work tasks to which they refer. Read the information and practise the skills described. You should also take the opportunity to undertake additional independent research. Your trainer/assessor may also provide supplementary information including interpretation of the contents of this resource.

At the end of each topic is:

- » a set of true or false questions
- » a set of multiple choice questions

These questions provide an opportunity to check your understanding and progress. They are self-marking and do not form part of the assessment for the unit.

Assessment workbook

To have this unit recognised as a formal qualification you need to have your skills and knowledge assessed. The assessment workbook provides:

- » information on competency-based assessment
- » instructions on how you will be assessed
- » assessment tools to assess your competence
- » instructions on how to complete the assessment tasks within each assessment tool

To be assessed as competent you need to provide evidence that you have the skills and knowledge to undertake the requirements of this unit. This assessment of competency is made by a qualified trainer/assessor from a registered training organisation. You must complete all the assessments as directed by your trainer/assessor to the required standard. It is not necessary to work through the guide in the order in which it is written. However this is at the discretion of your trainer/assessor.

Disclaimer

Information contained in this resource is drawn from sources believed to be reliable. The firm, its employees, agents and contractors do not warrant the correctness of the sources used and accept no responsibility to any person for any errors or omissions or for any loss or damage howsoever caused from the use of this resource.
