

# Learning Assessment Guide

## Unit Standard 8084 – Version 4

### Audit quality management systems for compliance with quality standards

#### Level 6 – 14 Credits

<b>Assessment Summary</b>			
<b>Learner to complete</b>			
<b>Learner's name:</b>			
<b>Employer:</b>			
<b>NSN no. (ROL):</b>		<b>DOB:</b>	
<b>Signed:</b>		<b>Date:</b>	
<b>Assessor to complete</b>			
<input type="checkbox"/> Meets requirements <input type="checkbox"/> More training required <input type="checkbox"/> More evidence required			
<b>Assessor's name:</b>		<b>Assessor's No.</b>	
<b>Signed:</b>		<b>Date:</b>	

## Before you begin...

- As well as this Learning Assessment Guide, you may also want to refer to the unit standard from the NZQA website (<http://www.nzqa.govt.nz>).
- Read the Trainee Information Kit. The kit contains important information and guidelines for Learners and can be found on the Learning State website (<http://www.learningstate.govt.nz>) under Learners, then Learning Assessment Guides.
- Check the learning resources available for this unit standard on the Learning State website (<http://www.learningstate.govt.nz>) under Learners, then Learning Assessment Guides.

The tasks in this assessment are designed to show your assessor that you can:

- Prepare to carry out a quality audit
- Carry out technical aspects of a quality audit
- Carry out interpersonal aspects of a quality audit
- Report on a quality audit
- Verify corrective actions.

This Learning Assessment Guide is made up of:

- Tasks for you to complete
- Verification forms to be completed
- Assessment Guide that the assessor will use to assess your competence.

Special notes relating to this unit standard:

1. Although not prerequisites, Unit 8086, Demonstrate knowledge required for quality auditing, and Unit 8085, Demonstrate knowledge of quality and its management contain useful underpinning knowledge for this unit standard.

2. Definitions:

*Quality* is the degree to which a set of inherent characteristics of products and services fulfils the stated and implied requirements of customers and other stakeholders.

*Quality management* is a philosophy of management that encompasses quality management systems, customer focus, and a consultative culture. The purpose is to improve continuously the value of goods and services to internal and external customers, with outcomes of improved business results and greater effectiveness and efficiency in day-to-day activities.

*Quality management systems* refers to a formal management system that establishes policy and objectives (and ways of achieving them) in order to direct and control an organisation with regard to quality.

*Quality audit* is a systematic and independent examination to determine whether quality activities and related results comply with planned arrangements and whether these arrangements are implemented effectively and are suitable to achieve objectives.

*Auditee* is the organisation, or part thereof, that is to be audited.

*Client* is the person or organisation requesting the audit. The client can also be the auditee.

*Quality standards* are the criteria against which the auditee's performance will be audited.

Examples of such standards are:

- Quality Health New Zealand Standards (refer <http://www.qualityhealth.org.nz/>);
- AS/NZS 4801:2001: Occupational Health and Safety Management Systems – Specification with guidance for use;
- ACC Partnership Programme: audit standards effective from 1 April, 2002. (Wellington:ACC, 2002);
- ISO 9000 series;
- codes of practice;
- any other criteria that have been agreed in the supplied scope of the audit. These can include auditee's plans, procedures, and quality objectives.

3 All activities must comply with: any policies, procedures, business protocols, and requirements of the organisation/s involved; ethical codes and standards of relevant professional bodies; the cultural requirements of the organisation/s and individuals involved; and any relevant legislative and/or regulatory requirements. Activities must also comply with any guidelines for quality management systems auditing, and any other special conditions pertaining to the industry being audited.

4 Legislation relevant to this unit standard can include but is not limited to: Health and Safety in Employment Act 1992, Resource Management Act 1991, Official Information Act 1982, Privacy Act 1993, State Sector Act 1988, Employment Relations Act 2000, Fair Trading Act 1986, Consumer Guarantees Act 1993, and subsequent amendments.

5 This unit standard can be applied to both internal and external audits, and to both compliance audits and audits conducted for the purpose of identifying opportunities for improvements.

The standard focuses on the process, not the scope. Learners must complete at least one full workplace audit, (either internal or external) that includes all processes for each element of this unit standard. They will work from a supplied audit scope and plan. The audit may be completed individually or as part of a team.

## Assessment Task One – Element 1

Assessment task one is designed to assess your ability to carry out a quality audit in compliance with quality standards.

You may choose to complete Task one, Question 1 using either written or oral responses or a combination of both. If you choose to undertake this task orally, your responses must be recorded and held as evidence towards this assessment.

### Instructions

To undertake this task you will need to work from an audit scope and plan supplied to you.

You must decide upon a quality audit that you can carry out or utilise aspects from a quality audit that you have completed in the past two years. It can be an internal or external audit. It must however be of sufficient scope to meet the requirements of this assessment.

You need to prepare to undertake an audit by reviewing previous audit documentation in the area/system you are planning to audit.

1. Identify a minimum of **one** possible impact from previous audit/s likely to impact on your audit.
2. Provide a copy of the supplied audit plan and a plan of your own audit activities outlining how the objectives of the supplied audit plan will be met.
3. Produce/assemble required documentation/working papers necessary to gather required data and evidence while undertaking an audit. This documentation may include:
  - Checklists
  - Quality standards
  - Organisation charts
  - Previous audit reports
  - Quality system documentation
  - Any other documentation relevant to the audit.

Ensure your documentation provides evidence of a minimum of two data collection methods.

### The completed assessment for task one will include:

- Oral and/or written response to Question 1
- Documentation providing evidence for Question 2
- Documentation providing evidence for Question 3.

## Assessment Task Two – Element 2

Assessment task two is designed to assess your ability to carry out technical aspects of a quality audit.

You may choose to complete the following tasks

- Task two, Questions 1, 2, 3, 7 and 8.

either orally or with written responses or a combination of both. If you choose to undertake this task orally, your responses must be recorded and held as evidence towards this assessment.

### Instructions

1. You must provide evidence that you have:
  - identified and confirmed audit objectives
  - the process to be used
  - availability of resources with the auditee before commencing the audit.
2. Provide evidence that you have compared the auditee's plans for meeting the standards against the relevant quality standards and identified any variances.

Examples of such standards may be:

- Quality health New Zealand Standards
  - AS/NZS 4801:2001: Occupational Health and Safety Management Systems
  - ACC Partnership Programme: audit standards
  - ISO 9000 series
  - Codes of practice
  - Any other criteria that has been agreed to in the scope of the audit with the auditee.
3. Provide evidence that you have compared the auditee's performance against standards and identified any variances.
  4. Provide evidence that your audit observations are sufficiently detailed enabling effective analysis to be undertaken within the requirements of the supplied audit scope and plan.
  5. Analyse audit observations within the scope of the auditee's plans, procedures and quality standards and establish compliance or non-compliance.
  6. Provide evidence that you have made evaluative decisions on the basis of sufficient and verifiable evidence and that the extent of compliance including opportunities for improvement has been identified.
  7. Provide **two examples** of prior planning to manage possible contingencies impacting upon the integrity of the audit.

Examples of contingency situations may be:

- dangerous and critical situations
- incapacity of the auditor to continue
- significant failure of auditee's systems and/or equipment
- any other contingency identified as relevant to the audit.

8. Provide evidence identifying what you did or would have done if the auditee's initial responses to the audit findings was or may have compromised the integrity of the audit. Possible actions might include re-evaluation of audit findings, re-negotiation of desired outcomes.

**The completed assessment for task two will include:**

- Oral and/or written response to Question 1
- Oral and/or written response to Question 2
- Oral and/or written response to Question 3
- Documentation providing evidence for Question 4
- Documentation providing evidence for Question 5.
- Documentation providing evidence for Question 6
- Oral and/or written response to Question 7
- Oral and/or written response to Question 8.

## Assessment Task Three – Element 3

Assessment task three is designed to assess your ability to carry out the interpersonal aspects of a quality audit. You must provide either oral or written evidence to the following questions and obtain verification from both your auditee and manager/peer auditor confirming your ability to demonstrate competent interpersonal skills while undertaking a quality audit.

If you choose to undertake this task orally, your responses must be recorded and held as evidence towards this assessment.

### Instructions

1. Provide one specific example for each of the following range demonstrating your ability to communicate effectively:
  - to ensure the co-operation of the auditee
  - to ensure the resolution of conflict
  - to ensure the distribution of all information to meet the audit objectives
  - to ensure the auditee and if applicable, the client are informed of progress
  - to ensure all necessary personnel are informed of changes to planned arrangements
  - to ensure you demonstrate respect, courtesy and cultural sensitivity with auditee/s.

Provide one specific example for each of the following range demonstrating your ability to communicate effectively with other **participating auditors**:

- to ensure the co-ordination of audit activities
  - to ensure the consistency of audit performance
  - to ensure the completion of the audit plan
  - to ensure you demonstrate respect, courtesy and cultural sensitivity.
2. Provide **two completed verification forms** from people who can verify your ability to demonstrate the above communication skills during the audit process:
    - One should be completed by the auditee
    - One should be completed by either your manager or another auditor with whom you worked with on the audit.

### The completed assessment for task three will include:

- Oral and/or written response to Question 1
- Two completed verification forms.

## Manager/Peer Auditor Verification Form

Unit Standard 8084 – Audit quality management systems for compliance with quality standards

Learner:		
<p>The learner is currently being assessed in their ability to carry out interpersonal aspects of a quality audit.</p> <p>This attestation confirms that the learner can perform the tasks listed to the standards required by your organisation on a consistent basis.</p>		
<b>Learner can....</b>		<b>Yes/No</b>
<p>The learner kept relevant parties informed of the progress of the audit and of any circumstances that may have altered the planned arrangements.</p> <p>Comments</p>		
<p>The learner communicated with other auditors to ensure coordination of audit activities, the consistency of audit performance and the completion of the audit plan</p> <p>Comments</p>		
<p>The learner demonstrated respect, courtesy and cultural sensitivity during the process of the audit.</p> <p>Comments:</p>		
Manager's Name:	Position:	
Contact Phone:	Date:	
Signature:		

## Auditee Verification Form

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Learner:		
<p>The learner is currently being assessed in their ability to carry out interpersonal aspects of a quality audit.</p> <p>This attestation confirms that the learner can perform the tasks listed to the standards required by your organisation on a consistent basis.</p>		
<b>Learner can....</b>		<b>Yes/No</b>
<p>The learner kept me informed of the progress of the audit and of any circumstances that may have altered the planned arrangements.</p> <p>Comments</p>		
<p>The learner worked cooperatively with me, and communicated all information relevant to meeting the objectives of the audit.</p> <p>Comments</p>		
<p>The learner demonstrated respect, courtesy and cultural sensitivity during the process of the audit.</p> <p>Comments:</p>		
Manager's Name:	Position:	
Contact Phone:	Date:	
Signature:		

## Assessment Task Four – Element 4

### Introduction

Assessment task four is designed to assess your ability to report on a quality audit.

You may choose to complete the following tasks

- Task four, Questions 1, 2, 3, and 4.

either orally or with written responses or a combination of both. If the learner chooses to undertake this task orally, their responses must be recorded and held as evidence towards this assessment.

### Instructions

1. Provide a copy of your preliminary report presented at the exit interview and your final report. Identify the following aspects in each report:
  - the extent of compliance with quality standards
  - areas requiring corrective action to ensure compliance
  - recommendations for improvement where this advice does not compromise the learner's independence.
2. Briefly outline how the preliminary report covers the required scope and reflects all conclusions, findings and observations of the quality audit to ensure results are clearly understood by the auditee.
3. Provide evidence that you have negotiated an agreement with the auditee establishing how, when and by whom corrective actions are to be carried out to achieve compliance with quality standards at the exit interview.
4. Provide evidence that the final audit report is consistent with the preliminary report and negotiated outcomes of the exit interview.
5. Identify the distribution method of the final report and provide evidence that its distribution is in accordance with the audit plan.

### The completed assessment for task four will include:

- Oral and/or written response to Question 1
- Oral and/or written response to Question 2
- Oral and/or written response to Question 3
- Oral and/or written response to Question 4
- Documentary evidence in response to Question 5.

## Assessment Task Five – Element 5

### Introduction

Assessment task five is designed to assess your ability to verify corrective actions.

You may choose to complete Task five, Question 1 using either written or oral responses or a combination of both. If you choose to undertake this task orally, your responses must be recorded and held as evidence towards this assessment.

### Instructions

1. Provide **two** examples of evidence you have gathered to establish that post-audit corrective action have been carried out. This may include observation and/or documentary evidence.
2. Provide evidence that the status of corrective actions has been reported to your client.
3. Where compliance has not been achieved, provide evidence of renegotiation with auditee for additional action/s to be carried out to achieve compliance.

### The completed assessment for task five will include:

- Oral and/or written response to Question 1
- Documentary evidence in response to Question 2
- Documentary evidence in response to Question 3 if required.

## Assessment Guide

These are the evidence and judgements that your assessor will use to assess your competence in unit standard 8084.

<b>Task / Element</b>	<b>Evidence required</b>	<b>Judgement</b>
<p><i>Task 1 / Element 1</i></p> <p>Prepare to carry out a quality audit.</p> <p>Question 1 (P.C. 1.1)</p> <p>Question 2 (P.C. 1.2)</p> <p>Question 3 (P.C. 1.3)</p>	<p>Written or oral evidence of having reviewed evidence from previous audit/s and identifying a likely impact on a subsequent audit.</p> <p>Documentary evidence of an audit plan supplied to learner outlining objectives.</p> <p>Documentary evidence of tools to be used in the collection and analysis of data to meet the objectives of the audit.</p>	<p>1 example of a possible impact from previous audit/s on future audit is identified. Example is relevant and probable.</p> <p>Documentary evidence of an audit plan.</p> <p>Written documentation produced by learner of audit activities to be undertaken. Documentation matches supplied audit plan and planned activities enable the objectives of the audit to be met.</p> <p>Evidence of all documentation required for the collection of data and evidence.</p> <p>Documentation may include:</p> <ul style="list-style-type: none"> <li>• Checklists</li> <li>• Quality standards</li> <li>• Organisation charts</li> <li>• Previous audit reports</li> <li>• Quality system documentation</li> <li>• Any other documentation relevant to the audit.</li> </ul> <p>Use of two methods to gather data during audit is provided.</p>
<p><i>Task 2 / Element 2</i></p> <p>Carry out technical aspects of a quality audit.</p> <p>Question 1 (P.C. 2.1)</p>	<p>Written or oral evidence of identification of audit scope being confirmed by auditee prior to</p>	<p>Evidence is provided of audit objectives, process and availability of resources having been confirmed</p>

<b>Task / Element</b>	<b>Evidence required</b>	<b>Judgement</b>
Question 2 (P.C. 2.2)	<p>audit.</p> <p>Written or oral evidence of a comparative check of auditee's plans against quality standards having been undertaken and variances identified.</p>	<p>with auditee before the commencement of audit activities.</p> <p>Evidence is provided that auditee's plans for meeting the standards have been compared against the relevant quality standards.</p> <p>Quality standards may be:</p> <ul style="list-style-type: none"> <li>• Quality health New Zealand Standards</li> <li>• AS/NZS 4801:2001: Occupational Health and Safety Management Systems</li> <li>• ACC Partnership Programme: audit standards</li> <li>• ISO 9000 series</li> <li>• Codes of practice</li> <li>• Any other criteria agreed to in the scope of the audit.</li> </ul> <p>Any variances are identified.</p>
Question 3 (P.C. 2.3)	<p>Written or oral evidence of a comparative check of auditee's performance against quality standards having been undertaken and variances identified.</p>	<p>Evidence is provided that auditee's performance against standards has been compared.</p> <p>Any variances are identified.</p>
Question 4 (P.C. 2.4)	<p>Documentation of data providing sufficient detail to enable effective analysis to occur.</p>	<p>Evidence is provided that audit observations are sufficiently detailed enabling effective analysis to occur. Scope of observations undertaken meet the requirements of the supplied audit scope and plan.</p> <p>Evidence of two methods of analysis is evident. Clear links are established between three sets of information. Indication of compliance/non-compliance is identified.</p>
Question 5 (P.C. 2.5)	<p>Documentation of the analysis of audit observations.</p>	<p>Evidence of analysis of audit observations within the scope of the auditee's plans, procedures and</p>

<b>Task / Element</b>	<b>Evidence required</b>	<b>Judgement</b>
Question 6 (P.C. 2.6)	Evaluative decisions are identified from analysis and evidence.	<p>quality standards is provided.</p> <p>Evidence establishes compliance or non-compliance.</p> <p>Evaluative decisions are provided on the basis of sufficient and verifiable evidence.</p> <p>Decisions match the evidence gathered.</p> <p>The extent of compliance including opportunities for improvement is identified.</p>
Question 7 (P.C. 2.7)	Written or oral evidence identifying contingency planning as part of the audit process.	<p>Two examples are provided of prior planning to manage possible contingencies impacting upon the integrity of the audit.</p> <p>Examples of contingency situations may be:</p> <ul style="list-style-type: none"> <li>• dangerous and critical situations</li> <li>• incapacity of the auditor to continue</li> <li>• significant failure of auditee's systems and/or equipment</li> <li>• any other contingency identified as relevant to the audit.</li> </ul>
Question 8 (P.C. 2.8)	Written or oral evidence identifying actions in the event of audit being compromised by auditee.	<p>Learner identifies real or probable response to auditee's action compromising the integrity of the audit as a result of the findings.</p> <p>Possible actions might include re-evaluation of audit findings, re-negotiation of desired outcomes.</p>



<b>Task / Element</b>	<b>Evidence required</b>	<b>Judgement</b>
<p><b>Task 4 / Element 4</b></p> <p>Report on a quality audit.</p> <p>Question 1 (P.C. 4.1)</p>	<p>Written evidence of preliminary report and final report is provided. Learner may provide written or oral responses to identify aspects as per bullet points in column 4 within the report.</p>	<p>Evidence is provided of preliminary report presented at exit interview and final report.</p> <p>Learner identifies the following aspects in each report:</p> <ul style="list-style-type: none"> <li>• the extent of compliance with quality standards</li> <li>• areas requiring corrective action to ensure compliance</li> <li>• recommendations for improvement where this advice does not compromise the learner's independence.</li> </ul>
<p>Question 2 (P.C. 4.2)</p>	<p>Written evidence of preliminary report is provided.</p>	<p>Preliminary report outlines:</p> <ul style="list-style-type: none"> <li>• required scope</li> <li>• reflects all conclusions, findings and observations.</li> </ul> <p>Presentation of preliminary report ensures results of audit are clearly understood by the auditee.</p>
<p>Question 3 (P.C. 4.3)</p>	<p>Oral evidence may include supplementary evidence of meeting minutes.</p>	<p>Evidence is provided of auditee's agreement establishing how, when and by whom corrective actions are to be carried out to achieve compliance with quality standards.</p>
<p>Question 4 (P.C. 4.4)</p>	<p>Documentary evidence of final report.</p>	<p>Final report is consistent with preliminary report and negotiated outcomes with auditee.</p>
<p>Question 5 (P.C. 4.5)</p>	<p>Evidence of distribution of audit report.</p>	<p>Workplace evidence that the report has been distributed as per requirements of audit plan.</p>

<i>Task / Element</i>	<i>Evidence required</i>	<i>Judgement</i>
<p><i>Task 5 / Element 5</i></p> <p>Verify corrective actions.</p> <p>Question 1 (P.C. 5.1)</p> <p>Question 2 (P.C. 5.2)</p> <p>Question 3 (P.C. 5.3)</p>	<p>Oral evidence must be supplemented with documentary evidence that post-audit corrective action has occurred.</p> <p>Documentary evidence of reporting to client on status of corrective actions is provided.</p> <p>In the event of non compliance, further evidence is required of renegotiation of additional corrective action.</p>	<p><b>Two</b> examples of post-audit corrective action having been completed are provided.</p> <p>Evidence may include observation, but further evidence supporting observation must be provided.</p> <p>Evidence may be report, correspondence, minutes of meeting or other organisational format providing evidence on status of corrective actions.</p> <p>Evidence may be correspondence, minutes of meeting or any other organisational formal providing evidence of renegotiation of corrective action required.</p>