



Australian Government

Department of Education, Employment and Workplace Relations

PSPREG413A Undertake inspections and monitoring

Revision Number: 2

PSPREG413A Undertake inspections and monitoring

Modification History

PSPREG413A Release 2: Layout adjusted. No changes to content.
PSPREG413A Release 1: Primary release.

Unit Descriptor

This unit covers the requirements to undertake both routine and non-routine inspections and monitoring of a more complex or detailed nature, with discretion to determine appropriate action in accordance with relevant Acts and regulations.

Typically work will be under general direction, with full responsibility for delegated duties within a generally defined area. It includes planning and organising inspection and monitoring activities, undertaking inspections, acting on non-compliance and providing reports, information and training.

In practice, undertaking complex inspections and monitoring may overlap with other generalist or specialist work activities such as exercising regulatory powers, using resources, gathering and analysing information, upholding and supporting public service values, working safely, applying government processes, etc.

This unit is one of five units in the *Regulatory* Competency field that deal with inspection and monitoring. Related units are:

PSPREG201A Carry out inspections and monitoring under guidance PSPREG301A Undertake routine inspections and monitoring
PSPREG503A Supervise and carry out complex inspections and monitoring
PSPREG603A Manage and lead inspection and monitoring programs

This is a new unit of competency, added to the *Regulatory* Competency field of the Training Package in 2004.

Application of the Unit

Not applicable.

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Not applicable.

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. Plan and organise inspection and monitoring activities	<p>1.1 Outputs are confirmed and inspection and monitoring <i>activities</i> and responsibilities are determined in accordance with organisational requirements.</p> <p>1.2 <i>Procedures</i>, timeframes, <i>resources and equipment</i> requirements are determined for self and others in accordance with organisational and task requirements.</p> <p>1.3 Resources/equipment are obtained and prepared in accordance with organisational and task requirements.</p> <p>1.4 Legislative requirements, risk management practices and occupational health and safety requirements are determined.</p> <p>1.5 Communication strategies and development opportunities are identified and adjusted to suit a range of clients in making them aware of their obligations under relevant <i>legislation</i>, in accordance with organisational policy and procedures.</p> <p>1.6 Procedural and information guides are reviewed and updated as required.</p>
2. Undertake inspections and monitoring	<p>2.1 <i>Inspections and monitoring activities</i> are carried out under <i>general direction</i> in accordance with organisational and legislative requirements including occupational health and safety.</p> <p>2.2 <i>Risk management strategies</i> are developed and implemented as required in accordance with set procedures and timelines.</p> <p>2.3 Resources/equipment are used and maintained in accordance with organisational and task requirements.</p> <p>2.4 When required, operational and technical advice is provided to subordinate officers in accordance with organisational policy and procedures.</p>
3. Act on non-compliance	<p>3.1 Information/education is provided to achieve client compliance in accordance with organisational guidelines and legislative requirements relating to the seriousness of the possible breach.</p> <p>3.2 Further <i>action</i> as a result of failure to achieve compliance is taken in accordance with organisational guidelines and legislative requirements relating to the seriousness of the possible breach.</p> <p>3.3 Compliance requirements of legislation/regulations are identified, and contraventions and recommended action are reported in accordance with organisational policy and procedures.</p> <p>3.4 Serious or complex situations are referred for advice or resolution in accordance with organisational policy and procedures.</p>

ELEMENT**PERFORMANCE CRITERIA**

- 3.5 The elements of each offence to be prosecuted under relevant legislation are identified, and information/evidence is *collected* and provided in accordance with legislation, procedures and rules of evidence.
- 3.6 When required, court attendance and conduct requirements are fulfilled in compliance with organisational guidelines.
- 4. Provide reports, information and training**
- 4.1 *Records* are maintained and reports are prepared and provided in accordance with organisational requirements.
- 4.2 Requirements of relevant legislation are interpreted and information and advice are provided on technical and operational matters.
- 4.3 On-the-job inspection/monitoring training is provided in accordance with organisational requirements.

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:

- undertaking observation and analysis
- communicating with a diverse range of clients and staff
- responding to diversity, including gender and disability
- writing reports using standard formats
- using computers for word processing and manipulation of statistical data
- operating workplace equipment
- applying public sector legislation such as occupational health and safety and environment in the context of inspection and monitoring

Knowledge requirements

Look for evidence that confirms knowledge and understanding of:

- public sector legislation including occupational health and safety, environment, privacy etc
- organisational policy and procedures
- inspection procedures
- monitoring procedures
- enabling legislation
- elements of an offence
- responses to non-compliance
- equity and diversity principles
- workplace and industry environment

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 must be achieved prior to this unit: *Nil*
- *Co-requisite* units that must be assessed with this unit: *Nil*

Co-assessed units that may be assessed with this unit to increase the efficiency and realism of the assessment process include, but are not limited to:

PSPETHC401A Uphold and support the values and principles of public service

PSPGOV403B Use resources to achieve work unit goals

PSPGOV406B Gather and analyse information

PSPGOV422A Apply government processes

PSPLEGN401A Encourage compliance with legislation in the public sector

PSPOHS401B Implement workplace safety procedures and programs

PSPREG401C Exercise regulatory powers

PSPREG402C Promote client compliance

PSPREG403B Assess compliance

PSPREG405B Act on non-compliance

Overview of evidence requirements

In addition to integrated demonstration of the elements and their related performance criteria, look for evidence that confirms:

the knowledge requirements of this unit

the skill requirements of this unit

application of the Employability Skills as they relate to this unit (see Employability Summaries in Qualifications Framework)

performance under general direction with responsibility within a generally defined area for inspections and monitoring undertaken in a range of (3 or more) contexts (or occasions, over time)

Resources required to carry out assessment

These resources include:

- legislation, policy, procedures and protocols relating to inspection and monitoring
- case studies and workplace scenarios to capture the range of inspection and monitoring situations likely to be encountered

Where and how to assess evidence

Valid assessment of this unit requires:

- a workplace environment or one that closely resembles normal work practice and replicates the range of conditions likely to be encountered when undertaking inspections and monitoring, including coping with difficulties, irregularities and breakdowns in routine
- performance under general direction with responsibility within a generally defined area for inspections and monitoring undertaken 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
- demonstration
- observation
- questioning
- scenarios
- simulation or role plays
- 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 ***bold italics*** in the Performance Criteria is explained here.

- Activities*** may include:
- inspections/examinations
 - monitoring
 - surveillance
 - focused and benchmark audit activities
 - remote monitoring
 - other compliance assurance activities
- Procedures*** may include:
- observation
 - handling procedures
 - sampling procedures
 - rejection procedures
 - storage procedures
 - disinfection procedures
 - treatment procedures
 - organisational guidelines and code of conduct
 - incident reporting procedures
 - safety procedures
 - emergency procedures
 - evacuation procedures
- Resources and equipment*** may include:
- inspection equipment
 - personal protective equipment - respirators, gloves, overalls, boots, hearing protection, goggles, masks etc
 - test kit equipment
 - recording equipment
 - storage equipment/facilities
 - entry authority/warrant
 - Global Positioning System (GPS) equipment
 - communication equipment
 - computers
 - satellite imagery
 - aerial photographs
 - spatial data and information
 - vehicles - 2 or 4 wheel drive
- Legislation*** may include:
- Commonwealth legislation and regulations, for example:
 - Commonwealth Quarantine Act 1908, proclamations and

- regulations
- Crimes Act 1914 and Criminal Code Act 1995
- Customs Act 1901 and regulations
- Wildlife Protection Act 1982
- Export Control Act 1982
- Imported Foods Act 1996
- Occupational Health and Safety Act 1988
- State, Territory and Local Government legislation and regulations, such as those relating to:
 - agriculture
 - horticulture
 - conservation and land management
 - fisheries
 - environmental protection
 - building
 - water
 - emergencies
 - international legislation/codes of behaviour

Inspections and monitoring activities may relate to:

- aircraft
- airfreight
- animal products
- animals
- cargo
- cereals
- collection of biological specimens
- disposal of organic waste
- fresh produce
- goods
- land condition, such as:
 - topography
 - salinity
 - erosion
 - weed infestation
 - vermin infestation
 - fire hazard
 - over grazing
- land improvements, such as:
 - fences
 - buildings
 - sporting or playground equipment

- irrigation infrastructure
- sewerage infrastructure
- waterfront occupations
- community structures
- land usage
- leases and other tenures, to ensure compliance with conditions
- licence/permit compliance (e.g. vegetation clearing)
- live fish
- livestock
- mail
- mineral samples
- passenger baggage
- people
- pests
- plant products
- plants
- premises
- properties
- reserves and their use/s
- survey activities to maintain readiness for district emergency plans
- vector monitoring
- vessels
- supervisors
- senior policy officers
- senior inspectors
- line managers
- project managers
- program managers
- inspection specialists

General direction may include:

Risk management strategies may include:

- monitoring
- treatment
- containment
- control
- eradication
- destruction
- biosecurity strategies

Non-compliance may include:

- both routine and non-routine matters of a more complex or detailed nature with discretion to determine appropriate action
- referral to senior staff of decisions that are more difficult, or of potential interest to external parties such as the media, public, political parties etc

- Action** may include:
- advice
 - warning
 - formal notification of intent
 - infringement notices
 - on-the-spot fines
 - court prosecution
- Collection of evidence** may include:
- observation
 - interviewing
 - seizure
 - sampling
 - specimen collection
 - recording
 - maintenance of case files
 - determination of land ownership
- Records** may include:
- notes
 - case files
 - statistics
 - forms (application forms, disease notification forms, etc)
 - notices (seizure notice, infringement notice, etc)
 - invoices
 - receipts
 - commercial documentation such as bills of lading, airway bills

Unit Sector(s)

Not applicable.

Competency field

Regulatory.