



Australian Government

**Assessment Requirements for DEFFIN027
Support public sector financial compliance
and assurance management**

Release: 1

Assessment Requirements for DEFFIN027 Support public sector financial compliance and assurance management

Modification History

Release 1. This is the first release of this unit of competency in the DEF Defence Training Package.

Performance Evidence

Evidence required to demonstrate competence in this unit must be relevant to and satisfy all of the requirements of the elements and performance criteria on at least one occasion and include:

- implementing processes for managing financial non-compliance
- liaising with stakeholders
- monitoring financial compliance requirements, including:
 - monitoring information systems
 - identifying and informing senior management and regulatory authorities of incidents of non-compliance
 - seeking advice from internal and external personnel
 - investigating instances of non-compliance
- obtaining and keeping up to date with financial compliance requirements
- preparing reports.

Knowledge Evidence

Evidence required to demonstrate competence in this unit must be relevant to and satisfy all of the requirements of the elements and performance criteria and include knowledge of:

- analysis techniques relevant to review and interpret an identified non-compliance
- compliance requirements applicable to the organisation
- elements of a compliance management system
- financial responsibilities for compliance
- organisational standards for operations and ethics
- potential incidents of non-compliance
- procedures for managing incidents of non-compliance
- relevant legislation and organisational policies and procedures
- reporting processes on compliance management, including reports on non-compliance and remediation.

Assessment Conditions

As a minimum, assessors must satisfy applicable regulatory requirements, which include

requirements in the Standards for Registered Training Organisations, current at the time of assessment.

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Assessment must occur in workplace operational situations where it is appropriate to do so; where this is not appropriate, assessment must occur in simulated workplace operational situations that replicate workplace conditions.

Assessment processes and techniques must be appropriate to the language, literacy and numeracy requirements of the work being performed and the needs of the candidate.

Resources for assessment must include access to:

- a range of relevant exercises, case studies and/or other simulations
- relevant and appropriate materials, tools, equipment and personal protective equipment (PPE) currently used in industry
- applicable documentation, including workplace procedures, regulations, codes of practice and operation manuals
- acceptable means of simulated assessment.

Links

Companion Volume implementation guides are found in VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=6bdbab1e-11ed-4bc9-9cba-9e1a55d4e4a9>