PSPREG017 Undertake compliance audits

Release: 1

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Modification History

Release	Comments
1	This unit was released in PSP Public Sector Training Package release 1.0 and meets the Standards for Training Packages. This unit supersedes and is equivalent to PSPREG417A Undertake compliance audits. • Unit code updated • Content and formatting updated to comply with the new standards • All PC transitioned from passive to active voice

Application

This unit describes the skills required to perform comprehensive compliance audits. It includes assisting in and undertaking preliminary audit planning, undertaking compliance audits as a member of a team, dealing with audit issues, and contributing to the reporting and presentation of audit findings.

This unit applies to those working in public sector roles conducting regulatory activities.

The skills and knowledge described in this unit must be applied within the legislative, regulatory and policy environment in which they are carried out. Organisational policies and procedures must be consulted and adhered to.

Those undertaking this unit would work independently as part of a team, performing complex tasks in a range of familiar contexts.

No licensing, legislative or certification requirements apply to unit at the time of publication.

Competency Field

Regulatory

Elements and Performance Criteria

ELEMENTS	PERFORMANCE CRITERIA
Elements describe the essential	Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used,

outcomes	further information is detailed in the range of conditions section.
1. Assist in audit planning	1.1 Identify the audit objectives, scope and focus. 1.2 Identify relevant operational and information systems in the audit context. 1.3 Identify audit team roles and key audit techniques. 1.4 Prepare an audit plan that meets organisational requirements and the objectives of the audit. 1.5 Prepare audit documentation. 1.6 Conduct pre audit communication with the client to be audited.
2. Undertake preliminary activities	2.1 Identify concepts, systems and reports relevant to the audit. 2.2 Perform analytical checks are performed. 2.3 Make and consider initial assessment to ensure it is appropriate and accurate. 2.4 Identify appropriate and significant controls and design control tests. 2.5 Undertake risk assessment activities to determine risks and risk treatments necessary.
3. Undertake audit activity as a member of a team	3.1 Identify sampling techniques to suit audit requirements and apply. 3.2 Test and assess controls in accordance with the audit plan 3.3 Conduct substantive testing when necessary. 3.4 Select and use technology in line with audit requirements. 3.5 Prepare audit documentation and working papers according to the established format.
4. Deal with audit issues	4.1 Identify and refer situations requiring specialist input. 4.2 Identify and refer situations requiring referral to other areas or agencies promptly. 4.3 Deal with issues which arise during the audit in a professional manner.
5. Contribute to the reporting and presentation of audit findings	5.1 Prepare audit reports in the approved format. 5.2 Conduct discussions with the client on audit findings in a professional manner. 5.3 Prepare internal reports in the required style and format. 5.4 Make final recommendations on action promptly. 5.5 Receive responses to audit recommendations and finalise the audit. 5.6 Record audit findings in information management systems.

Foundation Skills

Foundation skills are embedded within the elements and performance criteria of this unit.

Unit Mapping Information

This unit supersedes and is equivalent to PSPREG417A Undertake compliance audits.

Links

Companion Volume implementation guides are found in VETNet - https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=bebbece7-ff48-4d2c-8876-405679019623

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