

Assessor Guide

A Suite of Assessment Instruments

BSBAUD402

Participate in a quality audit

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|--------------|--------------------------------|
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What is in this Guide?

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Why has this Guide been developed?

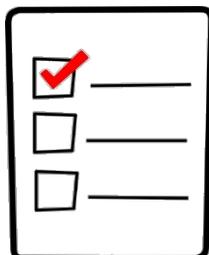
This Guide has been developed to support assessors as they gather and evaluate evidence against the unit of competency BSBAUD402 Participate in a quality audit. This is a 'Group A' elective unit in the BSB51615 Diploma of Quality Auditing (Release 1, March 2015).

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, January 2016); and
- b) are conducted in accordance with the Principles of Assessment and Rules of Evidence.

Up-Front Assessment Checklist



This checklist is used by candidates to measure their existing skills and knowledge against a unit of competency **prior to** engaging in:

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

It has been aligned to the unit's *Performance Evidence* and *Knowledge Evidence*.

SAMPLE

Up-Front Assessment Checklist

Benchmark BSBAUD402 Participate in a quality audit

Candidate Instructions

This checklist will help you identify the extent to which you have prepared for and participated in a quality audit as a member of a quality audit team as part of your normal work tasks. You can use the checklist as the first step towards gaining recognition of your skills. It's quick (allow about 5 minutes) and may save you some time in the long run.

Work through the questions and rate the extent to which you have performed each task. If you have performed many of the tasks already, you are ready to start gathering evidence of your competence. However, if you find that you have rarely performed many of the tasks, you may need to undertake further training in certain areas.

To what extent have you performed this task? Tick the most appropriate response

Not at all

To a little extent

To some extent

To a great extent

Evidence of my performance

I have reviewed and amended audit related documentation

I have used relevant tools and strategies to develop an audit schedule

I have used various methods to gather data and information to complete an audit, and I have sought specialist advice (where appropriate)

I have used predetermined benchmarks to evaluate findings and formulate well-founded opinions

I have developed a comprehensive report for an exit meeting which includes an analysis of both the context and consequences of the completed audit

I have used terminology relating to quality auditing in my written or oral communications

Evidence of my knowledge

I can describe relevant auditing codes of practice or ethics

I can outline auditing methods and techniques

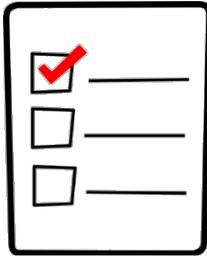
I can summarise current audit practices

I can identify current industry products and/or services to assist in an auditing process

Additional comments

Candidate's signature: Date:

Competency Checklist



This checklist offers guidance to assessors as they observe a candidate demonstrate the essential outcomes specified in a unit of competency. It also lists the language, literacy, numeracy and employment skills that are essential to performance.

It has been aligned to the unit's *Elements, Performance Criteria* and *Foundation Skills*.

SAMPLE

Competency Checklist

| | | | |
|---|--|------------|-----------|
| Benchmark | BSBAUD402 Participate in a quality audit | | |
| Assessor | | | |
| Candidate | | | |
| Date | | | |
| <i>Did the candidate demonstrate the following skills?</i> | | <i>Yes</i> | <i>No</i> |
| 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 | | | |

Competency Checklist

| | | | |
|---|--|-----|----|
| Benchmark | BSBAUD402 Participate in a quality audit | | |
| <i>Did the candidate demonstrate the following skills?</i> | | Yes | No |
| 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 | | | |
| 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 | | | |
| Reading Identify and interpret information from organisational documentation and workplace procedures | | | |
| Writing Record or amend information and convey details in accordance with audit objectives | | | |
| Oral communication Participate in spoken exchanges using structure and language to suit the audience Listen for required information and ask clarifying questions | | | |
| Numeracy Use a wide range of mathematical calculations to analyse and arrange numeric information | | | |

Competency Checklist

Benchmark BSBAUD402 Participate in a quality audit

Did the candidate demonstrate the following skills?

Yes No

Navigate the world of work

Adhere to organisational policies and procedures and consider own role in terms of its contribution to broader goals of the work environment

Interact with others

Collaborate and cooperate with others to achieve joint outcomes
 Select and use appropriate conventions and protocols when communicating with team members and other people in a range of work contexts

Get the job done

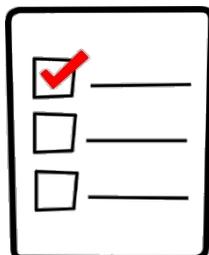
Organise, plan and prioritise workload with some sense of what can be achieved in a timeframe
 Systematically gather, analyse and evaluate all relevant information to make decisions
 Recognise and address some problems within own scope, recognising when to seek the expertise of others

Comments

Candidate's signature: Date:

Assessor's signature: Date:

Observation Checklist



This checklist offers guidance to assessors as they observe a candidate:

- perform tasks in a workplace or simulated environment
- participate in structured activities (such as simulation exercises, case studies, role plays, scenarios, projects and presentations).

It is used to document the outcomes of a candidate's performance and to summarise any feedback provided during a demonstration of skills. It has been aligned to the unit's *Performance Evidence*.

SAMPLE

Observation Checklist

| | | | |
|---|--|-----|----|
| Benchmark | BSBAUD402 Participate in a quality audit | | |
| Assessor | | | |
| Candidate | | | |
| Date | | | |
| Workplace | | | |
| Work Task | Prepare for / participate in a quality audit as a member of a quality audit team | | |
| Task Frequency | Candidates must complete this task at least once | | |
| <i>Was the candidate able to complete the following tasks?</i> | | Yes | No |
| Did the candidate review and amend all relevant audit documentation? Relevant audit documentation may include: <ul style="list-style-type: none"> • audit procedures • checklists • forms for documenting conformance and non-conformance evidence • forms for recording information • organisational charts • previous audit reports • quality standards • records of meetings • sampling plans defined in documented procedures or in audit plan • schedules | | | |
| Did the candidate develop an audit schedule using relevant tools and strategies? | | | |
| Did the candidate use a variety of methods to gather data and information to complete the audit? Methods may include: <ul style="list-style-type: none"> • analysis • determining information flows • evaluating the effectiveness of system controls • questioning • sampling • scanning • tracing • trend analysis | | | |
| Did the candidate seek specialist advice where appropriate? | | | |

Observation Checklist

Benchmark BSBAUD402 Participate in a quality audit

Was the candidate able to complete the following tasks?

Yes

No

Did the candidate use predetermined benchmarks to evaluate findings and formulate well-founded opinions?

Did the candidate develop a comprehensive report for the exit meeting, which included an analysis of the context and consequences of the completed audit?

Did the candidate use terminology relating to quality auditing in written or oral communications?

Feedback to candidate

The candidate's demonstration of skills was: Satisfactory Not Satisfactory

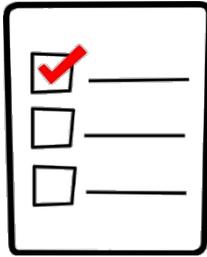
Candidate's signature: Date:

Assessor's signature: Date:

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SAMPLE

Review Checklist



This checklist provides guidance to assessors as they review:

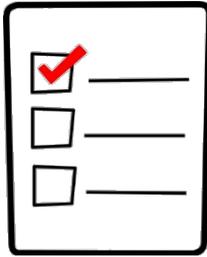
- the products a candidate has recently produced in a workplace
- the services a candidate has recently delivered in a workplace
- historical evidence collected by a candidate of their prior learning.

It is used to document the outcomes of an assessor's evaluation of the various evidence that is presented by a candidate. It has been aligned to the unit's *Performance Criteria*, *Foundation Skills* and *Performance Evidence*.

Review Checklist

| | | | |
|--|---|-----|----|
| Benchmark | BSBAUD402 Participate in a quality audit | | |
| Assessor | | | |
| Candidate | | | |
| Date | | | |
| Work Samples Reviewed | <ul style="list-style-type: none"> • Workplace documentation (including previous quality audit reports, checklists, risk management plans and audit plans) • Audit schedules • Audit checklists and tools • Entry and exit meeting agendas • Corrective action reports • Exit meeting reports | | |
| <i>The work samples provide valid/sufficient evidence of the candidate's ability to:</i> | | Yes | No |
| ...review and amend relevant workplace documentation? | | | |
| ...prepare appropriate checklists/tools and audit related documentation? | | | |
| ...use relevant tools and strategies to develop audit schedules? | | | |
| ...create entry and exit meeting agendas? | | | |
| ...prepare corrective action reports if discrepancies or non-compliances are detected? | | | |
| ...develop a comprehensive exit meeting report which includes an analysis of both the context and consequences of the completed audit? | | | |
| <i>The following issues require clarification</i> | | | |
| <i>Additional evidence is required in the following area</i> | | | |
| Assessor's signature: Date: | | | |

Questions to Determine Knowledge



This checklist offers guidance to assessors as they question candidates. It can be used to guide verbal interviews or prepare question sheets. It has been aligned to the unit's *Knowledge Evidence*.

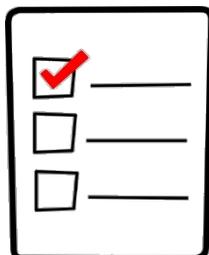
Workplace observations should be supported by performance-based questions that are designed to confirm a candidate's understanding of the knowledge required by the workplace task.

SAMPLE

Questions to Determine Knowledge

| | | | |
|---|--|------------------------------|-----------|
| Benchmark | BSBAUD402 Participate in a quality audit | | |
| Assessor | | | |
| Candidate | | | |
| Date | | | |
| <i>Questions to be answered by the candidate</i> | | <i>Satisfactory Response</i> | |
| | | <i>Yes</i> | <i>No</i> |
| Describe relevant auditing codes of practice or ethics | | | |
| Outline auditing methods and techniques Methods and techniques may include: <ul style="list-style-type: none"> • analysis • determining information flows • evaluating the effectiveness of system controls • questioning • sampling • scanning • tracing • trend analysis | | | |
| Summarise current auditing practices | | | |
| Identify current industry products and/or services that can be used to assist in the auditing process | | | |
| <p><i>Feedback to candidate</i></p> <p style="text-align: center; font-size: 2em; opacity: 0.3; font-weight: bold;">SAMPLE</p> <p>The candidate's knowledge was: <input type="checkbox"/> Satisfactory <input type="checkbox"/> Not Satisfactory</p> <p>Candidate's signature: Date:</p> <p>Assessor's signature: Date:</p> | | | |

Evidence Evaluation Form



This form allows assessors to confirm the evidence they collect during an assessment process reflects the evidence required to demonstrate competence.

SAMPLE

Evidence Evaluation Form

| | |
|-----------|--|
| Benchmark | BSBAUD402 Participate in a quality audit |
| Assessor | |
| Candidate | |
| Date | |

| Evidence List <i>(e.g. completed up-front assessment checklists; completed observation checklists; completed review checklists; completed questionnaires; work samples; recognition portfolios; records of verbal interviews; third party reports, testimonials etc.)</i> | Rules of Evidence <i>Please indicate if the evidence is:</i> | | |
|--|---|-----------|---------|
| | Valid | Authentic | Current |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

| | |
|--|---|
| Is there sufficient evidence to make an assessment decision? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
|--|---|

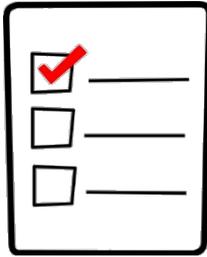
| | |
|---------------------|--|
| Assessment Decision | <input type="checkbox"/> Competent <input type="checkbox"/> Not Yet Competent |
|---------------------|--|

If there is insufficient evidence, please identify the areas in which additional evidence is required

From an analysis of the evidence, the following issues require clarification

Assessor's signature: Date:

Assessment Summary & Feedback Form



This form allows assessors to record their assessment decision. It 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.

Assessment records should provide a useful, summative portrayal of a candidate's competence.

SAMPLE

Assessment Summary & Feedback Form

| | | | |
|---------------------|--|------|--|
| Benchmark | BSBAUD402 Participate in a quality audit | | |
| Assessor | | | |
| Candidate | | | |
| Work Task | Prepare for / participate in a quality audit as a member of a quality audit team | | |
| Task Frequency | <input type="checkbox"/> Task Demonstration 1 | Date | |
| | <input type="checkbox"/> Task Demonstration 2 | Date | |
| | <input type="checkbox"/> Task Demonstration 3 | Date | |
| | <input type="checkbox"/> Task Demonstration 4 | Date | |
| | <input type="checkbox"/> Task Demonstration 5 | Date | |
| Assessment Decision | <input type="checkbox"/> Competent <input type="checkbox"/> Not Yet Competent | | |

Gaps in performance

Action plan

Candidate's signature: Date:

Assessor's signature: Date: