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Learner Resource & Assessment

Participate in a Quality Audit

BSBAUD402

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BSBAUD402
Participate in a Quality Audit

BSB Version		Precision Group Updates	
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Previous		History	

Overseas Student Information

If you are an overseas student and you have a problem with your school or college that you haven't been able to fix, the Overseas Students Ombudsman might be able to help. The Ombudsman is a free complaint investigation service, available to people on student visas who are studying with private providers. You can read more about what the Ombudsman does, or make a complaint online, by visiting oso.gov.au.

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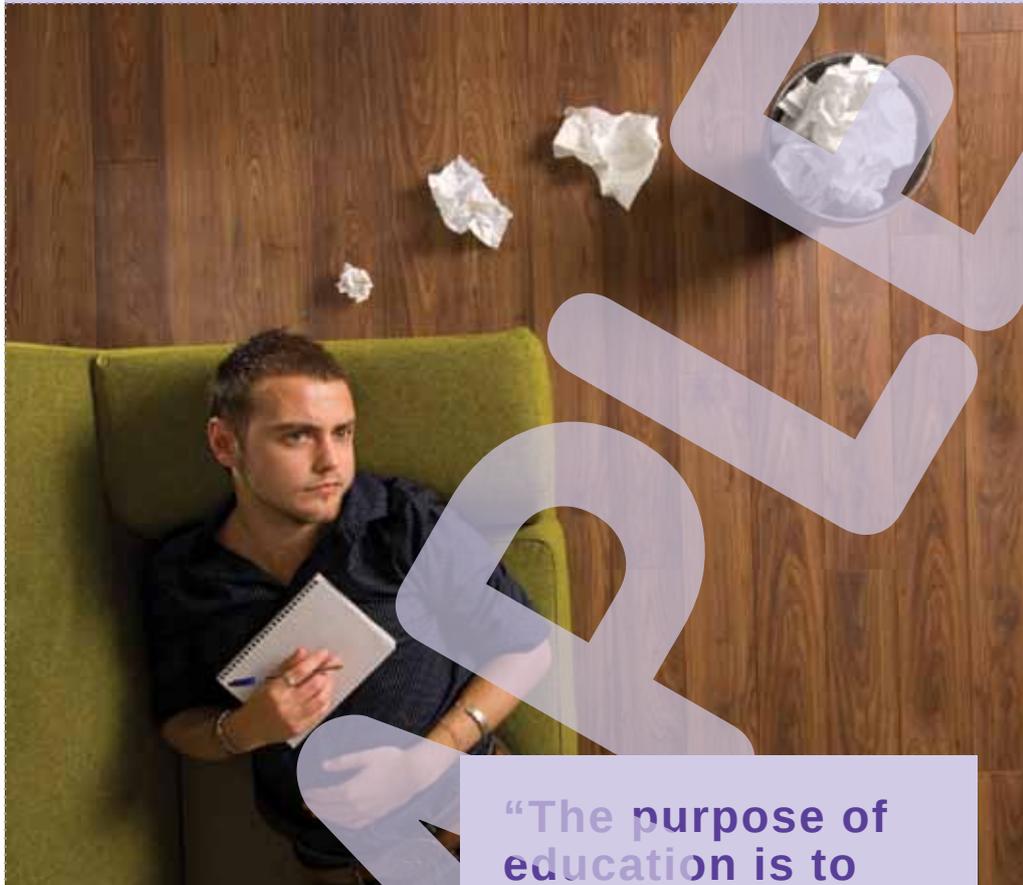
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Table of Contents

About BSB Business Services Training Package

> **"The purpose of education is to replace an empty mind with an open one."** Malcolm Forbes

About the Business Services Industry

The BSB Business Services Training Package covers a diverse range of industries and occupations. Business Services covers a range of cross-industry functions and services supporting the commercial activities of all industries.

Defining Qualifications

When units of competency are grouped into combinations that meet workplace roles, they are called qualifications. These qualifications are aligned to the Australian Qualifications Framework (AQF). Each qualification will have 'packaging rules' which establish the number of core units, number and source of elective units and overall requirements for delivering the qualification.

Delivery and Assessment of Qualifications

RTOs must have the qualifications (or specific units of competency) on their scope to deliver nationally recognised training and assessment. RTOs are governed by and must comply with the requirements established by applicable national frameworks and standards. RTOs must ensure that training and assessment complies with the relevant standards.

Qualification Training Pathways

A pathway is the route or course of action taken to get to a destination. A training pathway is the learning required to attain the competencies to achieve career goals. Everyone has different needs and goals, and therefore requires a personalised and individual training pathway.

Foundation Skills

Foundation Skills are the non-technical skills that support the individual's participation in the workplace, in the community and in education and training.

Australian Core Skills Framework (ACSF)

This Assessment meets the five ACSF core skills as described in the Foundation Skills mapping.

Introduction
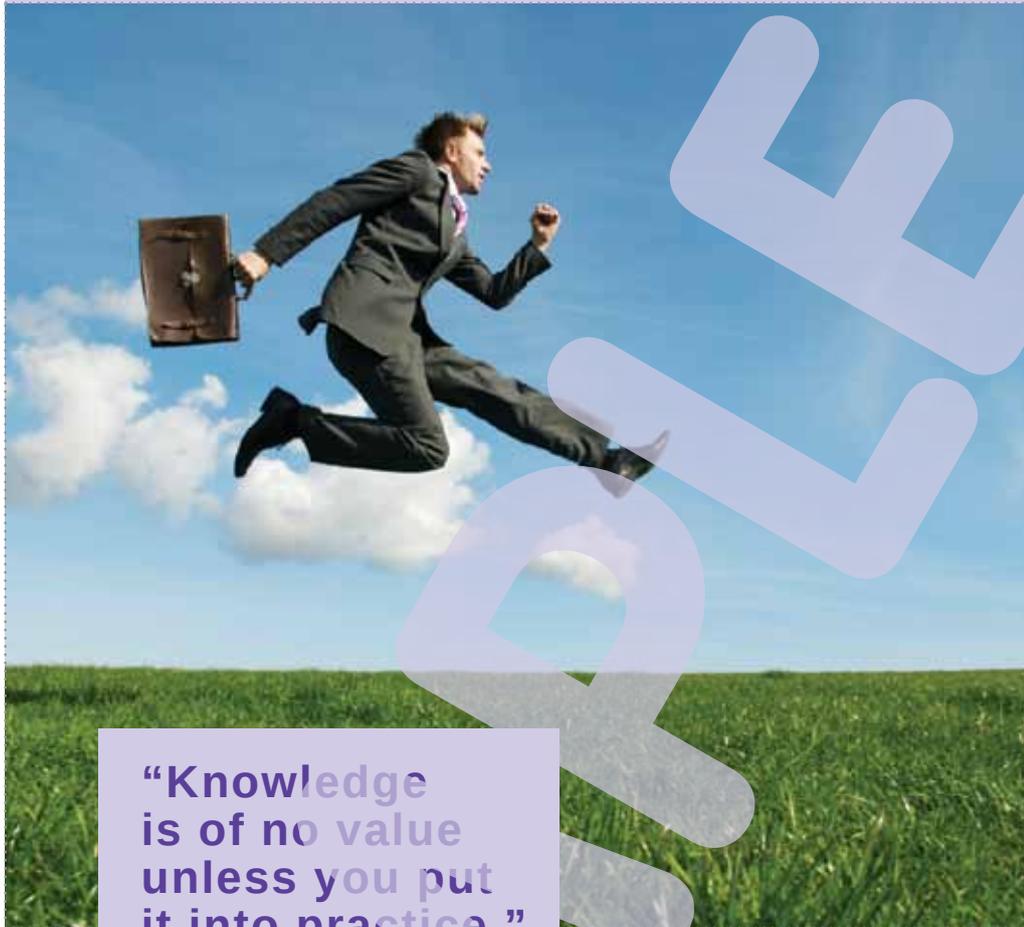
> **"Knowledge is of no value unless you put it into practice."**
>
> Anton Chekhov

This unit standard, BSBAUD402 Participate in a Quality Audit is about 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.

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.

This manual is broken up into six Elements. They are:

1. **Review Auditee Documentation**
2. **Participate in Developing Audit Schedules**
3. **Gather and Analyse Information**
4. **Evaluate Information**
5. **Report Findings**
6. **Participate in Exit Meeting.**

There are activities throughout this workbook. These require the Learners to think about their experience or reactions, or to try and complete some research through reading or accessing the Internet. The activities will also help Learners towards completing the Assessment Task by assisting them to think about issues involved in the Assessment Tasks.

Learners will then be asked to complete an Assessment Pack for this unit of competency. The information contained in this workbook will assist them. These tasks can be completed as they work through the workbook, rather than leaving it all to be completed at the end of their study.

Finally, at the end of this workbook you will find a list of useful resources that you may use for further information. You will need to have access to the Internet. Throughout the text, there are references to websites for further information and for some activities.

This unit contributes the attainment of National Certificates.

To ensure that you clearly understand the roles of those involved, we will begin by defining each:

Lead Auditor:

- Responsible for ensuring that there are sufficient resources (that is, auditors) to accomplish the purpose of the defined scope
- Preparing the audit plan
- Conducting the entry and exit meetings
- Analysing all findings to be reported
- Preparing and submitting the final report.

Auditor:

- To gather audit evidence of the area audited
- A reporter of facts
- To interface between different groups
- An advisor
- To analyse data and report back to the Lead Auditor

Auditee:

- To provide resources to make the audit successful

- Ensure cooperation

- Provide facilities for the audit to take place

- Provide the audit with evidence and facts

- Determine corrective (if any) to be taken

- Ensure corrective action is completed in a timely manner.

ELEMENT 1:

Review Auditee Documentation

Performance Criteria Element 1

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.

Review Auditee Documentation

Where Applicable, Review Auditee's Previous Quality Audits to Establish Possible Impact on the Conduct of the Current Audit

Request Relevant Organisational Documents from Auditee, and Review and Check the Adequacy of these Documents

Amend Reviewed Documents, and Determine and Source Any Further Documentation Required

Preparing for the Audit

Preparing for the audit is the most critical phase of the audit process.

To develop the confidence needed to ensure that the process will be thoroughly audited, the auditor must know in advance what evidence they will be looking for, how many records they will need to pull, and what they will be looking for when they pull the records.

Previous Audits

The auditor should review the results of previous internal and external audits. The effectiveness of action taken for previous findings can then be evaluated. Repetitive audit findings in a given area may be an indicator that the auditor should focus on that area until the issues have been fully resolved.

Review of Applicable Standards

Each auditor should perform a careful review of the requirements of each standard against which they will be auditing.

In studying the standard, the auditor may choose to highlight the mandatory and optional requirements of the standard. Many formal standards use auxiliary verbs to identify a requirement as well as the degree of compliance. Some auxiliary verbs may denote mandatory compliance, while others are used to denote suggestions, optional requirements, or guidance.

Requirements	
Mandatory	**Optional**
'Shall'	'May'
'Must'	'Should'
'Will'	'Can'
	'Might'
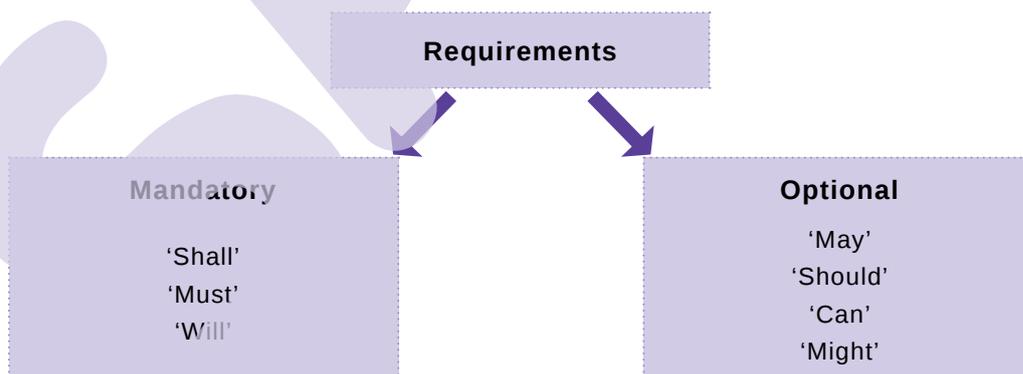
Resolve Issues which Arise with Auditee and Relevant Parties

Review, Amend, and Resolve Issues Relating to Applicable Documentation

The auditor must have a good understanding of the organisation's documentation that relates to the process being audited. Many organisations develop a quality management system that includes three tiers or layers of documentation.

1. **The Quality Manual**

   The quality manual serves as a roadmap to the rest of the system. The quality manual includes:

   - The scope of the quality management system
   - Supporting procedures or a reference to those procedures
   - A description of the interaction of the processes in the quality management system.

   The manual also typically includes the quality policy and an organisation chart or brief description of the organisation's structure.

2. **Procedures**

   Procedures provide additional information, where required, on the processes in the quality management system. Procedures typically address who will do what and when, or how often.

   There are six procedures that are required by ISO 9001:2015 Quality Management

   - Control of documents
   - Control of records
   - Internal Audit
   - Control of non-conforming product
   - Corrective action
   - Preventive action.

   Beyond these six required procedures, however, ISO 9001:2015 Quality Management requires that documents are needed by the organisation to ensure the effective planning, operation, and control of its processes.

3. **Work Instructions**

   Work instructions provide more information, where needed, on how specific activities in each process are performed.

   Work instructions may be in the form of:

   - Operator instructions

- Batch sheets

- Control plans

- Test methods

- Calibration instructions

- Training checklists

- Raw material specifications

- Product specifications

- Drawings

- Blank forms.

Most organisations will have a fourth tier of documents that include the records. Records are controlled in an entirely different manner to the rest of the documents. Documents in the first three tiers must be readily available and properly approved, and they must be the latest issue with some way to indicate that. Records, on the other hand, simply need to be filed in a disciplined manner.

Interpersonal Relationships

The actions and reactions resulting from interpersonal relationships among those participating in a quality audit have a significant impact on the effectiveness of the audit. In fact, the success of the audit depends on the cooperation of all three functional parties.

For this reason it is important to document the actions of each party, so that each individual is absolutely clear about their responsibilities, accountabilities, actions, and reactions.

Interpretations

Each organisation, and their internal auditors, together with the external auditing agencies, and their auditors, have a varying degree of interpretation of the elements of ISO 9001:2015 Quality Management standards.

The problem is compounded by the managers of an organisation then interpreting the requirements of the organisation's quality management system to suit their own needs.

The auditor, unless prepared for these issues, can become involved in a difference of opinion between their understanding and that of the auditee.

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Conflict Resolution

Most of us have a negative attitude towards conflict. Usually we fear it, therefore, try to avoid it altogether or approach it either defensively or aggressively. But conflict is not only inevitable, it is potentially positive. Conflict is the means by which we learn. It causes us to develop new ways of looking at the world and new ways of thinking.

Why we try to 'WIN' at any cost:

• Our commitment to a course of action often biases our perception and judgement

• We look for evidence that supports our decision and ignore opposing information

• We feel the need to defend our reputation with others

• We don't like to admit failure.

The win/win method of conflict resolution is a method of finding a solution acceptable to all parties to the dispute. Each feels good that they have not lost because their needs are, for the most part, met.

Notes

Activity One

In small groups discuss and produce a list of items that you would look for when reviewing results from previous audits and discuss how these would impact the current audit being done.

In a larger group discuss all ideas and share information gathered.

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Key Points Element 1

- **Preparing for the audit is the most critical phase of the audit process.**
- **Results of previous internal and external audits should be reviewed.**
- **Mandatory requirements of a standard are:**
  - **Shall**
  - **Must**
  - **Will.**
- **Optional requirements of a standard are:**
  - **May**
  - **Should**
  - **Can**
  - **Might.**
- **Types of documents that should be reviewed during an audit are:**
  - **The Quality Manual**
  - **Procedures**
  - **Work Instructions**
  - **Records.**
- **Interpersonal relationships can affect the validity of the audit**
- **Conflict is potentially positive**
- **Conflict is the means by which we learn.**

Element 1 – 'True' or 'False' Quiz

		True	False
Q	The auditor must know in advance what evidence to look for.		
Q	It is not critical to fully prepare for an audit, surprise audits are beneficial to the organisation.		
Q	Understanding of the organisation's documentation is important.		
Q	The scope of the quality management system is found in the quality manual.		
Q	The quality policy is typically found in the Work Instructions tier of the documentation.		
Q	Procedures typically address who will do what and when or how often.		
Q	It is acceptable to have varying degrees of interpretation of the elements of ISO 9001:2015 Quality Management.		
Q	Conflict can be a positive experience.		
Q	Procedures are required for **ALL** processes and activities that the organisation carries out for ISO 9001:2015 Quality Management.		