

## Learner Assessment Pack

### Participate in a Quality Audit

BSBAUD402



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BSBAUD402  
Participate in a Quality Audit

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## Learner Assessment Pack Assessment Delivery



## Learner Information

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Each Learner Assessment Pack is made up of three parts:

### Assessment Delivery

- Learner Information
- Steps for Learners
- Assessment Agreement

### Assessment

- Tasks
- Context
- Assessor Feedback

### Recording

- Record of Assessment

Before you commence your Assessment, ensure that you have good knowledge of the subject, have thoroughly read your Learner Resource, and clearly understand the Assessment requirements and the expectations of the Assessor.

You may be required to demonstrate knowledge and skills which may be difficult for the Assessor to witness. If so, an Evidence Record is supplied which will allow the knowledge or skill to be verified by at least one third party, and preferably two or more. These witnesses would usually be current or recent supervisors or your Assessor.

Explanations are given for each Task. If you have any questions, consult with your Assessor.

To contextualise this Assessment to your industry, you must complete a few additional tasks based on your employer's industry. These will be provided by your Assessor.

The assessment tasks may be answered using your business, the simulated business or a mixture of both as instructed by your Assessor.

Records must be kept of all aspects of the Assessment in your Learner Pack.

The record of assessment is a **legal document** and must be signed, dated, and a copy stored as required by your Registered Training Organisation (RTO).

## Steps for Learners

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1. Receive your Learner Assessment Pack and discuss with your Assessor the expectations of this Assessment. You may also need to supply contact details of one or two work referees who can confirm your skills in the industry. Discuss with your Assessor if you intend to undertake the tasks based on your employing organisation or using the simulated business, Bounce Fitness or a mix of both.
2. Your Learner Assessment Pack is where you will get the Task information. Complete the Tasks as instructed, using either the simulated business, Bounce Fitness, or your employing organisation and include in the Learner Assessment Pack for your Assessor.
3. After you complete your Assessment, gather and return your evidence documents, as detailed in the Task(s) in the timeframe agreed with your Assessor.

## Assessment Agreement

Have you signed off:



### Delivery Method

- Classroom  
 Small Group  
 One-on-One  
 Online  
 Other (please describe)

  
  
  
  



### Assessment Method

- Learner's Organisation –  
 Pre-assessment meeting conducted  
 Simulated Business

  



### 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.

I confirm that the activities and assessment completed as part of this unit are my own work and comply with all relevant copyright and plagiarism rules. I understand that if there is any doubt of the authenticity of any piece of my assessment I can be orally examined and the signatory of evidence records may be contacted.

**Learner Name** \_\_\_\_\_

**Learner Signature** \_\_\_\_\_ **Date** \_\_\_\_\_

**Assessor Name** \_\_\_\_\_

**Assessor Signature** \_\_\_\_\_ **Date** \_\_\_\_\_



# Learner Assessment Pack Assessment



## Tasks

You are required to complete all tasks as instructed.

## Context

Your Assessor will advise you of the tasks that you **must complete** related to your industry.

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To be assessed for this competency, you must demonstrate your ability to:

- Review and amend all relevant documentation
- Develop an audit schedule using relevant tools and strategies
- Use various methods to gather data and information to complete an audit, seeking specialist advice where appropriate
- Use predetermined benchmarks to evaluate findings and formulate well-founded opinions
- Develop a comprehensive report for the exit meeting, which analyses both context and consequences of the completed audit
- Use terminology relating to quality auditing in written or oral communications.

The Assessment Tasks must be completed by you to enable you to demonstrate these skills. This assessment must be conducted using your own business.

You may need to conduct further research.

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### Task 1 – Theory: Short Answer Questions

This competency requires you to demonstrate that you can apply theoretical knowledge to prepare for and participate in a quality audit as a member of a quality audit team. The types of audits may include external or internal systems audits or process or product/service audits.

If you require more space, you may use your own paper placing your name and group identifier at the top and the question number beside your answer.

**1a** Describe relevant auditing codes of practice or ethics.

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**1b** Outline auditing methods and techniques.

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**1c** Summarise current audit practices

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**1d** Identify current industry products and/or services to assist in the auditing process.

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## Assessor Feedback

### Key Points and Suggested Answers

Assessor feedback is recorded here. The Assessor will record what they saw or heard, how it related to the performance criteria, their judgement and why they made that judgement.

### Task 1 – Theory: Short Answer Questions

Task 2 – Practical: Develop Audit Schedules

SAMPLE

Task 3 – Project: Participate in an Audit

Blank area for Task 3 project work.

Task 4 – Evidence Record

Blank area for Task 4 evidence record.

## Tasks Sign-Off Sheet

**Learner Name**

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**Assessor Name**

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**Learner Signature**

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**Assessor Signature**

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**Date**

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**Date**

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SAMPLE





# Learner Assessment Pack Recording



## Record of Assessment

Learner Details	Assessor Details
Name	Name
Course Code	Site and Date
Unit Code BSBAUD402	Unit Name Participate in a Quality Audit

Performance Criteria Mapping			
Assessment Activity	PC Mapping	Satisfactory	Needs More Evidence
Task 1 – Theory: Short Answer Questions	1.1, 1.2, 1.4, 3.1, 3.2, 4.1, 4.2, 4.3	<input type="checkbox"/>	<input type="checkbox"/>
Task 2 – Practical: Develop Audit Schedules	2.1, 2.2, 2.3, 2.4, 2.5,	<input type="checkbox"/>	<input type="checkbox"/>
Task 3 – Project: Participate in an Audit	1.1, 1.2, 1.4, 2.6, 3.2, 3.3, 4.1, 4.2, 4.3, 5.1, 5.2, 5.3, 6.1, 6.2, 6.3	<input type="checkbox"/>	<input type="checkbox"/>
Task 4 – Evidence Record	1.1, 1.2, 1.3, 1.4, 2.1, 2.2, 2.3, 2.4, 2.5, 2.6, 3.1, 3.2, 3.3, 3.4, 3.5, 4.1, 4.2, 4.3, 5.1, 5.2, 5.3, 6.1, 6.2, 6.3	<input type="checkbox"/>	<input type="checkbox"/>

Performance Evidence Mapping			Satisfactory	Needs More Evidence
PE1	Review and amend all relevant documentation	Tasks 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
PE2	Develop an audit schedule using relevant tools and strategies	Tasks 2 and 4	<input type="checkbox"/>	<input type="checkbox"/>
PE3	Use various methods to gather data and information to complete an audit, seeking specialist advice where appropriate	Tasks 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
PE4	Use predetermined benchmarks to evaluate findings and formulate well-founded opinions	Tasks 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
PE5	Develop a comprehensive report for the exit meeting, which analyses both context and consequences of the completed audit	Tasks 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
PE6	Use terminology relating to quality auditing in written or oral communications	Tasks 1, 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>

Knowledge Evidence Mapping			Satisfactory	Needs More Evidence
KE1	Describe relevant auditing codes of practice or ethics	Tasks 1a and 4	<input type="checkbox"/>	<input type="checkbox"/>
KE2	Outline auditing methods and techniques	Tasks 1b and 4	<input type="checkbox"/>	<input type="checkbox"/>
KE3	Summarise current audit practices	Tasks 1c and 4	<input type="checkbox"/>	<input type="checkbox"/>
KE4	Identify current industry products and/or services to assist in the auditing process	Tasks 1d and 4	<input type="checkbox"/>	<input type="checkbox"/>

Context Mapping	PC Mapping	Satisfactory	Needs More Evidence
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>

Foundation Skills Mapping					
Skill	Description	ACSF Level	Mapping	Satisfactory	Needs More Evidence
Reading	Identifies and interprets information from organisational documentation and workplace procedures	4	Tasks 1, 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
Writing	Records or amends information and conveys details in accordance with audit objectives	4	Tasks 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
Oral Communication	Participates in spoken exchanges using structure and language to suit the audience	4	Tasks 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
	Listens for required information and asks clarifying questions	4	Tasks 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
Numeracy	Uses a wide range of mathematical calculations to analyse and arrange numeric information	4	Tasks 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
Navigate the world of work	Adheres to organisational policies and procedures and considers own role in terms of its contribution to broader goals of the work environment	4	Tasks 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
Interact with others	Collaborates and cooperates with others to achieve joint outcomes	4	Tasks 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
	Selects and uses appropriate conventions and protocols when communicating with team members and other people in a range of work contexts	4	Tasks 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
Get the work done	Organises, plans and prioritises workload with some sense of what can be achieved in a timeframe	4	Tasks 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
	Systematically gathers, analyses and evaluates all relevant information to make decisions	4	Tasks 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>
	Recognises and addresses some problems within own scope, recognising when to seek the expertise of others	4	Tasks 2, 3 and 4	<input type="checkbox"/>	<input type="checkbox"/>

(please tick appropriate box)	Yes	No
Comments and future action noted in Learner Assessment Pack	<input type="checkbox"/>	<input type="checkbox"/>
Results discussed and agreed to <b>You have the right to appeal the outcome of your assessment.</b>	<input type="checkbox"/>	<input type="checkbox"/>
The Learner is	Competent <input type="checkbox"/>	Not Yet Competent <input type="checkbox"/>

**Learner Comments**

**Assessor Comments**

Details of further evidence required

After reassessment the Learner is	Competent <input type="checkbox"/>	Not Yet Competent <input type="checkbox"/>
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**Assessor Signature** **Date**

The signature confirms that I have submitted all my own work and agree with the assessment decision and feedback.

**Learner Signature** **Date**

