

Assessment Instrument Matrix

BSB51615 Diploma of Quality Auditing

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|---------------------|-----------------------------|
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Why has this Matrix been developed?

This Matrix maps a suite of assessment instruments developed by **purple infinity** (described below) to the units of competency they support in the BSB51615 Diploma of Quality Auditing. It shows how the assessment instruments are consistent with the requirements of the BSB Business Services Training Package and the Standards for Registered Training Organisations 2015.

| Assessment Instrument | Description |
|---|--|
| <i>Up-Front Assessment Checklist (LLN)</i> | Used by candidates to measure their existing LLN skills against an entire qualification prior to engaging in an RPL process or a formal learning program. Aligned to the <i>Foundation Skills</i> of each unit (which in combination meet the packaging rules of the qualification). |
| <i>Skills Check Questionnaire (LLN)</i> | Used by candidates to confirm if they have the reading, writing and numeracy skills necessary to undertake/successfully complete an entire qualification. Aligned to the <i>Foundation Skills</i> of each unit (which in combination meet the packaging rules of the qualification). |
| <i>Up-Front Assessment Checklist</i> | Used by candidates to measure their existing skills and knowledge against a unit of competency prior to engaging in an RPL process or formal learning program. Aligned to the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> . |
| <i>Competency Checklist</i> | Used by assessors as they observe candidates demonstrate the essential outcomes specified in a unit (including the language, literacy, numeracy and employment skills essential to performance). Aligned to the <i>Elements</i> , <i>Performance Criteria</i> and <i>Foundation Skills</i> . |
| <i>Observation Checklist</i> | Used by assessors as they observe candidates perform tasks in workplace/simulated environments, and when candidates participate in structured activities. Records the outcomes of a candidate's performance and summarises any feedback provided by the assessor. Aligned to the <i>Performance Evidence</i> . |
| <i>Review Checklist</i> | Used by assessors as they review evidence (products/services) that candidates have recently produced/delivered in a workplace. Also used by assessors to review historical evidence collected by candidates of their prior learning. Aligned to the <i>Performance Criteria</i> , <i>Foundation Skills</i> and <i>Performance Evidence</i> . |
| <i>Questions to Determine Knowledge</i> | Used by assessors as they question candidates during an assessment process. Can be used to guide verbal interviews and to prepare question sheets. Aligned to the <i>Knowledge Evidence</i> . |
| <i>Evidence Evaluation Form</i> | Used by assessors to confirm the evidence they collect during an assessment process reflects the evidence required to demonstrate competence. |
| <i>Assessment Summary and Feedback Form</i> | Used by assessors to record their assessment decision. Can be used to report the outcomes of an assessment, as well as any gaps in a candidate's performance and any agreed plans for further action. |

| BSBAUD402 Participate in a quality audit | |
|---|---|
| <i>Qualification</i> | BSB51615 Diploma of Quality Auditing |
| <i>Application of the Unit</i> | <p>This elective unit describes the skills and knowledge required 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. 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.</p> <p>It applies to individuals with a broad knowledge of the quality auditing environment who analyse and evaluate information from a variety of sources to provide solutions to auditing issues, including unpredictable quality auditing problems.</p> |

| Assessment Instrument Guide | | |
|---|--------------------------------------|---|
| BSBAUD402 Participate in a quality audit | | |
| <i>Reference Link to Assessment Instrument Matrix</i> | <i>Assessment Instrument</i> | <i>Unit Components Addressed by Assessment Instrument</i> |
| 1 | Up-Front Assessment Checklist (LLN) | Aligned to the <i>Foundation Skills</i> |
| 2 | Skills Check Questionnaire (LLN) | Aligned to the <i>Foundation Skills</i> |
| 3 | Up-Front Assessment Checklist | Aligned to the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 4 | Competency Checklist | Aligned to the <i>Elements, Performance Criteria</i> and <i>Foundation Skills</i> |
| 5 | Observation Checklist | Aligned to the <i>Performance Evidence</i> |
| 6 | Review Checklist | Aligned to the <i>Performance Criteria, Foundation Skills</i> and <i>Performance Evidence</i> |
| 7 | Questions to Determine Knowledge | Aligned to the <i>Knowledge Evidence</i> |
| 8 | Evidence Evaluation Form | Designed for use with the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 9 | Assessment Summary and Feedback Form | Aligned to the <i>Performance Evidence</i> |

Assessment Instrument Matrix – BSBAUD402 Participate in a quality audit

| Assessment Instrument Matrix BSBAUD402 Participate in a quality audit | | Assessment Instruments (see Assessment Instrument Guide on page 4 for details) | | | | | | | | |
|--|---|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Elements / 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 | | | | ✓ | | ✓ | | | |
| 5.2 | Examine results/findings against audit objectives and present to lead auditor | | | | ✓ | | ✓ | | | |
| 5.3 | Report recommendations for improvements as applicable | | | | ✓ | | ✓ | | | |

Assessment Instrument Matrix – BSBAUD402 Participate in a quality audit

| Assessment Instrument Matrix BSBAUD402 Participate in a quality audit | | Assessment Instruments (see Assessment Instrument Guide on page 4 for details) | | | | | | | | |
|--|--|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 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 | | | | ✓ | | ✓ | | | |
| Foundation Skills | | ✓ | ✓ | | ✓ | | | | | |
| Identifies and interprets information from organisational documentation and workplace procedures | | ✓ | ✓ | | ✓ | | | | | |
| Records or amends information and conveys details in accordance with audit objectives | | ✓ | ✓ | | ✓ | | ✓ | | | |
| Participates in spoken exchanges using structure and language to suit the audience Listens for required information and asks clarifying questions | | ✓ | | | ✓ | | | | | |
| Uses a wide range of mathematical calculations to analyse and arrange numeric information | | ✓ | ✓ | | ✓ | | ✓ | | | |
| Adheres to organisational policies and procedures and considers own role in terms of its contribution to broader goals of the work environment | | | | | ✓ | | | | | |
| Collaborates and cooperates with others to achieve joint outcomes Selects and uses appropriate conventions and protocols when communicating with team members and other people in a range of work contexts | | | | | ✓ | | | | | |
| Organises, plans and prioritises workload with some sense of what can be achieved in a timeframe Systematically gathers, analyses and evaluates all relevant information to make decisions Recognises and addresses some problems within own scope, recognising when to seek the expertise of others | | | | | ✓ | | | | | |
| Performance Evidence | | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| 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 | | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |

Assessment Instrument Matrix – BSBAUD402 Participate in a quality audit

| Assessment Instrument Matrix BSBAUD402 Participate in a quality audit | Assessment Instruments (see Assessment Instrument Guide on page 4 for details) | | | | | | | | |
|--|--|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Knowledge Evidence | | | ✓ | | | | ✓ | ✓ | |
| Describe relevant auditing codes of practice or ethics | | | ✓ | | | | ✓ | ✓ | |
| Outline auditing methods and techniques | | | ✓ | | | | ✓ | ✓ | |
| Summarise current audit practices | | | ✓ | | | | ✓ | ✓ | |
| Identify current industry products and/or services to assist in the auditing process | | | ✓ | | | | ✓ | ✓ | |

SAMPLE

| BSBAUD501 Initiate a quality audit | |
|---|--|
| <i>Qualification</i> | BSB51615 Diploma of Quality Auditing |
| <i>Application of the Unit</i> | <p>This elective unit describes the skills and knowledge required to initiate and organise a quality audit with an auditee. It covers assessing the scope and objectives of a quality audit; communicating with the auditee regarding the proposed quality audit; identifying resources required to conduct the audit; and developing and submitting a quality audit plan. The types of audits may include external or internal systems audits or process or product/service audits.</p> <p>It applies to individuals with a well-established theoretical knowledge base in quality auditing who are proficient in using a wide range of specialised, quality auditing and managerial techniques to plan, carry out and evaluate a quality audit. Individuals also supervise and monitor the processes and outcomes of others working in a quality audit team.</p> |

| Assessment Instrument Guide | | |
|---|--------------------------------------|---|
| BSBAUD501 Initiate a quality audit | | |
| <i>Reference Link to Assessment Instrument Matrix</i> | <i>Assessment Instrument</i> | <i>Unit Components Addressed by Assessment Instrument</i> |
| 1 | Up-Front Assessment Checklist (LLN) | Aligned to the <i>Foundation Skills</i> |
| 2 | Skills Check Questionnaire (LLN) | Aligned to the <i>Foundation Skills</i> |
| 3 | Up-Front Assessment Checklist | Aligned to the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 4 | Competency Checklist | Aligned to the <i>Elements, Performance Criteria</i> and <i>Foundation Skills</i> |
| 5 | Observation Checklist | Aligned to the <i>Performance Evidence</i> |
| 6 | Review Checklist | Aligned to the <i>Performance Criteria, Foundation Skills</i> and <i>Performance Evidence</i> |
| 7 | Questions to Determine Knowledge | Aligned to the <i>Knowledge Evidence</i> |
| 8 | Evidence Evaluation Form | Designed for use with the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 9 | Assessment Summary and Feedback Form | Aligned to the <i>Performance Evidence</i> |

Assessment Instrument Matrix – BSBAUD501 Initiate a quality audit

| Assessment Instrument Matrix BSBAUD501 Initiate a quality audit | | Assessment Instruments (see Assessment Instrument Guide on page 8 for details) | | | | | | | | |
|--|--|--|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Elements / Performance Criteria | | | | | ✓ | | ✓ | | | |
| 1 | Assess quality audit scope and objectives | | | | ✓ | | | | | |
| 1.1 | Determine and discuss audit objectives with the auditee, client and all other relevant parties | | | | ✓ | | | | | |
| 1.2 | Determine and discuss scope of the quality audit with the auditee, client and all other relevant parties | | | | ✓ | | | | | |
| 1.3 | Identify relevant standards that impact the environment in which the audit operates | | | | ✓ | | | | | |
| 1.4 | Determine scope commensurate with identified risks | | | | ✓ | | | | | |
| 2 | Communicate with auditee regarding proposed quality audit | | | | ✓ | | | | | |
| 2.1 | Determine audit history, organisational structure and culture through consultation with the auditee | | | | ✓ | | | | | |
| 2.2 | Negotiate and ensure agreement with auditee, the proposed audit methods and techniques to be applied | | | | ✓ | | | | | |
| 2.3 | Outline audit processes to establish sequence of audit activities, and the roles of the auditors and auditees in the process | | | | ✓ | | | | | |
| 3 | Identify resources required to conduct quality audit | | | | ✓ | | | | | |
| 3.1 | Identify resources required to perform the quality audit efficiently and effectively | | | | ✓ | | | | | |
| 3.2 | Select audit team members on the basis of relevant expertise | | | | ✓ | | | | | |
| 3.3 | Confirm availability of resources required to conduct the audit with auditee | | | | ✓ | | | | | |
| 3.4 | Assign roles and responsibilities to audit team members | | | | ✓ | | | | | |
| 4 | Develop and submit quality audit plan | | | | ✓ | | | | | |
| 4.1 | Develop quality audit plan according to established scope and objectives | | | | ✓ | | ✓ | | | |
| 4.2 | Assign timing, schedules and responsibilities for implementation of the audit plan | | | | ✓ | | ✓ | | | |
| 4.3 | Develop audit priorities and ensure agreement with auditees and audit team members | | | | ✓ | | ✓ | | | |
| 4.4 | Document and submit audit plan to auditee | | | | ✓ | | ✓ | | | |
| 5 | Prepare audit team | | | | ✓ | | | | | |
| 5.1 | Inform audit team members of their responsibilities, audit objectives and scope | | | | ✓ | | | | | |
| 5.2 | Communicate audit plan and schedules to all audit team members | | | | ✓ | | | | | |
| 5.3 | Discuss and clarify audit methods and techniques with audit team members | | | | ✓ | | | | | |
| 6 | Review auditee documentation | | | | ✓ | | | | | |
| 6.1 | Review auditee’s previous audits to establish possible impact on the conduct of the current audit | | | | ✓ | | | | | |
| 6.2 | Review and check relevant organisational documents for accuracy | | | | ✓ | | | | | |
| 6.3 | Resolve arising problems with auditee and relevant parties | | | | ✓ | | | | | |

Assessment Instrument Matrix – BSBAUD501 Initiate a quality audit

| Assessment Instrument Matrix BSBAUD501 Initiate a quality audit | | Assessment Instruments (see Assessment Instrument Guide on page 8 for details) | | | | | | | | |
|--|---|--|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 7 | Identify and prepare checklists and audit related documentation | | | | ✓ | | | | | |
| 7.1 | Develop checklists to reflect audit scope and objectives | | | | ✓ | | ✓ | | | |
| 7.2 | Develop or obtain documentation required for the audit | | | | ✓ | | ✓ | | | |
| 7.3 | Prepare agenda for entry meeting | | | | ✓ | | ✓ | | | |
| 7.4 | Include value-adding activities in audit related documentation where required | | | | ✓ | | ✓ | | | |
| Foundation Skills | | ✓ | ✓ | | ✓ | | | | | |
| Interprets and analyses information from organisational documentation | | ✓ | ✓ | | ✓ | | | | | |
| Develops a range of documents using structure, tone and vocabulary appropriate to audience, context and purpose | | ✓ | ✓ | | ✓ | | ✓ | | | |
| Records or amends information and conveys details in accordance with audit objectives | | | | | | | | | | |
| Participates in spoken exchanges using structure and language to suit the audience | | ✓ | | | ✓ | | | | | |
| Uses questioning and listening techniques to clarify requirements | | | | | | | | | | |
| Uses mathematical calculations for project scheduling | | ✓ | ✓ | | ✓ | | ✓ | | | |
| Monitors adherence to organisational policies and relevant standards and considers own role in terms of its contribution to broader goals of the work environment | | | | | ✓ | | | | | |
| Selects the appropriate form, channel and mode of communication for a specific purpose relevant to own role | | | | | ✓ | | | | | |
| Recognises the importance of building rapport and building effective working relationships | | | | | | | | | | |
| Collaborates with others to negotiate acceptable outcomes, playing an active role in facilitating effective group interaction | | | | | | | | | | |
| Organises, plans and sequences own workload and schedules work activities of others | | | | | ✓ | | | | | |
| Uses analytical processes to decide on a course of action, establishing criteria for deciding between options and seeking advice from others before taking action when necessary | | | | | | | | | | |
| Addresses some unfamiliar problems of increasing complexity within own scope, recognising when to seek the expertise of others | | | | | | | | | | |
| Performance Evidence | | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Produce documented audit plans for auditees across a variety of contexts including: | | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| <ul style="list-style-type: none"> • the scope and objectives of the audit • proposed audit methods and techniques to be used • required resources and schedules • allocation of individual audit team member responsibilities for conducting the proposed audit | | | | | | | | | | |
| Use terminology relating to quality auditing in written or oral communications | | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |

Assessment Instrument Matrix – BSBAUD501 Initiate a quality audit

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|---|--|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Knowledge Evidence | | | ✓ | | | | ✓ | ✓ | |
| Identify the relevant auditing codes of practice or ethics | | | ✓ | | | | ✓ | ✓ | |
| Describe auditing methods and techniques | | | ✓ | | | | ✓ | ✓ | |
| Outline the requirements of auditing regulations and standards | | | ✓ | | | | ✓ | ✓ | |
| Identify current audit practices | | | ✓ | | | | ✓ | ✓ | |
| Outline quality auditing principles, techniques and systems | | | ✓ | | | | ✓ | ✓ | |
| Describe the requirements of house or other style manual protocols for written communications | | | ✓ | | | | ✓ | ✓ | |
| Identify software applications relevant to quality auditing activities | | | ✓ | | | | ✓ | ✓ | |

SAMPLE

| BSBAUD503 Lead a quality audit | |
|---------------------------------------|--|
| <i>Qualification</i> | BSB51615 Diploma of Quality Auditing |
| <i>Application of the Unit</i> | <p>This elective unit describes the skills and knowledge required to lead an audit team as it runs a quality audit. 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 types of quality audit that may be covered by this unit include an external or internal systems audit or process or product/service audit.</p> <p>It applies to individuals with a well-established theoretical knowledge base of quality auditing, who are proficient in using a wide range of specialised quality auditing and managerial techniques to carry out their own work and to supervise the quality audit team. It is relevant to audits where a lead auditor is responsible for a quality audit team.</p> |

| Assessment Instrument Guide | | |
|---|--------------------------------------|---|
| BSBAUD503 Lead a quality audit | | |
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| 5 | Observation Checklist | Aligned to the <i>Performance Evidence</i> |
| 6 | Review Checklist | Aligned to the <i>Performance Criteria, Foundation Skills</i> and <i>Performance Evidence</i> |
| 7 | Questions to Determine Knowledge | Aligned to the <i>Knowledge Evidence</i> |
| 8 | Evidence Evaluation Form | Designed for use with the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 9 | Assessment Summary and Feedback Form | Aligned to the <i>Performance Evidence</i> |

Assessment Instrument Matrix – BSBAUD503 Lead a quality audit

| Assessment Instrument Matrix BSBAUD503 Lead a quality audit | | Assessment Instruments (see Assessment Instrument Guide on page 12 for details) | | | | | | | | |
|--|--|--|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Elements / Performance Criteria | | | | | ✓ | | ✓ | | | |
| 1 | Conduct entry meeting | | | | ✓ | | | | | |
| 1.1 | Organise entry meeting in advance at a mutually agreed time | | | | ✓ | | | | | |
| 1.2 | Prepare agenda for audit | | | | ✓ | | ✓ | | | |
| 1.3 | Confirm objectives and scope of audit at entry meeting | | | | ✓ | | | | | |
| 1.4 | Confirm schedules and logistical arrangements at entry meeting | | | | ✓ | | | | | |
| 1.5 | Make changes to plan, schedules and arrangements where required | | | | ✓ | | ✓ | | | |
| 2 | Identify and gather information | | | | ✓ | | | | | |
| 2.1 | Identify a range of potential sources of information | | | | ✓ | | | | | |
| 2.2 | Interview appropriate persons | | | | ✓ | | | | | |
| 2.3 | Gather relevant information and sample documentation | | | | ✓ | | ✓ | | | |
| 3 | Manage audit team resources | | | | ✓ | | | | | |
| 3.1 | Supervise activities of audit team members | | | | ✓ | | | | | |
| 3.2 | Assess and review audit team findings in line with audit scope | | | | ✓ | | | | | |
| 3.3 | Re-assign team members as required | | | | ✓ | | | | | |
| 3.4 | Instigate contingency actions as required | | | | ✓ | | | | | |
| 3.5 | Seek and reach agreement on corrective action reports | | | | ✓ | | | | | |
| 4 | Conduct exit meeting | | | | ✓ | | | | | |
| 4.1 | Make preparations for exit meeting | | | | ✓ | | | | | |
| 4.2 | Examine results and findings against audit objectives and present to auditee | | | | ✓ | | | | | |
| 4.3 | Ensure reporting arrangements are agreed on | | | | ✓ | | | | | |
| 4.4 | Explain context and consequences of audit and discuss during follow-up | | | | ✓ | | | | | |
| 5 | Guide team members in continuously improving their performance | | | | ✓ | | | | | |
| 5.1 | Provide feedback on performance to audit team members | | | | ✓ | | | | | |
| 5.2 | Encourage and support audit team members to critique their own work | | | | ✓ | | | | | |
| 5.3 | Provide and document advice for individual improvement | | | | ✓ | | ✓ | | | |

Assessment Instrument Matrix – BSBAUD503 Lead a quality audit

| Assessment Instrument Matrix BSBAUD503 Lead a quality audit | Assessment Instruments (see Assessment Instrument Guide on page 12 for details) | | | | | | | | |
|--|---|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Foundation Skills | ✓ | ✓ | | ✓ | | | | | |
| Interprets and analyses information from audit scoping materials | ✓ | ✓ | | ✓ | | | | | |
| Develops a range of documents using relevant structure, tone and vocabulary appropriate to audience, context and purpose | ✓ | ✓ | | ✓ | | ✓ | | | |
| Records or amends information and conveys details in accordance with audit objectives | | | | | | | | | |
| Participates in spoken exchanges using clear language, tone and pace | ✓ | | | ✓ | | | | | |
| Uses questioning and listening techniques to clarify requirements | | | | | | | | | |
| Uses mathematical calculations to analyse and arrange numeric information | ✓ | ✓ | | ✓ | | ✓ | | | |
| Selects the appropriate form, channel and mode of communication for a specific purpose relevant to own role | | | | ✓ | | | | | |
| 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 | | | | | | | | | |
| Organises, plans and sequences own workload and schedules work activities of others | | | | ✓ | | | | | |
| Uses a combination of formal, logical planning processes and an increasingly intuitive understanding of context to identify relevant information and evaluate appropriate strategies to achieve objectives | | | | | | | | | |
| Responds to problems requiring immediate attention, drawing on past experiences to devise solutions | | | | | | | | | |
| Makes a range of critical and non-critical decisions in relatively complex situations, taking a range of factors into account | | | | | | | | | |
| Performance Evidence | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Identify all objectives, schedules and relevant information prior to commencement of audit | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Demonstrate leadership and management of a quality auditing team | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Manage the information gathering process by team members, and analysis, synthesis and reporting of the findings | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Encourage team members to continuously improve their performance through feedback and self-critique | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Use terminology relating to quality auditing in written or oral communications | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Knowledge Evidence | | | ✓ | | | | ✓ | ✓ | |
| Describe quality auditing principles, methods and techniques | | | ✓ | | | | ✓ | ✓ | |
| Outline the requirements of auditing regulations and standards | | | ✓ | | | | ✓ | ✓ | |
| Identify current audit practices | | | ✓ | | | | ✓ | ✓ | |
| Identify software applications relevant to conducting quality auditing activities | | | ✓ | | | | ✓ | ✓ | |

| BSBAUD504 Report on a quality audit | |
|--|---|
| <i>Qualification</i> | BSB51615 Diploma of Quality Auditing |
| <i>Application of the Unit</i> | <p>This elective unit describes the skills and knowledge required to report on the outcomes of a quality audit and to take appropriate follow up action. It covers compiling audit results; preparing a report for the auditee/client; negotiating follow up action with the auditee/client; and monitoring and reviewing the auditing system and activities. The types of quality audit that may be covered by this unit include an external or internal systems audit or process or product/service audit.</p> <p>It applies to individuals with a well-established theoretical knowledge base in quality auditing who are proficient in using a wide range of specialised quality auditing and managerial techniques to carry out their own work and to supervise the quality audit team. It addresses the function performed by either an auditor having sole responsibility for the audit or a lead auditor of a quality audit team.</p> |

| Assessment Instrument Guide | | |
|---|--------------------------------------|---|
| BSBAUD504 Report on a quality audit | | |
| <i>Reference Link to Assessment Instrument Matrix</i> | <i>Assessment Instrument</i> | <i>Unit Components Addressed by Assessment Instrument</i> |
| 1 | Up-Front Assessment Checklist (LLN) | Aligned to the <i>Foundation Skills</i> |
| 2 | Skills Check Questionnaire (LLN) | Aligned to the <i>Foundation Skills</i> |
| 3 | Up-Front Assessment Checklist | Aligned to the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 4 | Competency Checklist | Aligned to the <i>Elements, Performance Criteria</i> and <i>Foundation Skills</i> |
| 5 | Observation Checklist | Aligned to the <i>Performance Evidence</i> |
| 6 | Review Checklist | Aligned to the <i>Performance Criteria, Foundation Skills</i> and <i>Performance Evidence</i> |
| 7 | Questions to Determine Knowledge | Aligned to the <i>Knowledge Evidence</i> |
| 8 | Evidence Evaluation Form | Designed for use with the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 9 | Assessment Summary and Feedback Form | Aligned to the <i>Performance Evidence</i> |

Assessment Instrument Matrix – BSBAUD504 Report on a quality audit

| Assessment Instrument Matrix BSBAUD504 Report on a quality audit | | Assessment Instruments (see Assessment Instrument Guide on page 15 for details) | | | | | | | | |
|--|--|--|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Elements / Performance Criteria | | | | | ✓ | | ✓ | | | |
| 1 | Compile audit results | | | | ✓ | | | | | |
| 1.1 | Compare results of the audit evaluation against audit objectives and criteria plan | | | | ✓ | | | | | |
| 1.2 | Analyse audit results | | | | ✓ | | | | | |
| 2 | Prepare report | | | | ✓ | | | | | |
| 2.1 | Provide objective evidence relating to the need for reduction, elimination and prevention of non-conformance as the basis for the audit report | | | | ✓ | | ✓ | | | |
| 2.2 | Produce audit report according to specified audit requirements | | | | ✓ | | ✓ | | | |
| 2.3 | Present audit report to auditee and other stakeholders | | | | ✓ | | ✓ | | | |
| 3 | Negotiate follow up process with auditee | | | | ✓ | | | | | |
| 3.1 | Determine and initiate any corrective action required to deal with non-conformance, in consultation with auditee | | | | ✓ | | | | | |
| 3.2 | Provide suggestions for improvements where applicable | | | | ✓ | | | | | |
| 3.3 | Ensure timelines are agreed on for completion of corrective action activities | | | | ✓ | | | | | |
| 3.4 | Ensure corrective action follow-up procedures are agreed with auditee | | | | ✓ | | | | | |
| 4 | Monitor and review audit system and activities | | | | ✓ | | | | | |
| 4.1 | Evaluate effectiveness and suitability in achieving audit objectives | | | | ✓ | | | | | |
| 4.2 | Investigate possible improvements in audit methods, economy and efficiency | | | | ✓ | | | | | |
| Foundation Skills | | ✓ | ✓ | | ✓ | | | | | |
| Interprets and analyses information from a complex range of organisational documentation | | ✓ | ✓ | | ✓ | | | | | |
| Develops a variety of complex documents using relevant structure, tone and vocabulary appropriate to audience, context and purpose | | ✓ | ✓ | | ✓ | | ✓ | | | |
| Participates in spoken exchanges using clear language, tone and pace Uses questioning and listening techniques to clarify understanding | | ✓ | | | ✓ | | | | | |
| Collects, represents, summarises and interprets a range of statistical data Performs calculations required to measure output against timeframes | | ✓ | ✓ | | ✓ | | ✓ | | | |
| Monitors adherence to organisational policies and procedures Considers own role in terms of its contribution to broader goals of the work environment | | | | | ✓ | | | | | |
| Selects the appropriate form, channel and mode of communication for a specific purpose relevant to own role Collaborates with others to negotiate joint outcomes, playing an active role in facilitating team understanding | | | | | ✓ | | | | | |

| Assessment Instrument Matrix BSBAUD504 Report on a quality audit | Assessment Instruments (see Assessment Instrument Guide on page 15 for details) | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Organises, plans and sequences own workload according to timelines and organisational requirements Makes a range of critical and non-critical decisions in relatively complex situations, taking a range of factors into account Analyses outcomes of decisions to identify opportunities for improvement Recognises a range of familiar problems, their symptoms and causes, actively looking for suitable corrective actions | | | | ✓ | | | | | |
| Performance Evidence | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Interpret audit results and produce a detailed audit report containing detailed analysis according to specified requirements | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Negotiate follow-up actions with auditees/clients | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Determine future improvements in auditing methods | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Use terminology relating to quality auditing in written or oral communications | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Knowledge Evidence | | | ✓ | | | | ✓ | ✓ | |
| Describe quality auditing principles, methods and techniques | | | ✓ | | | | ✓ | ✓ | |
| Outline the requirements of auditing regulations and standards | | | ✓ | | | | ✓ | ✓ | |
| Identify current audit practices | | | ✓ | | | | ✓ | ✓ | |
| Identify software applications relevant to conducting quality auditing activities | | | ✓ | | | | ✓ | ✓ | |

| BSBINM501 Manage an information or knowledge management system | |
|---|--|
| <i>Qualification</i> | BSB51615 Diploma of Quality Auditing |
| <i>Application of the Unit</i> | <p>This elective unit describes the skills and knowledge required to organise training for others for an information or knowledge management system and to manage the use of the system. It applies to individuals who are responsible for seeing that key information and corporate knowledge are retained, accessible to others and improve business outcomes.</p> <p>The unit applies to information or knowledge management systems which comprise policies, protocols, procedures and practices to manage information or knowledge within the organisation and among relevant stakeholders.</p> |

| Assessment Instrument Guide | | |
|---|--------------------------------------|---|
| BSBINM501 Manage an information or knowledge management system | | |
| <i>Reference Link to Assessment Instrument Matrix</i> | <i>Assessment Instrument</i> | <i>Unit Components Addressed by Assessment Instrument</i> |
| 1 | Up-Front Assessment Checklist (LLN) | Aligned to the <i>Foundation Skills</i> |
| 2 | Skills Check Questionnaire (LLN) | Aligned to the <i>Foundation Skills</i> |
| 3 | Up-Front Assessment Checklist | Aligned to the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 4 | Competency Checklist | Aligned to the <i>Elements, Performance Criteria</i> and <i>Foundation Skills</i> |
| 5 | Observation Checklist | Aligned to the <i>Performance Evidence</i> |
| 6 | Review Checklist | Aligned to the <i>Performance Criteria, Foundation Skills</i> and <i>Performance Evidence</i> |
| 7 | Questions to Determine Knowledge | Aligned to the <i>Knowledge Evidence</i> |
| 8 | Evidence Evaluation Form | Designed for use with the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 9 | Assessment Summary and Feedback Form | Aligned to the <i>Performance Evidence</i> |

Assessment Instrument Matrix – BSBINM501 Manage an information or knowledge management system

| Assessment Instrument Matrix BSBINM501 Manage an information or knowledge management system | | Assessment Instruments (see Assessment Instrument Guide on page 18 for details) | | | | | | | | |
|---|--|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Elements / Performance Criteria | | | | | ✓ | | ✓ | | | |
| 1 | Organise learning to use information or knowledge management system | | | | ✓ | | | | | |
| 1.1 | Identify learning needs of relevant personnel and stakeholders for input into and use of an information or knowledge management system | | | | ✓ | | | | | |
| 1.2 | Identify and secure human, financial and physical resources required for learning activities to use an information or knowledge management system | | | | ✓ | | | | | |
| 1.3 | Organise and facilitate learning activities | | | | ✓ | | | | | |
| 1.4 | Promote and support use of the system throughout the organisation | | | | ✓ | | | | | |
| 1.5 | Monitor and document effectiveness of learning activities | | | | ✓ | | ✓ | | | |
| 2 | Manage use of information or knowledge management system | | | | ✓ | | | | | |
| 2.1 | Ensure implementation of policies and procedures for the information or knowledge management system are monitored for compliance, effectiveness and efficiency | | | | ✓ | | | | | |
| 2.2 | Address implementation issues and problems as they arise | | | | ✓ | | | | | |
| 2.3 | Monitor integration and alignment with data and information systems | | | | ✓ | | | | | |
| 2.4 | Collect information on achievement of performance measures | | | | ✓ | | ✓ | | | |
| 2.5 | Manage contingencies such as system failure or technical difficulties by accessing technical specialist help as required | | | | ✓ | | | | | |
| 3 | Review use of information or knowledge management system | | | | ✓ | | | | | |
| 3.1 | Analyse effectiveness of system and report on strengths and limitations of the system | | | | ✓ | | ✓ | | | |
| 3.2 | Review business and operational plan and determine how effectively the system is contributing to intended outcomes | | | | ✓ | | | | | |
| 3.3 | Make recommendations for improvement to system, policy or work practices | | | | ✓ | | ✓ | | | |
| Foundation Skills | | ✓ | ✓ | | ✓ | | | | | |
| Researches and critically analyses documentation from a variety of sources to determine requirements | | ✓ | ✓ | | ✓ | | | | | |
| Prepares and produces documentation for a specific audience using clear and detailed language to convey explicit information, requirements and recommendations | | ✓ | ✓ | | ✓ | | ✓ | | | |
| Presents information using structure and language to suit the audience Uses active listening and questioning and reading of verbal and non-verbal signals to clarify information and to confirm understanding | | ✓ | | | ✓ | | | | | |
| Takes full responsibility for following policies, procedures and legislative requirements and identifies organisational implications of new legislation or regulation Modifies or develops organisational policies and procedures to comply with legislative requirements and organisation goals | | | | | ✓ | | | | | |

Assessment Instrument Matrix – BSBINM501 Manage an information or knowledge management system

| Assessment Instrument Matrix BSBINM501 Manage an information or knowledge management system | Assessment Instruments (see Assessment Instrument Guide on page 18 for details) | | | | | | | | |
|--|---|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Implements strategies for a diverse range of colleagues and clients in order to build rapport and foster strong relationships Collaborates with others sharing information to build strong work groups and avoid behaviours that are not conducive to a productive environment Elicits feedback and provides feedback to others in order to improve self or workgroup behaviours | | | | ✓ | | | | | |
| Accepts responsibility for planning and sequencing complex tasks and workload, negotiating key aspects with others and taking into account capabilities, efficiencies and effectiveness Monitors progress of plans and schedules and reviews and changes them to meet new demands and priorities Applies systematic and analytical processes to address problems and make decisions in complex situations Investigates new and innovative ideas as a means to continuously improve, work practices and processes Uses and investigates new digital technologies and applications to manage and manipulate data and communicate effectively with others | | | | ✓ | | | | | |
| Performance Evidence | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Identify learning needs and plan and implement learning activities to enable personnel to use information or knowledge management system including: <ul style="list-style-type: none"> • providing human, financial and physical resources as required • use of coaching, mentoring, information sessions, workshops, training programs and e-learning as appropriate | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Monitor performance and address issues and contingencies as they arise including: <ul style="list-style-type: none"> • accessing technical specialists as required • correct application of policies and procedures for the information or knowledge management system • alignment and effectiveness of the policies and procedures • effectiveness of information or knowledge management system for intended outcomes | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Recommend improvements to systems, policies and practices as appropriate | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Knowledge Evidence | | | ✓ | | | | ✓ | ✓ | |
| Outline relevant legislation, codes of practice and national standards relevant to privacy, freedom of information and knowledge management | | | ✓ | | | | ✓ | ✓ | |
| Explain organisational policies and procedures including: <ul style="list-style-type: none"> • records management • information management • customer service • commercial confidentiality | | | ✓ | | | | ✓ | ✓ | |
| Describe the organisational operations and existing data and information systems | | | ✓ | | | | ✓ | ✓ | |

| BSBMGT502 Manage people performance | |
|--|--|
| <i>Qualification</i> | BSB51615 Diploma of Quality Auditing |
| <i>Application of the Unit</i> | <p>This elective unit describes the skills and knowledge required to manage the performance of staff who report to them directly. Development of key result areas and key performance indicators and standards, coupled with regular and timely coaching and feedback, provide the basis for performance management. It applies to individuals who manage people. It covers work allocation and the methods to review performance, reward excellence and provide feedback where there is a need for improvement.</p> <p>The unit makes the link between performance management and performance development, and reinforces both functions as a key requirement for effective managers.</p> |

| Assessment Instrument Guide | | |
|---|--------------------------------------|---|
| BSBMGT502 Manage people performance | | |
| <i>Reference Link to Assessment Instrument Matrix</i> | <i>Assessment Instrument</i> | <i>Unit Components Addressed by Assessment Instrument</i> |
| 1 | Up-Front Assessment Checklist (LLN) | Aligned to the <i>Foundation Skills</i> |
| 2 | Skills Check Questionnaire (LLN) | Aligned to the <i>Foundation Skills</i> |
| 3 | Up-Front Assessment Checklist | Aligned to the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 4 | Competency Checklist | Aligned to the <i>Elements, Performance Criteria</i> and <i>Foundation Skills</i> |
| 5 | Observation Checklist | Aligned to the <i>Performance Evidence</i> |
| 6 | Review Checklist | Aligned to the <i>Performance Criteria, Foundation Skills</i> and <i>Performance Evidence</i> |
| 7 | Questions to Determine Knowledge | Aligned to the <i>Knowledge Evidence</i> |
| 8 | Evidence Evaluation Form | Designed for use with the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 9 | Assessment Summary and Feedback Form | Aligned to the <i>Performance Evidence</i> |

Assessment Instrument Matrix – BSBMGT502 Manage people performance

| Assessment Instrument Matrix BSBMGT502 Manage people performance | | Assessment Instruments (see Assessment Instrument Guide on page 21 for details) | | | | | | | | |
|---|--|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Elements / Performance Criteria | | | | | ✓ | | ✓ | | | |
| 1 | Allocate work | | | | ✓ | | | | | |
| 1.1 | Consult relevant groups and individuals on work to be allocated and resources available | | | | ✓ | | | | | |
| 1.2 | Develop work plans in accordance with operational plans | | | | ✓ | | ✓ | | | |
| 1.3 | Allocate work in a way that is efficient, cost effective and outcome focussed | | | | ✓ | | | | | |
| 1.4 | Confirm performance standards, Code of Conduct and work outputs with relevant teams and individuals | | | | ✓ | | | | | |
| 1.5 | Develop and agree performance indicators with relevant staff prior to commencement of work | | | | ✓ | | ✓ | | | |
| 1.6 | Conduct risk analysis in accordance with the organisational risk management plan and legal requirements | | | | ✓ | | | | | |
| 2 | Assess performance | | | | ✓ | | | | | |
| 2.1 | Design performance management and review processes to ensure consistency with organisational objectives and policies | | | | ✓ | | ✓ | | | |
| 2.2 | Train participants in the performance management and review process | | | | ✓ | | | | | |
| 2.3 | Conduct performance management in accordance with organisational protocols and time lines | | | | ✓ | | | | | |
| 2.4 | Monitor and evaluate performance on a continuous basis | | | | ✓ | | | | | |
| 3 | Provide feedback | | | | ✓ | | | | | |
| 3.1 | Provide informal feedback to staff on a regular basis | | | | ✓ | | | | | |
| 3.2 | Advise relevant people where there is poor performance and take necessary actions | | | | ✓ | | | | | |
| 3.3 | Provide on-the-job coaching when necessary to improve performance and to confirm excellence in performance | | | | ✓ | | | | | |
| 3.4 | Document performance in accordance with the organisational performance management system | | | | ✓ | | ✓ | | | |
| 3.5 | Conduct formal structured feedback sessions as necessary and in accordance with organisational policy | | | | ✓ | | | | | |
| 4 | Manage follow up | | | | ✓ | | | | | |
| 4.1 | Write and agree on performance improvement and development plans in accordance with organisational policies | | | | ✓ | | ✓ | | | |
| 4.2 | Seek assistance from human resources specialists, where appropriate | | | | ✓ | | | | | |
| 4.3 | Reinforce excellence in performance through recognition and continuous feedback | | | | ✓ | | | | | |
| 4.4 | Monitor and coach individuals with poor performance | | | | ✓ | | | | | |
| 4.5 | Provide support services where necessary | | | | ✓ | | | | | |
| 4.6 | Counsel individuals who continue to perform below expectations and implement the disciplinary process if necessary | | | | ✓ | | | | | |
| 4.7 | Terminate staff in accordance with legal and organisational requirements where serious misconduct occurs or ongoing poor-performance continues | | | | ✓ | | | | | |

Assessment Instrument Matrix – BSBMGT502 Manage people performance

| Assessment Instrument Matrix BSBMGT502 Manage people performance | Assessment Instruments (see Assessment Instrument Guide on page 21 for details) | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Foundation Skills | ✓ | ✓ | | ✓ | | | | | |
| Consolidates and improves own knowledge and skills by coaching, mentoring or training others | | | | ✓ | | | | | |
| Gathers, interprets and analyses texts in organisational documents to facilitate performance management | ✓ | ✓ | | ✓ | | | | | |
| Plans and prepares documents for allocating work and managing performance suitable for the target audience and in accordance with organisational requirements | ✓ | ✓ | | ✓ | | ✓ | | | |
| Uses language and structure appropriate to context and audience to explain expected standards of performance, provide feedback and coach staff | ✓ | | | ✓ | | | | | |
| Extracts and evaluates mathematical information embedded in a range of tasks and text relating to performance standards and risk analysis | ✓ | ✓ | | ✓ | | ✓ | | | |
| Appreciates the implications of legal and regulatory responsibilities related to own work and the organisation as a whole Monitors adherence to organisational policies and procedures | | | | ✓ | | | | | |
| Recognises and applies the protocols governing what to communicate to whom and how in a range of work contexts Collaborates with others to achieve joint outcomes, influencing direction and taking a leadership role on occasion | | | | ✓ | | | | | |
| Sequences and schedules complex activities, monitors implementation and manages relevant communication Seeks advice, feedback and support as required to assist in the decision-making process Uses experiences to reflect on the ways in which variables impact on performance | | | | ✓ | | | | | |
| Performance Evidence | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Consult with relevant stakeholders to identify work requirements, performance standards and agreed performance indicators | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Develop work plans and allocate work to achieve outcomes efficiently and within organisational and legal requirements | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Monitor, evaluate and provide feedback on performance and provide coaching or training, as needed | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Reinforce excellence in performance through recognition and continuous feedback | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Seek assistance from human resources specialists where appropriate | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Keep records and documentation in accordance with the organisational performance management system | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Knowledge Evidence | | | ✓ | | | | ✓ | ✓ | |
| Outline relevant legislative and regulatory requirements | | | ✓ | | | | ✓ | ✓ | |
| Outline relevant awards and certified agreements | | | ✓ | | | | ✓ | ✓ | |
| Explain performance measurement systems utilised within the organisation | | | ✓ | | | | ✓ | ✓ | |
| Explain unlawful dismissal rules and due process | | | ✓ | | | | ✓ | ✓ | |
| Describe staff development options and information | | | ✓ | | | | ✓ | ✓ | |

| BSBMGT516 Facilitate continuous improvement | |
|--|--|
| <i>Qualification / Skill Set</i> | BSB51615 Diploma of Quality Auditing BSBSS00065 Implementing Policy for Diversity Skill Set |
| <i>Application of the Unit</i> | This elective unit describes the skills and knowledge required to lead and manage continuous improvement systems and processes. Particular emphasis is on the development of systems and the analysis of information to monitor and adjust performance strategies, and to manage opportunities for further improvements. It applies to individuals who take an active role in managing a continuous improvement process in order to achieve an organisation’s objectives. At this level, work will normally be carried out using complex and diverse methods and procedures which require the exercise of considerable discretion and judgement, using a range of problem-solving and decision-making strategies. |

| Assessment Instrument Guide BSBMGT516 Facilitate continuous improvement | | |
|---|--------------------------------------|---|
| <i>Reference Link to Assessment Instrument Matrix</i> | <i>Assessment Instrument</i> | <i>Unit Components Addressed by Assessment Instrument</i> |
| 1 | Up-Front Assessment Checklist (LLN) | Aligned to the <i>Foundation Skills</i> |
| 2 | Skills Check Questionnaire (LLN) | Aligned to the <i>Foundation Skills</i> |
| 3 | Up-Front Assessment Checklist | Aligned to the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 4 | Competency Checklist | Aligned to the <i>Elements, Performance Criteria</i> and <i>Foundation Skills</i> |
| 5 | Observation Checklist | Aligned to the <i>Performance Evidence</i> |
| 6 | Review Checklist | Aligned to the <i>Performance Criteria, Foundation Skills</i> and <i>Performance Evidence</i> |
| 7 | Questions to Determine Knowledge | Aligned to the <i>Knowledge Evidence</i> |
| 8 | Evidence Evaluation Form | Designed for use with the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 9 | Assessment Summary and Feedback Form | Aligned to the <i>Performance Evidence</i> |

Assessment Instrument Matrix – BSBMGT516 Facilitate continuous improvement

| Assessment Instrument Matrix BSBMGT516 Facilitate continuous improvement | | Assessment Instruments (see Assessment Instrument Guide on page 24 for details) | | | | | | | | |
|--|--|---|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Elements / Performance Criteria | | | | | ✓ | | ✓ | | | |
| 1 | Lead continuous improvement systems and processes | | | | ✓ | | | | | |
| 1.1 | Develop strategies to ensure that team members are actively encouraged and supported to participate in decision-making processes, assume responsibility and exercise initiative as appropriate | | | | ✓ | | ✓ | | | |
| 1.2 | Establish systems to ensure that the organisation’s continuous improvement processes are communicated to stakeholders | | | | ✓ | | | | | |
| 1.3 | Ensure that change and improvement processes meet sustainability requirements | | | | ✓ | | | | | |
| 1.4 | Develop effective mentoring and coaching processes to ensure that individuals and teams are able to implement and support the organisation’s continuous improvement processes | | | | ✓ | | ✓ | | | |
| 1.5 | Ensure that insights and experiences from business activities are captured and accessible through knowledge management systems | | | | ✓ | | | | | |
| 2 | Monitor and adjust performance strategies | | | | ✓ | | | | | |
| 2.1 | Develop strategies to ensure that systems and processes are used to monitor operational progress and to identify ways in which planning and operations could be improved | | | | ✓ | | ✓ | | | |
| 2.2 | Adjust and communicate strategies to stakeholders according to organisational procedures | | | | ✓ | | | | | |
| 3 | Manage opportunities for further improvement | | | | ✓ | | | | | |
| 3.1 | Establish processes to ensure that team members are informed of outcomes of continuous improvement efforts | | | | ✓ | | | | | |
| 3.2 | Ensure processes include recording of work team performance to assist in identifying further opportunities for improvement | | | | ✓ | | ✓ | | | |
| 3.3 | Consider areas identified for further improvement when undertaking future planning | | | | ✓ | | | | | |
| Foundation Skills | | ✓ | ✓ | | ✓ | | | | | |
| Identifies and extracts relevant information from a range of complex texts Locates, interprets and analyses workplace documentation to gather information relating to continuous improvement | | ✓ | ✓ | | ✓ | | | | | |
| Develops complex texts related to continuous improvement processes according to organisational requirements Ensures the vocabulary, grammatical structures and conventions are appropriate for the context and target audience | | ✓ | ✓ | | ✓ | | ✓ | | | |
| Presents information to a range of audiences using appropriate structure and language Listens and comprehends information from a variety of spoken exchanges with clients, co-workers and other stakeholders Confirms understanding through questioning and active listening | | ✓ | | | ✓ | | | | | |
| Develops strategies to enable compliance with legislative requirements and achievement of the organisation’s goals Monitors adherence to organisational policies, procedures and protocols and considers own role in terms of its contribution to broader goals of the work environment | | | | | ✓ | | ✓ | | | |

Assessment Instrument Matrix – BSBMGT516 Facilitate continuous improvement

| Assessment Instrument Matrix BSBMGT516 Facilitate continuous improvement | Assessment Instruments (see Assessment Instrument Guide on page 24 for details) | | | | | | | | |
|--|---|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Identifies and uses appropriate conventions and protocols when communicating with colleagues and external stakeholders Collaborates with others to achieve joint outcomes, playing an active role in facilitating effective group interaction and influencing direction | | | | ✓ | | | | | |
| Takes responsibility for developing, implementing and monitoring systems and processes to achieve organisational outcomes Uses analytical and lateral thinking to review current practices and develop ideas for improvement Reflects on the ways in which digital systems and tools are used, or could be used, to achieve work goals | | | | ✓ | | ✓ | | | |
| Performance Evidence | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Facilitate effective contributions to and communications about continuous improvement processes and outcomes | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Address sustainability requirements | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Incorporate mentoring, coaching and other support to enable people to participate effectively in continuous improvement processes | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Capture insights, experiences and ideas for improvements and incorporate them into the organisation's knowledge management systems and future planning | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Knowledge Evidence | | | ✓ | | | | ✓ | ✓ | |
| Explain how systems and procedures can support effective continuous improvement | | | ✓ | | | | ✓ | ✓ | |
| Explain how continuous improvement systems and processes relate to other business systems and requirements including, knowledge management, quality, performance management and sustainability | | | ✓ | | | | ✓ | ✓ | |

| BSBR501 Manage risk | |
|----------------------------------|--|
| <i>Qualification / Skill Set</i> | BSB51615 Diploma of Quality Auditing BSBSS00068 Service Management Skill Set |
| <i>Application of the Unit</i> | This elective unit describes skills and knowledge required to manage risks in a range of contexts across an organisation or for a specific business unit or area in any industry setting. It applies to individuals who are working in positions of authority and are approved to implement change across the organisation, business unit, program or project area. They may or may not have responsibility for directly supervising others. |

| Assessment Instrument Guide | | |
|---|--------------------------------------|---|
| BSBR501 Manage risk | | |
| <i>Reference Link to Assessment Instrument Matrix</i> | <i>Assessment Instrument</i> | <i>Unit Components Addressed by Assessment Instrument</i> |
| 1 | Up-Front Assessment Checklist (LLN) | Aligned to the <i>Foundation Skills</i> |
| 2 | Skills Check Questionnaire (LLN) | Aligned to the <i>Foundation Skills</i> |
| 3 | Up-Front Assessment Checklist | Aligned to the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 4 | Competency Checklist | Aligned to the <i>Elements, Performance Criteria</i> and <i>Foundation Skills</i> |
| 5 | Observation Checklist | Aligned to the <i>Performance Evidence</i> |
| 6 | Review Checklist | Aligned to the <i>Performance Criteria, Foundation Skills</i> and <i>Performance Evidence</i> |
| 7 | Questions to Determine Knowledge | Aligned to the <i>Knowledge Evidence</i> |
| 8 | Evidence Evaluation Form | Designed for use with the <i>Performance Evidence</i> and <i>Knowledge Evidence</i> |
| 9 | Assessment Summary and Feedback Form | Aligned to the <i>Performance Evidence</i> |

Assessment Instrument Matrix – BSBR501 Manage risk

| Assessment Instrument Matrix BSBR501 Manage risk | | Assessment Instruments (see Assessment Instrument Guide on page 27 for details) | | | | | | | | |
|---|---|--|---|---|---|---|---|---|---|---|
| | | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Elements / Performance Criteria | | | | | ✓ | | ✓ | | | |
| 1 | Establish risk context | | | | ✓ | | | | | |
| 1.1 | Review organisational processes, procedures and requirements for undertaking risk management in accordance with current risk management standards | | | | ✓ | | | | | |
| 1.2 | Determine scope for risk management process | | | | ✓ | | ✓ | | | |
| 1.3 | Identify internal and external stakeholders and their issues | | | | ✓ | | | | | |
| 1.4 | Review political, economic, social, legal, technological and policy context | | | | ✓ | | | | | |
| 1.5 | Review strengths and weaknesses of existing arrangements | | | | ✓ | | | | | |
| 1.6 | Document critical success factors, goals or objectives for area included in scope | | | | ✓ | | ✓ | | | |
| 1.7 | Obtain support for risk management activities | | | | ✓ | | | | | |
| 1.8 | Communicate with relevant parties about the risk management process and invite participation | | | | ✓ | | | | | |
| 2 | Identify risks | | | | ✓ | | | | | |
| 2.1 | Invite relevant parties to assist in the identification of risks | | | | ✓ | | | | | |
| 2.2 | Research risks that may apply to scope | | | | ✓ | | | | | |
| 2.3 | Use tools and techniques to generate a list of risks that apply to the scope, in consultation with relevant parties | | | | ✓ | | ✓ | | | |
| 3 | Analyse risks | | | | ✓ | | | | | |
| 3.1 | Assess likelihood of risks occurring | | | | ✓ | | | | | |
| 3.2 | Assess impact or consequence if risks occur | | | | ✓ | | | | | |
| 3.3 | Evaluate and prioritise risks for treatment | | | | ✓ | | | | | |
| 4 | Select and implement treatments | | | | ✓ | | | | | |
| 4.1 | Determine and select most appropriate options for treating risks | | | | ✓ | | | | | |
| 4.2 | Develop an action plan for implementing risk treatment | | | | ✓ | | ✓ | | | |
| 4.3 | Communicate risk management processes to relevant parties | | | | ✓ | | | | | |
| 4.4 | Ensure all documentation is in order and appropriately stored | | | | ✓ | | | | | |
| 4.5 | Implement and monitor action plan | | | | ✓ | | | | | |
| 4.6 | Evaluate risk management process | | | | ✓ | | | | | |

Assessment Instrument Matrix – BSBR501 Manage risk

| Assessment Instrument Matrix BSBR501 Manage risk | Assessment Instruments (see Assessment Instrument Guide on page 27 for details) | | | | | | | | |
|--|---|---|---|---|---|---|---|---|---|
| | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| Foundation Skills | ✓ | ✓ | | ✓ | | | | | |
| Comprehends a variety of relatively complex texts Gathers, interprets and analyses textual information from a range of sources to identify relevant information | ✓ | ✓ | | ✓ | | | | | |
| Develops textual material and organises content in a manner that effectively documents risk management analysis and assessment priorities and processes | ✓ | ✓ | | ✓ | | ✓ | | | |
| Participates in interactions with stakeholders using questioning and listening to elicit opinions, and to confirm and clarify understanding | ✓ | | | ✓ | | | | | |
| Uses numerical tools to assess risk and uses numerical data to review plans | ✓ | ✓ | | ✓ | | ✓ | | | |
| Refers to organisational processes, procedures and requirements when making decisions about risk management | | | | ✓ | | | | | |
| Establishes and uses appropriate conventions and protocols when communicating with stakeholders about risk management Consults and negotiates with stakeholders about risk management processes and outcomes | | | | ✓ | | | | | |
| Sequences and schedules a range of routine and complex activities, monitors implementation, evaluates processes and manages relevant communication Systematically analyses information to decide on appropriate risk management treatments Uses digital technologies and systems to access information, document plans and communicate with others | | | | ✓ | | ✓ | | | |
| Performance Evidence | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Analyse information from a range of sources to identify the scope and context of the risk management process including: <ul style="list-style-type: none"> stakeholder analysis political, economic, social, legal, technological and policy context current arrangements objectives and critical success factors for the area included in scope risks that may apply to scope | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Consult and communicate with relevant stakeholders to identify and assess risks, determine appropriate risk treatment actions and priorities and explain the risk management processes | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Develop and implement an action plan to treat risks | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Monitor and evaluate the action plan and risk management process | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Maintain documentation | | | ✓ | | ✓ | ✓ | | ✓ | ✓ |
| Knowledge Evidence | | | ✓ | | | | ✓ | ✓ | |
| Outline the purpose and key elements of current risk management standards | | | ✓ | | | | ✓ | ✓ | |
| Outline the legislative and regulatory context of the organisation in relation to risk management | | | ✓ | | | | ✓ | ✓ | |
| Outline organisational policies, procedures and processes for risk management | | | ✓ | | | | ✓ | ✓ | |