

Assessor Guide

LLN Pre-Training Assessment Instruments

BSB51615

Diploma of Quality Auditing

Qualification Code	BSB51615
Qualification Title	Diploma of Quality Auditing
Release	1
Status	Current
Release Date	25 March 2015

Publisher



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Publication Details

First Published: December 2016
Release 1
Release Date: December 2016

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What is in this Guide?

This Guide contains the following LLN pre-training assessment instruments:

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Why has this Guide been developed?

This Guide has been developed to help trainers and assessors identify the language, literacy and numeracy (LLN) capabilities and skill levels of candidates **prior to** their enrolment in the BSB51615 Diploma of Quality Auditing (Release 1, March 2015).

It is a requirement of the Standards for Registered Training Organisations 2015 (Clause 1.7) that RTO's determine the support needs of individual candidates, as well as provide access to any educational/support services necessary for the candidate to meet the requirements of their chosen training product.

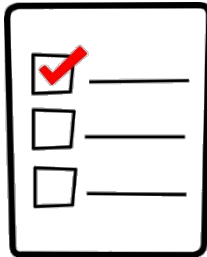
This Guide is not provided as a comprehensive diagnostic tool, and nor is it intended to take the place of a more in-depth assessment by a professional LLN practitioner. It offers trainers and assessors a snapshot of a candidate's LLN capabilities, including any gaps that may exist within their LLN skill levels.

Why use this Guide?

By using the instruments contained within this Guide to gather and evaluate evidence, assessors will ensure that their assessments:

- a) comply with the requirements of the BSB Business Services Training Package (Release 2.0, January 2016); and
- b) are conducted in accordance with the Principles of Assessment and Rules of Evidence.

Up-Front Assessment Checklist (LLN)



This checklist is used by candidates to measure their existing language, literacy and numeracy (LLN) skills against the BSB51615 Diploma of Quality Auditing **prior to** engaging in:

- a Recognition of Prior Learning (RPL) process; or
- a formal learning program.

It has been aligned to the *Foundation Skills* from the following elective units of competency, which (in combination) meet the packaging rules of the qualification:

- BSBAUD402 Participate in a quality audit
- BSBAUD501 Initiate a quality audit
- BSBAUD503 Lead a quality audit
- BSBAUD504 Report on a quality audit
- BSBINM501 Manage an information or knowledge management system
- BSBMGT502 Manage people performance
- BSBMGT516 Facilitate continuous improvement
- BSBRSK501 Manage risk

Up-Front Assessment Checklist (LLN)

Candidate						
Date						
Qualification	BSB51615 Diploma of Quality Auditing					
Candidate Instructions This checklist will help you identify the level of your language, literacy and numeracy (LLN) skills, and whether you need any additional support in this area before undertaking the BSB51615 Diploma of Quality Auditing. It's quick (allow about 5 minutes) and may save you some time in the long run. Work through the questions and rate your capacity to perform each task. If you feel confident in all the LLN skill areas, you are ready to enrol in the Diploma of Quality Auditing. However, if you do not feel confident in some of the areas, you may need some additional support before undertaking the qualification.		LLN Skills <table border="1"> <tr> <td>Yes</td> <td>Sometimes</td> <td>No</td> </tr> </table>		Yes	Sometimes	No
Yes	Sometimes	No				
Reading <i>This skill area relates to reading and comprehending complex texts such as legislation, regulations, codes of practice, national standards and organisational documentation.</i>						
I can understand complex texts						
I can research information from a variety of complex texts						
I can identify and extract relevant information from complex texts						
I can interpret the information I extract from complex texts						
Writing <i>This skill area relates to preparing and producing a variety of complex documents on topics such as audit reporting, risk management, performance management and continuous improvement.</i>						
I can develop a range of complex documents for specific audiences						
I can use appropriate structure, tone, vocabulary, grammatical structures and conventions for specific audiences						
I can use clear and detailed language to convey explicit information						
I can develop textual material and organise content in complex documents						
I can record and amend information in complex documents						
Oral Communication <i>This skill area relates to actively participating in interactions and spoken exchanges with clients, co-workers and other stakeholders.</i>						
I can use clear language, tone and pace during a spoken exchange						
I can use questioning and listening techniques to elicit opinions from others during a spoken exchange						

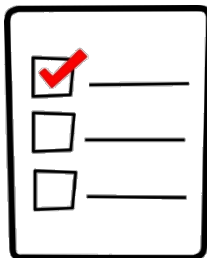
Up-Front Assessment Checklist (LLN)

Candidate						
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Yes	Sometimes	No				
<i>Oral Communication (cont.)</i>						
I can use questioning and listening techniques to clarify my understanding of what others say during a spoken exchange						
I can read verbal and non-verbal signals to clarify my understanding of what others say during a spoken exchange						
I can use appropriate language and structure when presenting information to a specific audience						
Numeracy <i>This skill area relates to the use of mathematical calculations to analyse and arrange numeric data for performance measurement, risk analysis and project scheduling.</i>						
I can collect, summarise and interpret a range of statistical data						
I can extract and evaluate mathematical data from a range of tasks and text						
I can perform calculations to measure output against timeframes						
I can use numerical tools to assess risk						
I can use numerical data to review plans						
<i>Additional comments</i> Candidate's signature: Date:						

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SAMPLE

Skills Check Questionnaire (LLN)



This set of questions is used by candidates to confirm if they have the necessary reading, writing and numeracy skills required to undertake (and successfully complete) the BSB51615 Diploma of Quality Auditing.

It has been aligned to the *Foundation Skills* from the following elective units of competency, which (in combination) meet the packaging rules of the qualification:

- BSBAUD402 Participate in a quality audit
- BSBAUD501 Initiate a quality audit
- BSBAUD503 Lead a quality audit
- BSBAUD504 Report on a quality audit
- BSBINM501 Manage an information or knowledge management system
- BSBMGT502 Manage people performance
- BSBMGT516 Facilitate continuous improvement
- BSBRSK501 Manage risk

Skills Check Questionnaire (LLN)

This skills check will help you to identify if you have the reading, writing and numeracy skills required to successfully complete the BSB51615 Diploma of Quality Auditing.

Question 1

In the following table, Column A contains a number of common definitions that are typically associated with reading and analysing complex texts. Choose the verb that best corresponds to each definition (from the Matching Verbs box below) and write it in the space provided in Column B. One of the verbs has been matched to help get you started.

COLUMN A	COLUMN B
Explain or translate the meaning of something	
Study the essential features of something	Analyse
Bring together from various places or sources	
Grasp the meaning of something	
Discover the place or position of something	
Remove something from a particular source	
Recognise who or what something is	
Investigate something systematically	
Express the main points of something in a concise form	
Assess the value or amount of something	

MATCHING VERBS				
Analyse	Evaluate	Gather	Interpret	Research
Comprehend	Extract	Identify	Locate	Summarise

Question 2

In the following table, Column A contains a number of key steps that are typically involved in a research project. Place a number (from 1 to 7) against each step in Column B to reflect the logical order of any research process.

COLUMN A	COLUMN B
Analyse the data	
Collect the data	
Define the objectives	
Identify the need	
Make recommendations for future action	
Prepare a plan	
Present the findings	

Question 3

Read the following citation. It is referencing a consultation report that Jayde used in one of the research projects she completed during her Diploma course.

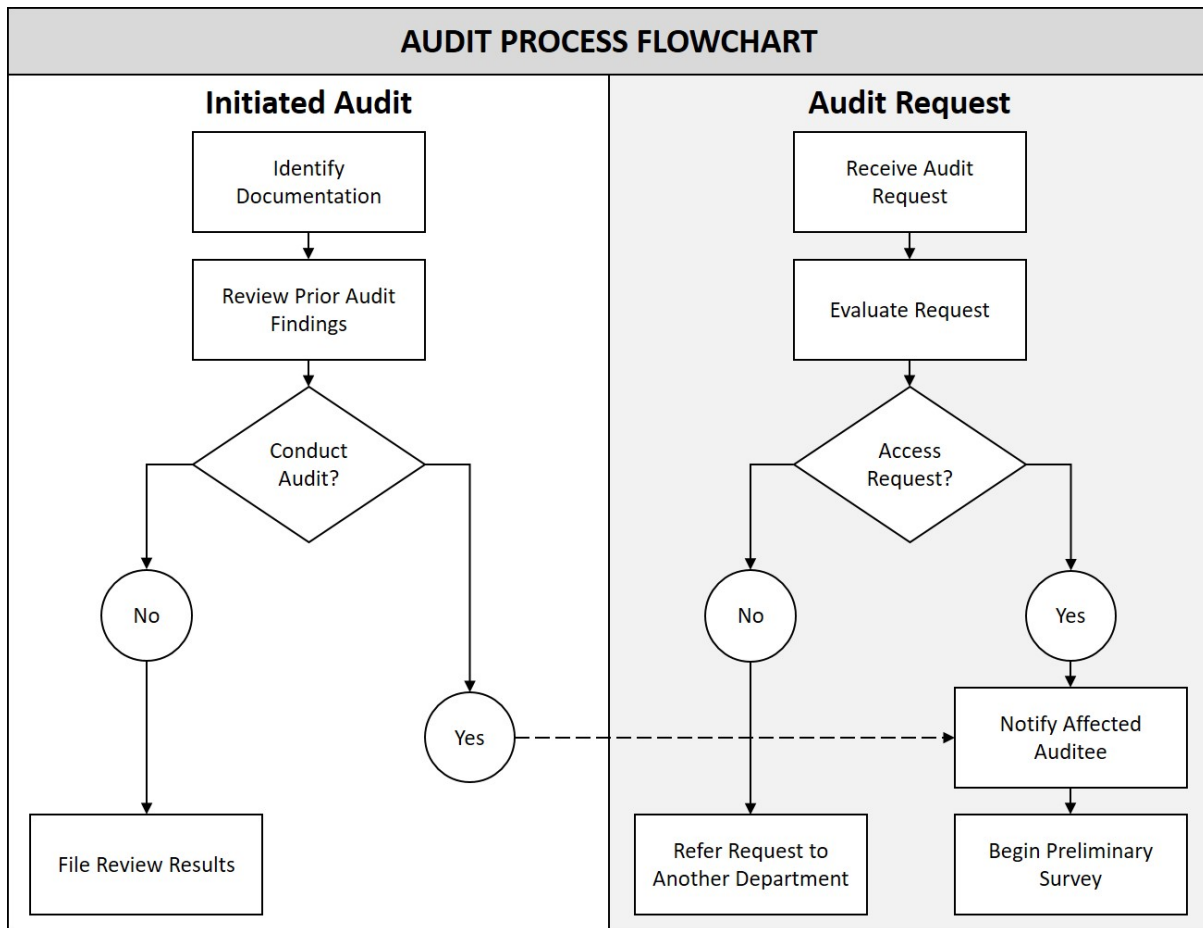
World Health Organisation (19 January 2009), The Financial Crisis and Global Health, accessed 22 October 2016, <http://www.who.int/topics/financial_crisis/en/>

What does the reference “accessed 22 October 2016” mean?

- A. The date the report was uploaded to the internet
- B. The date the report was downloaded by Jayde
- C. The date Jayde started collecting online material for her research project
- D. The date the World Health Organisation’s website was created

Question 4

After reviewing all of the relevant documents (including the findings of two previous audits), Robert decided that an audit was necessary. To make sure he stayed within company policy, Robert referred to the following audit process flowchart to determine his next step.



According to the flowchart, what should Robert do next?

- A. File the results of his review
- B. Begin a preliminary survey
- C. Notify the person or organisation to be audited
- D. Refer the audit to another department

Question 5

Read the following subject descriptors and indicate with a tick (✓) which would be the most suitable for a person wanting to learn how to prepare audit reports.

- A. Participate in a quality audit
In this subject you will learn how to *review* audit documents; *identify* and *develop* checklists; *prepare* audit schedules; *gather* and *analyse* information; and *report* findings to a lead auditor.
- B. Initiate a quality audit
In this subject you will learn how to *assess* the scope and objectives of a quality audit; *communicate* with an auditee; *identify* the resources required to conduct an audit; and *develop* and *submit* a quality audit plan.
- C. Lead a quality audit
In this subject you will learn how to *conduct* entry and exit meetings; *identify* and *gather* relevant information; *manage* audit team resources; and *provide* feedback to audit team members on their performance.
- D. Report on a quality audit
In this subject you will learn how to *compile* audit results; *prepare* a report for an auditee; *negotiate* follow up actions with an auditee; and *monitor* and *review* the auditing system and activities.

Question 6

Read the following text and summarise the six common mistakes in the box below.

Six common mistakes that will derail an internal audit

Most auditors will witness a few spectacular audit failures in their working life, most of which are caused by a few simple mistakes. In the hope of helping new and aspiring auditors, the six most common mistakes are summarised here. The most commonly made mistake is not setting aside enough time to plan the audit, because so many things can and will go wrong if you leave planning until the last minute. For example, the client may have moved to a new floor or building since your last visit, or they may have implemented new technology that no one on your audit team is qualified to review. Planning avoids so much embarrassment. The second most commonly made mistake is trying to audit too much. If you don't discuss an achievable audit scope with your client, your work schedule will be unrelenting and the client's expectations will be unrealistic, which will always result in a less than successful audit.

The third common mistake is not involving the client early in the planning process (to ensure you understand their current organisational documentation and risks). Things change quickly in the modern work environment, and what you audited last year may have changed this time around. Never rest on your laurels! The fourth mistake, and the easiest to make, is overestimating your own ability. Even the most experienced auditors can overlook something vital, and the only way to avoid this is to involve a subject matter expert early in the planning process.

The fifth mistake, and the worst to make, is forgetting to add value during an audit. Auditors often fall into the trap of simply pointing out what is wrong rather than developing tests that can help a client identify and take advantage of opportunities that otherwise may have been missed. Try to ensure that your audit tests can lead to major findings and recommendations. The sixth (and final) mistake is forgetting to follow the risks. If you undertake the same audit the same way each year – regardless of risks and changing circumstances – you will not identify new risks and opportunities, which is what you are meant to be doing. It is easy to hide things from an auditor who follows old audit plans.*

*Adapted from Richard Chambers (16 April 2012), Six Common Mistakes That Will Derail an Internal Audit, accessed 22 October 2016, <<https://iaonline.theiia.org/six-common-mistakes-that-will-derail-an-internal-audit>>

SIX COMMON MISTAKES THAT WILL DERAIL AN INTERNAL AUDIT

1	
2	
3	
4	
5	
6	

Question 7

Read the following sentences and rewrite them in plain English in the space provided.

- A. If you use a computer in the workplace, you must have knowledge of the key provisions of relevant WHS legislation from all levels of government to ensure that you operate the computer in a safe manner.

Plain English version:

.....

- B. Smoking is strictly prohibited in all areas of this workplace, including the meeting rooms, staff room, canteen, library, recreation room and toilets. Smoking is also prohibited in all public areas, and it is strongly discouraged in the staff car park.

Plain English version:

.....

- C. If there are any issues upon which you require further explanation, our friendly staff will be more than happy to address any supplementary detail, as required, by telephone.

Plain English version:

.....

- D. In wet conditions, this walkway can, in association with particular types of footwear, become extremely slippery.

Plain English version:

.....

Question 8

Each of the following sentences contains one mistake. Rewrite each sentence correctly in the space provided.

A. The client has requested that it's documentation be scanned following the audit.

Corrected sentence:

.....

B. Alice and Mark discussed the clients requirements prior to the audit.

Corrected sentence:

.....

C. After reporting they're findings, Alice and Mark prepared for the exit meeting.

Corrected sentence:

.....

D. The new version of the auditing standards is superior than the old version.

Corrected sentence:

.....

E. When Alice said she was concerned, I asked her what was the problem.

Corrected sentence:

.....

F. A tram runs passed the client's head office.

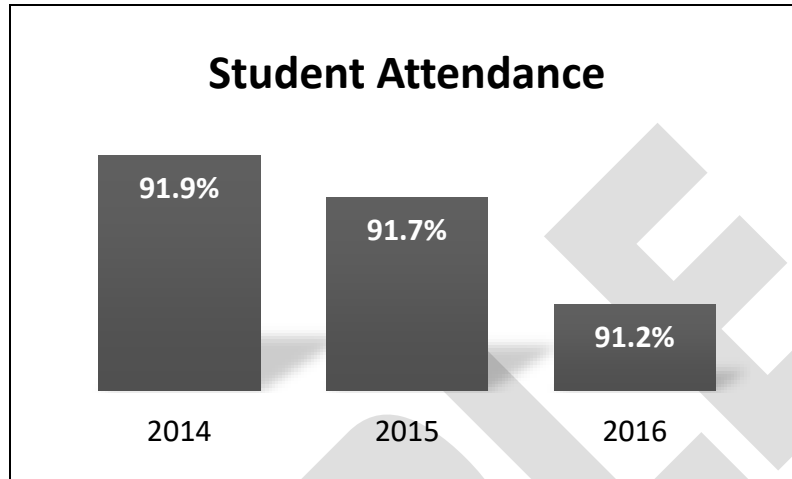
Corrected sentence:

.....

Question 9

The following two PowerPoint slides convey the same message. Indicate with a tick (✓) which slide is more suitable for a public presentation to an audience of parents, family members and educators in a large school hall.

Slide 1



Slide 2

Student Attendance

Student attendance remains an issue and is evident at both a regional and local level. From an analysis of the Education Performance Report released last month, there has been a concerning trend downwards in student attendance, as depicted in the following student attendance rates over the period 2014 to 2016:

- 2014 = 91.9%
- 2015 = 91.7%
- 2016 = 91.2%

Note: The rate of student attendance is the proportion of students attending school each day, averaged over the entire school year.

Question 10

Five of the following six statements about the Australian copyright system are false. Indicate with a tick (✓) the only statement that is true.

- A. If a piece of work does not display a proper copyright notice, it is not protected.
- B. Copyright does not apply to unpublished works.
- C. If a piece of work is available on the internet, it can be used without permission.
- D. If you copy less than 10% of a piece of work, you can do so without permission.
- E. If you make changes to a piece of work, you can use it without permission.
- F. You do not have to do anything to obtain copyright – it applies automatically.

Question 11

Complete the timesheet below. You will need to calculate the hours David was at work each day and then subtract his break time to determine his total hours for the week. Monday has already been completed to help get you started.

AUDITS 'R US TIMESHEET					
Employee Name		David			
Week Commencing		October 24, 2016			
Day	Date	Start	End	Break	Total Daily Hours
Monday	24/10/2016	9:00am	5:00pm	1 hour	7 hours
Tuesday	25/10/2016	7:00am	3:45pm	1 hour	
Wednesday	26/10/2016	7:42am	3:24pm	30 min	
Thursday	27/10/2016	8:00am	5:15pm	2 hours	
Friday	28/10/2016	8:45am	5:15pm	1 hour	
TOTAL WEEKLY HOURS					

Question 12

The table below reveals a basic project schedule for a quality audit. From the data provided, determine the **earliest possible** completion date of the quality audit (i.e. the date of the exit meeting).

For the purpose of this exercise, the following conditions apply:

- There are no public holidays during the project schedule
- The audit team does not work on weekends
- The audit team always works a five-day week (with no scheduled days off in November)
- Each task must be completed before the proceeding task can commence.

Task	Task Description	Duration (days)	Start	Finish
1	Review audit documentation	2	7 November 2016	
2	Develop audit plan	2		
3	Conduct entry meeting	1		
4	Gather information	3		
5	Evaluate information	2		
6	Prepare report	3		
7	Conduct exit meeting	1		

Question 13

The table below reveals a basic project schedule for a quality audit. From the data provided, determine the total cost of the **audit team** (i.e. all auditors involved in the quality audit).

For the purpose of this exercise, the following conditions apply:

- Lead auditors are costed at \$1,000 per day
- All other auditors are costed at \$500 per day.

Task	Task Description	Duration (days)	Lead Auditors		Auditors	
			Number required per day	Total Cost	Numbers required per day	Total Cost
1	Review audit documentation	2	0.5		1	
2	Develop audit plan	2	0.5		1	
3	Conduct entry meeting	1	1		1	
4	Gather information	3	1		1	
5	Evaluate information	2	1		1	
6	Prepare report	3	0.5		1	
7	Conduct exit meeting	1	1		1	
TOTALS				\$		\$
				<i>Total A</i>	<i>Total B</i>	

TOTAL COST OF AUDIT TEAM <i>(i.e. Total A + Total B)</i>	\$
--	-----------

Question 14

A risk assessment of Ted's workplace has found that in wet conditions, there is a **Very Likely** chance of people slipping and falling on the walkway to the car park, and that the severity of their potential injury will be **Major**. Read the risk assessment matrix below and indicate with a tick (✓) the risk level that must be applied to the walkway.

RISK ASSESSMENT MATRIX				
LIKELIHOOD	SEVERITY			
	<i>Fatal</i>	<i>Major</i>	<i>Moderate</i>	<i>Minor</i>
<i>Very Likely</i>	Extreme	High	High	Medium
<i>Likely</i>	High	High	Medium	Medium
<i>Unlikely</i>	High	Medium	Medium	Low
<i>Highly Unlikely</i>	Medium	Medium	Low	Low

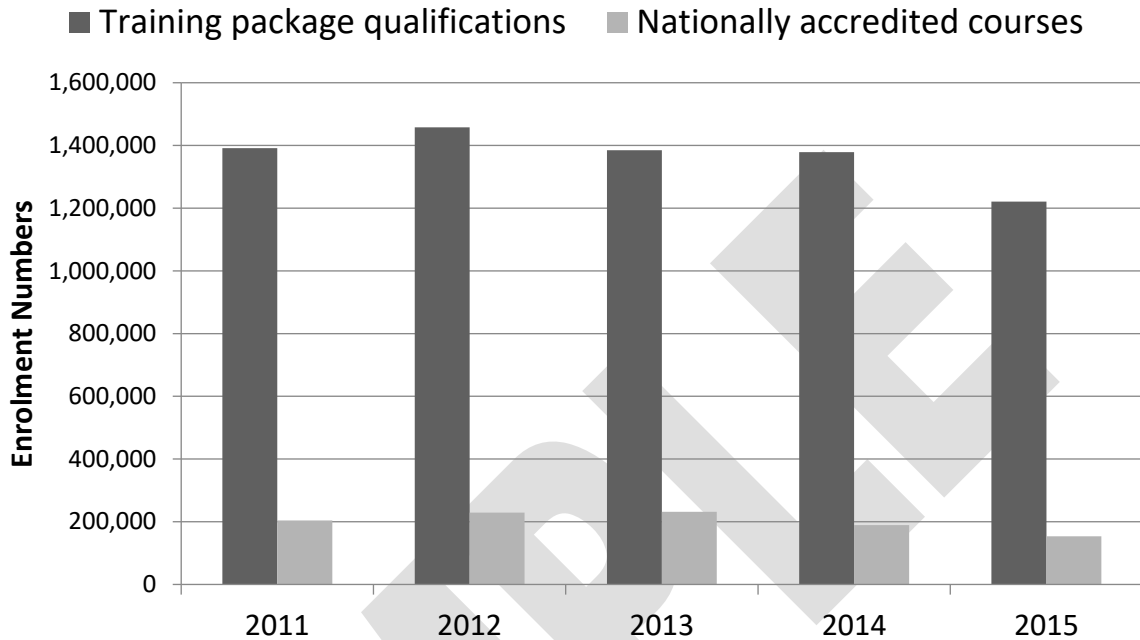
Following the risk assessment, what risk level must be applied to the walkway?

- A. Extreme
- B. High
- C. Medium
- D. Low

Question 15

A key message is depicted in the following chart. Describe the message in the space below.

Total Public Enrolments, 2011-2015



Source: NCVET 2016, *Australian vocational education and training statistics: government-funded students and courses 2015*, NCVET, Adelaide (Table 4 Government-funded students by major programs, 2011–15)

Summary of key message (limit your description to a single sentence):

.....

.....

.....

.....

.....

LLN Skills Check Questionnaire – Answers

Question 1

Interpret	Explain or translate the meaning of something
Analyse	Study the essential features of something
Gather	Bring together from various places or sources
Comprehend	Grasp the meaning of something
Locate	Discover the place or position of something
Extract	Remove something from a particular source
Identify	Recognise who or what something is
Research	Investigate something systematically
Summarise	Express the main points of something in a concise form
Evaluate	Assess the value or amount of something

Question 2

1. Identify the need
2. Define the objectives
3. Prepare a plan
4. Collect the data
5. Analyse the data
6. Present the findings
7. Make recommendations for future action

Question 3

- B. The date the report was downloaded by Jayde

Question 4

- C. Notify the person or organisation to be audited

Question 5

- D. Report on a quality audit

Question 6

1. Not setting aside enough time to plan the audit
2. Trying to audit too much
3. Not involving the client early in the planning process
4. Overestimating your own ability
5. Forgetting to add value during an audit
6. Forgetting to follow the risks

Question 7

- A. If you use a computer at work, you must know how to use it safely.
- B. This is a smoke-free workplace.
- C. If you have any questions, please call our friendly staff.
- D. This walkway is slippery when wet.

Question 8

- A. The client has requested that **its** documentation be scanned following the audit.
- B. Alice and Mark discussed the **client's** requirements prior to the audit.
- C. After reporting **their** findings, Alice and Mark prepared for the exit meeting.
- D. The new version of the auditing standards is superior **to** the old version.
- E. When Alice said she was concerned, I asked her what **the problem was**.
- F. A tram runs **past** the client's head office.

Question 9

Slide 1

Question 10

F. You do not have to do anything to obtain copyright – it applies automatically.

Question 11

Tuesday	7 hours, 45 minutes
Wednesday	7 hours, 12 minutes
Thursday	7 hours, 15 minutes
Friday	7 hours, 30 minutes
Total Weekly Hours	36 hours, 42 minutes

Question 12

24 November 2016

Question 13

\$17,500

Question 14

B. High

Question 15

Statistics published by the NCVET in 2016 show that public enrolments into training package qualifications and nationally accredited courses gradually declined between 2012 and 2015.