



**Australian Government**

**Department of Education, Employment and Workplace Relations**

# **PMAOMIR407B Audit incident preparedness and established response systems**

**Revision Number: 1**

## **PMAOMIR407B Audit incident preparedness and established response systems**

### **Modification History**

Not applicable.

### **Unit Descriptor**

<b>Unit descriptor</b>	This unit covers the competency to assess the extent to which a facility is prepared to respond to an incident. This could apply to all of the realistically potential incidents which might occur to an organization, including those under its safety case. The person undertaking the audit would typically respond to the incident manager.
------------------------	---

## Application of the Unit

<b>Application of the unit</b>	<p>In a typical scenario the person would undertake an analysis of existing incident preparedness and response systems as part of a continuous improvement process or spot check. Part of the audit may involve the conducting of an unscheduled incident response drill, analysing the results and providing a thorough debrief of the persons involved. The person then may make recommendations for changes to the system</p> <p>Key aspects of the competency include:</p> <ul style="list-style-type: none"> <li>• thorough examination of each of the various systems in place</li> <li>• identifying key areas where systems overlap or system breakdowns occur</li> <li>• ensuring that the established systems are working in accordance to the incident response plan and legislative requirements</li> </ul> <p>The person may:</p> <ul style="list-style-type: none"> <li>• communicate extensively within and outside the organisation</li> <li>• review and audit practices and processes relevant to incident response</li> <li>• identify and as necessary reinforce system benchmarks</li> <li>• provide input towards system continuous enhancement.</li> <li>• conduct and assess incident exercises as required.</li> </ul> <p>Generally the person would be an incident coordinator, manager or technical specialist and be part of an incident response team during the incident. They may have an ongoing role for managing incident information and/or the incident information system.</p>
--------------------------------	---

## Licensing/Regulatory Information

Not applicable.

## Pre-Requisites

<b>Prerequisite units</b>		
---------------------------	--	--

## Employability Skills Information

<b>Employability skills</b>	This unit contains employability skills.
-----------------------------	--

## Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.	Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.
---	--

## Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Benchmarks for audit are clearly identified	<p>1.1. Access, interpret and clarify the legislative, statutory and site requirements relating incident preparedness and response systems</p> <p>1.2. Access and review relevant documentations of the plan and established management systems</p> <p>1.3. Conduct consultations with stakeholders and specialist as necessary</p>
2. Plan, organise and undertake audit of the established incident response systems	<p>2.1. Identify or develop methods to audit the established management systems and processes as prescribed by the plan and/or legislation in consultation with relevant personnel</p> <p>2.2. Identify and secure the resources required to conduct the audit</p> <p>2.3. Gather and sight relevant documents and all other evidence required in accordance with procedures</p> <p>2.4. Conduct the audit according to prescribed/pre-agreed methodology and in a manner that enhances the organisation's confidence and commitment to the incident response system</p>
3. Evaluate and report the results of the audit	<p>3.1. Evaluate evidence gathered for reliability, validity, authenticity, sufficiency, currency and consistency</p> <p>3.2. Promptly bring to the attention of relevant personnel any findings which have serious or immediate risks</p> <p>3.3. Disseminate records of the process and outcomes of the audit, including justifiable recommendations complying with procedures, to appropriate personnel in a timely manner</p>
4. Follow up results of the audit	<p>4.1. Discuss and confirm results with relevant personnel and provide feedback including advice on corrective actions</p> <p>4.2. Follow up corrective actions relating to deficiencies until resolution has been achieved</p>

## Required Skills and Knowledge

### REQUIRED SKILLS AND KNOWLEDGE

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

#### Required skills

Competence includes the ability to isolate the causes of problems within the incident response system and to be able to distinguish between causes of problems indicated by:

- audit methods fail to provide sufficient qualitative and quantitative data
- audits fail to identify key system failures
- actions arising from audits do not translate into improvements in the system
- relationships between incident response partner organisations do not function as intended.

#### Required knowledge

The knowledge referred to in the Evidence Guide for this unit includes:

- relevant legislation
- relevant company policy management systems/procedures relating to incident preparedness and response
- company requirements in relation to audit and review procedures
- hazard identification and control
- OHS requirements
- risk management principles and techniques
- incident containment tactics.

## Evidence Guide

### EVIDENCE GUIDE

The Evidence Guide provides advice on assessment and must be read in conjunction with the Performance Criteria, Required Skills and Knowledge, the Range Statement and the Assessment Guidelines for the Training Package.

#### Overview of assessment

Assessment for this unit of competency will be by way of simulation or observation under incident conditions. The unit will be assessed in as holistic a manner as is practical and may be integrated with the assessment of other relevant units of competency. Assessment will occur over a range of situations which can include a variety of incident circumstances.

Simulations must, as closely as possible, approximate actual incident conditions and should be based on the actual facility. Assessments should include walk-throughs of the relevant competency components and may include the use of case studies/scenarios and role plays. This unit of competency requires a significant body of knowledge which will be assessed through questioning and the use of 'what-if' scenarios both in the facility (during demonstration of normal operations and walk-throughs of abnormal operations) and off the site.

#### Critical aspects for assessment and evidence required to demonstrate competency in this unit

Consistent performance should be demonstrated. In particular look to see that competence in this unit reflects successful assessment in the critical aspects of:

- safe conduct of audit and review
- identification of benchmarks for audit and review
- development of methodologies for effective audit and review
- compliance with prescribed methodologies for audit and review
- evaluation of documents and evidence
- demonstrated understanding of the value of accuracy, attention to detail and impartiality
- information gathering, analysis and communication

These aspects may be best assessed using a range of scenarios/case studies/what-ifs as the stimulus with a walk through forming part of the response. These assessment activities should include a range of problems, including new, unusual and improbable situations which may have been generated from the past incident history of the plant, incidents on similar plants around the world, hazard analysis activities and similar sources.

#### Context of and specific resources for assessment

Assessment will require (1) access to an accurately simulated environment or (2) a suitable method of gathering evidence of responding ability over a range of situations. A bank of scenarios/case studies/what-ifs and a bank of questions to probe the reasoning behind

<b>EVIDENCE GUIDE</b>	
	the observable actions will likewise be required.
<b>Method of assessment</b>	It may be appropriate to assess this unit concurrently with other relevant units.
<b>Guidance information for assessment</b>	Assessment processes and techniques must be culturally appropriate and appropriate to the oracy, language and literacy capacity of the assessee and the work being performed.

## Range Statement

### RANGE STATEMENT

The Range Statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the Performance Criteria, is detailed below. Add any essential operating conditions that may be present with training and assessment depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts.

<b>Codes of practice/ standards</b>	Where reference is made to industry codes of practice, and/or Australian/international standards, the latest version must be used.
<b>Context</b>	<p>Management systems include (but are not limited to):</p> <ul style="list-style-type: none"> <li>• evacuation</li> <li>• emergency operations structure</li> <li>• communications</li> <li>• information management</li> <li>• documentation and reporting requirements</li> <li>• resource management</li> <li>• training</li> <li>• audit and review system</li> <li>• financial management</li> </ul> <p>Documents and evidence may include:</p> <ul style="list-style-type: none"> <li>• electronic databases</li> <li>• videos</li> <li>• photographs</li> <li>• written information/records</li> <li>• training and learning programs</li> </ul>
<b>Health, safety and environment (HSE)</b>	All operations to which this unit applies are subject to stringent health, safety and environment requirements, which may be imposed through State or Federal legislation, and these must not be compromised at any time. Where there is an apparent conflict between Performance Criteria and HSE requirements, the HSE requirements take precedence.
<b>Relationship to Major Hazard Facility Legislation</b>	<p>Organisations within the Chemical, Hydrocarbons and Oil Refining industries may find themselves falling under the provisions of various Major Hazard Facilities legislation. In developing this unit consideration has been given to the requirements of Sections 8 and 9 of the National Standard for the Control of Major Hazard Facilities [NOHSC:1014(2002)] and the National Code of Practice for the Control of Major Hazard Facilities [NOHSC:2016(1996)].</p> <p>This unit will assist individuals to meet some of their obligations under the relevant State or Territory legislation. Responsibility for appropriate contextualisation and application of the unit to ensure</p>

**RANGE STATEMENT**

	compliance however, remains with the individual organisation.
--	---

**Unit Sector(s)**

<b>Unit sector</b>	Support/generic
--------------------	-----------------

**Competency field**

<b>Competency field</b>	
-------------------------	--

**Co-requisite units**

<b>Co-requisite units</b>		
---------------------------	--	--