# PSPFRAU506B Implement fraud control activities

**Revision Number: 3**

## PSPFRAU506B Implement fraud control activities

## Modification History

| Release | TP Version | Comments |
|---|---|---|
| 3 | PSP12V1 | Unit descriptor edited. |
| 2 | PSP04V4.2 | Layout adjusted. No changes to content. |
| 1 | PSP04V4.1 | Primary release. |

## Unit Descriptor

This unit covers implementation of controls and education which will reduce or eliminate the risk of fraud and corruption. It includes assessing options and selecting actions for fraud and corruption control activities, setting down procedures and expectations for staff, and implementing performance evaluation and monitoring systems.
*Fraud* in the unit title incorporates both *fraud and corruption*.
In practice, implementing fraud and corruption control activities may overlap with other generalist or specialist public sector workplace activities such as acting ethically, promoting compliance with legislation, delivering client services, etc.
This unit replaces and is equivalent to PSPFRAU506A Implement fraud control activities.
No licensing, legislative, regulatory or certification requirements apply to this unit at the time of publication

## Application of the Unit

Not applicable.

## Licensing/Regulatory Information

Not applicable.

## Pre-Requisites

Not applicable.

Government Skills Australia

# Employability Skills Information

This unit contains employability skills.

# Elements and Performance Criteria Pre-Content

| Elements are the essential outcomes of the unit of competency. | Together, performance criteria specify the requirements for competent performance. Text in **_bold italics_** is explained in the Range Statement following. |
|---|---|

# Elements and Performance Criteria

| ELEMENT | PERFORMANCE CRITERIA |
|---|---|
| **1**. **Assess options and select actions** | 1.1 Existing systems and procedures are assessed for compliance with fraud/corruption control plan and strategy, and broader organisational objectives. |
| | 1.2 Possible courses of action are determined based on an assessment of relevant resources and personnel available and integration with organisational activities. |
| | 1.3 Agreement of relevant staff and management is obtained on key features of the fraud/corruption *control activities* within their area of responsibility. |
| | 1.4 Resource implications and efficiency and effectiveness of options are assessed. |
| | 1.5 Desired outcomes are specified in consultation with *stakeholders*. |
| | 1.6 Preferred options are recommended to senior management and agreed to by those responsible for implementation. |
| **2**. **Set down procedures and expectations for staff** | 2.1 Key tasks and deadlines are specified and a project timeline is prepared when appropriate. |
| | 2.2 Ethical standards and guidelines are developed in consultation with stakeholders. |
| | 2.3 Procedures are developed outlining the obligations and protections relating to public interest disclosures, protected disclosures or whistleblowing legislation. |
| | 2.4 Procedures are documented, tested and *disseminated* through most effective channels. |
| | 2.5 Opportunities for identifying possible new risks and threats are included in the procedures. |
| | 2.6 Refinements and adjustments to procedures are made on the basis of regular reviews and evaluation. |
| **3**. **Implement performance evaluation and monitoring systems** | 3.1 Mechanisms to monitor implementation are identified through consultation with appropriate people. |
| | 3.2 Relevant information and methods of comparing progress of implementation procedures to objectives of fraud/corruption control plan are agreed between those involved. |
| | 3.3 Quality of work, extent of progress, resource usage and other critical features are assessed and variations or adjustments to the fraud/corruption control plan are recommended. |
| | 3.4 Authorities are kept informed of progress of implementation and of problems as they arise in accordance with organisational policy and procedures. |
| | 3.5 Regular reporting activities are used to provide advice regarding impact of procedures on effectiveness of fraud/corruption control strategy. |

# Required Skills and Knowledge

This section describes the essential skills and knowledge and their level, required for this unit.

**Skill requirements**

Look for evidence that confirms skills in:

- planning, analysis and evaluation relating to fraud and corruption risk control
- ensuring compliance of activities with fraud/corruption control plan and fraud/corruption control strategy
- consulting with staff or personnel responsible for relevant activities or components of the activities specified
- using a range of communication, consultation and negotiation styles to suit different audiences and purposes
- responding to diversity, including gender and disability
- writing reports requiring formal language and structure on the effectiveness of fraud and corruption control activities
- managing widespread dissemination of activities in the agency
- applying occupational health and safety and environmental procedures in the context of fraud and corruption control

**Knowledge requirements**

Look for evidence that confirms knowledge and understanding of:

- jurisdictional fraud and corruption control requirements
- agency fraud and corruption control strategy
- best practice initiatives in fraud and corruption control
- client base and any history of fraud and corruption against the agency
- control testing and evaluation
- agency structure and core business activities
- fraud and corruption risk factors in the organisation, agency clients, and any history of fraud and corruption in or against the agency
- anti-discrimination and diversity legislation
- legislation and procedures relating to public interest disclosures, protected disclosures or whistleblowing
- legislation, policies and procedures relating to fraud and corruption control

# Evidence Guide

The Evidence Guide specifies the evidence required to demonstrate achievement in the unit of competency as a whole. It must be read in conjunction with the Unit descriptor, Performance Criteria, the Range Statement and the Assessment Guidelines for the Public Sector Training Package.

| | |
|---|---|
| **Units to be assessed together** | • *Pre-requisite* units that <u>must</u> be achieved <u>prior</u> to this unit:*Nil*<br>• *Co-requisite* units that <u>must</u> be assessed <u>with</u> this unit:*Nil*<br>• *Co-assessed units* that <u>may</u> be assessed with this unit to increase the efficiency and realism of the assessment process include, but are not limited to:<br>  • PSPETHC501B Promote the values and ethos of public service<br>  • PSPFRAU502B Anticipate and detect possible fraud activity<br>  • PSPFRAU505B Develop fraud control plans<br>  • PSPGOV502B Develop client services<br>  • PSPGOV504B Undertake research and analysis<br>  • PSPLEGN501B Promote compliance with legislation in the public sector |
| **Overview of evidence requirements** | In addition to integrated demonstration of the elements and their related performance criteria, look for evidence that confirms:<br>• the knowledge requirements of this unit<br>• the skill requirements of this unit<br>• application of the Employability Skills as they relate to this unit (see Employability Summaries in Qualifications Framework)<br>• implementation of fraud/corruption control activities in a range of (3 or more) contexts (or occasions, over time) |
| **Resources required to carry out assessment** | These resources include:<br>• legislation, policy and procedures relating to fraud and corruption control<br>• legislation and procedures relating to public interest disclosures, protected disclosures or whistleblowing<br>• fraud and corruption control guidelines and standards<br>• public sector values and codes of conduct<br>• case studies and workplace scenarios to capture the range of fraud and corruption control activities likely to be undertaken |
| **Where and how to** | Valid assessment of this unit requires: |

**assess evidence**

- a workplace environment or one that closely resembles normal work practice and replicates the range of conditions likely to be encountered when implementing fraud and corruption control activities, including coping with difficulties, irregularities and breakdowns in routine
- implementation of fraud and corruption control activities in a range of (3 or more) contexts (or occasions, over time)

Assessment methods should reflect workplace demands, such as literacy, and the needs of particular groups, such as:

- people with disabilities
- people from culturally and linguistically diverse backgrounds
- Aboriginal and Torres Strait Islander people
- women
- young people
- older people
- people in rural and remote locations

Assessment methods suitable for valid and reliable assessment of this competency may include, but are not limited to, a combination of 2 or more of:

- case studies
- portfolios
- projects
- questioning
- scenarios
- authenticated evidence from the workplace and/or training courses

**For consistency of assessment**

Evidence must be gathered over time in a range of contexts to ensure the person can achieve the unit outcome and apply the competency in different situations or environments

# Range Statement

The Range Statement provides information about the context in which the unit of competency is carried out. The variables cater for differences between States and Territories and the Commonwealth, and between organisations and workplaces. They allow for different work requirements, work practices and knowledge. The Range Statement also provides a focus for assessment. It relates to the unit as a whole. Text in *italics* in the Performance Criteria is explained here.

| | |
|---|---|
| ***Fraud/corruption control activities*** may include: | • controls which reduce or eliminate the risk of fraud and corruption<br>• awareness raising and training activities |
| ***Stakeholders*** may include: | • agency staff and senior management<br>• agency clients<br>• contractors and consultants<br>• industry associations<br>• internal/external audit personnel<br>• standards-setting organisations |
| ***Effective channels for dissemination of information*** may include: | • internal manuals and guidelines<br>• internal audits, directives and reports<br>• public documents<br>• training and awareness sessions<br>• consultation with:<br>• industry organisations<br>• clients<br>• specialist personnel or contractors<br>• community groups<br>• standards-setting organisations<br>• electronic communication, such as intranet, Internet or email |

# Unit Sector(s)

Not applicable.

# Competency field

Fraud Control.