

Demonstrate knowledge required for quality auditing

Level 4

Credits 4

Purpose People credited with this unit standard are able to demonstrate knowledge of: quality auditing, preparation for auditing; quality standards; auditor behaviour; and registration of auditors and accreditation of certifying bodies.

This unit standard is primarily for people who have, or wish to have, responsibility for conducting quality audits.

Subfield Business Operations and Development

Domain Quality Management

Status Registered

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Entry information Open.

Accreditation Evaluation of documentation and visit by NZQA and industry.

Standard setting body (SSB) NZQA National Qualifications Services

Accreditation and Moderation Action Plan (AMAP) reference 0113

This AMAP can be accessed at <http://www.nzqa.govt.nz/framework/search/index.do>.

Special notes

1 Although not a prerequisite, Unit 8085, *Demonstrate knowledge of quality and its management* contains 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 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.

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 may include but are not limited to:

- Quality Health New Zealand Standards, available at <http://www.qualityhealth.org.nz/>;
- AS/NZS 4801:2001: *Occupational Health and Safety Management standards – Specification with guidance for use*;
- *ACC Partnership Programme: Audit standards* (Wellington: Accident Compensation Corporation, 2002), available at <http://www.acc.co.nz/index.htm>;
- ISO 9000:2005 *Quality Management Systems* series;
- ISO 22000:2005 – *Food Safety Management Systems*;
- ISO 19011:2001 – *Guidelines for Quality and/or Environmental Management Systems Auditing*;
- codes of practice;

any other criteria that has been agreed in the supplied scope of the audit. These can include auditee's plans, procedures, and quality objectives.

3 Abbreviation

ISO (as in ISO 9000) stands for International Standards Organisation.

Elements and performance criteria

Element 1

Demonstrate knowledge of quality auditing.

Performance criteria

- 1.1 Quality auditing is explained in terms of objective comparisons of auditee activities against the auditee's quality management systems and applicable quality standards.
- 1.2 The benefits of quality auditing are identified in terms of added value for auditees.
- 1.3 Purposes for quality auditing are identified in terms of stakeholder requirements.

Range stakeholders may include but are not limited to – management, customers, suppliers, regulatory authorities; requirements may include but are not limited to – identification of areas for improvement; compliance with statutory requirements; identification of risks; establishment and improvement of safe work practices and environment; confirmation of planned outcomes, product, service, process performance.
- 1.4 Definition of the audit process establishes the sequence of audit activities, and the roles of auditors, lead auditors, auditees, and clients in the process.

1.5 Differentiations of audit types are made on the basis of what is to be audited and the relationship of auditor and client.

Range audit types may include by are not limited to – systems audits, product certification audits, product audits, service audits, process audits, management audits;
relationship – first, second, and third party audits.

Element 2

Demonstrate knowledge required for preparation for auditing in a given situation.

Performance criteria

2.1 Analysis of an audit plan establishes what is to be audited, when, and by whom.

2.2 Identification of auditing techniques establishes their applicability for a given auditing situation.

Range auditing techniques include but are not limited to – questioning, observation, recording, sampling, tracing, listening, trend analysis.

2.3 Contingencies that can affect the validity of audits are identified for a given auditing situation.

Element 3

Demonstrate knowledge of quality standards in a specific situation.

Performance criteria

3.1 Quality standards are differentiated in terms of being internal or external to a specific audit situation.

Range internal standards may include but are not limited to – standard operating procedures, quality plans and policies;
examples of external standards are – ISO, Quality Health New Zealand Standards, Occupational Health and Safety standards, requirements of legislation and regulations.

3.2 Criteria for establishing compliance in a specific situation are established from the common elements of external standards.

Element 4

Demonstrate knowledge of auditor behaviour.

Performance criteria

4.1 Auditor behaviours and characteristics are described in terms of how they facilitate the achievement of audit objectives.

- 4.2 Ethical auditor behaviours are identified in relation to a published code of ethics for auditors.
- Range codes of ethics may include but are not limited to – Quality Society of Australasia, Institute of Internal Auditors, International Register of Certificated Auditors.

Element 5

Demonstrate knowledge of registration of auditors and accreditation of certifying bodies.

Performance criteria

- 5.1 Identification of criteria for registration as an auditor is made in terms of national and international registration bodies.
- Range registration bodies may include but are not limited to – International Register of Certificated Auditors, Registrar Accreditation Board, Quality Society of Australasia.
- 5.2 The accreditation of certifying bodies is explained in terms of the purpose of accreditation organisations.
- Range accreditation organisations may include but are not limited to – Joint Accreditation Scheme for Australia and New Zealand (JASANZ), the Registrar Accreditation Board (RAB), the New Zealand Association of Certification Bodies (NZACB).

Please note

Providers must be accredited by NZQA, or an inter-institutional body with delegated authority for quality assurance, before they can report credits from assessment against unit standards or deliver courses of study leading to that assessment.

Industry Training Organisations must be accredited by NZQA before they can register credits from assessment against unit standards.

Accredited providers and Industry Training Organisations assessing against unit standards must engage with the moderation system that applies to those standards.

Accreditation requirements and an outline of the moderation system that applies to this standard are outlined in the Accreditation and Moderation Action Plan (AMAP). The AMAP also includes useful information about special requirements for organisations wishing to develop education and training programmes, such as minimum qualifications for tutors and assessors, and special resource requirements.

Comments on this unit standard

Please contact the NZQA National Qualifications Services nqs@nzqa.govt.nz if you wish to suggest changes to the content of this unit standard.