



**Australian Government**

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

# **PSPRAIL601A Coordinate audit or inspection programs**

**Revision Number: 2**

## **PSPRAIL601A Coordinate audit or inspection programs**

### **Modification History**

PSPRAIL601A Release 2: Layout adjusted. No changes to content.

PSPRAIL601A Release 1: Primary release.

### **Unit Descriptor**

This unit covers the development and coordination of audit or inspection programs using a risk management approach informed by intelligence and occurrence information.

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

### **Application of the Unit**

In the workplace, staff members must be able to plan and coordinate a structured, strategic audit or inspection program consistent with legislative requirements and using a risk management approach to determining the focus, scope, scheduling and frequency of audits or inspections. They must have a good understanding of risk management and audit principles, analytical skills to interpret intelligence and occurrence information from operators, and judgment to assess organisations against risk indicators and make decisions on risk ratings and related audit or inspection requirements.

### **Licensing/Regulatory Information**

Not applicable.

### **Pre-Requisites**

Not applicable.

### **Employability Skills Information**

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 required performance needed to demonstrate achievement of the element. Where ***bold italicised*** text is used, further information is detailed in the range statement. Assessment of performance is to be consistent with the evidence guide.

## Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
<b>1. Prepare for audit or inspection program</b>	<p>1.1 Requirements for safety audits, random or targeted audits or joint national audits are confirmed.</p> <p>1.2 <b>Risk indicators</b> to be used for identifying organisations for <b>audit</b> or inspection are confirmed in accordance with organisational policies, procedures and guidelines.</p> <p>1.3 Information on the current performance of organisations and their operating environment is gathered and analysed.</p> <p>1.4 Intelligence and occurrence information are analysed against risk indicators and risk ratings are determined in accordance with risk management principles and legislative requirements.</p> <p>1.5 Data to be used for risk analysis is valid, sufficient, current and verifiable.</p>
<b>2. Schedule audits or inspections</b>	<p>2.1 Type, scope and frequency of audits or inspections for rail transport operators are determined in accordance with risk management principles and legislative requirements.</p> <p>2.2 All elements of the system are audited over a prescribed period, with audit priority assigned to those matters representing greatest risk and those that need to be audited in that period.</p> <p>2.3 Audit or inspection schedule is prepared, including assigning responsibility for conducting audit or inspection, in accordance with organisational policies, procedures and guidelines.</p> <p>2.4 Audit or inspection schedule is structured to take into account the impact on the business operations of rail organisations, as far as is reasonably practicable.</p> <p>2.5 Audit or inspection timetable takes account of the scheduling of national audits, human and other resource requirements.</p> <p>2.6 Audit program is reviewed and re-prioritised when necessary.</p>
<b>3. Review audit or inspection program</b>	<p>3.1 Quality of conducted audits or inspections is evaluated against <b>specified requirements</b>, and anomalies and inconsistencies are identified.</p> <p>3.2 <b>Moderation</b> processes are used in accordance with organisational policies, procedures and guidelines to ensure a consistent approach to audit or inspection.</p> <p>3.3 Improvements in audit or inspection practices and processes are identified and implemented in accordance with organisational policies, procedures and guidelines.</p> <p>3.4 Analysis of audit or inspection data is undertaken to identify</p>

**ELEMENT****PERFORMANCE CRITERIA**

risk issues and trends for the industry or for particular types of industry organisations.

3.5 Strategic information on issues and trends is provided to management and other *stakeholders* in accordance with organisational policies, procedures and guidelines.

## Required Skills and Knowledge

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

### Required skills:

Look for evidence that confirms skills in:

- applying legislation and guidelines relating to coordination of audits and inspections
- researching information related to special safety audits, random or targeted audits or joint national audits
- analysing intelligence and occurrence information
- determining risk ratings
- planning and organising to prepare for and schedule audit and inspection programs
- communicating with others, involving the explanation of complex information relating to audit and inspection scheduling, using a risk management approach
- numeracy to confirm accuracy of numerical information
- decision making in relation to audit and inspection outcomes
- self-management to work ethically and in accordance with legislation
- using technology to conduct research, make enquiries, review available data, access legislative requirements and prepare schedules
- responding to diversity, including gender and disability
- applying environmental and occupational health and safety procedures to administrative work when preparing, scheduling and reviewing audits and inspections

### Required knowledge:

Look for evidence that confirms knowledge and understanding of:

- rail safety risks presented by different operators
- risk management principles and practices
- moderation processes
- legislative, regulatory and procedural requirements for coordinating audits and inspections

## 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.

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

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 employability skills as they relate to this unit
- coordinating audit or inspection programs in a range of 3 or more contexts or occasions, over time

### **Context of and specific resources for assessment**

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 coordinating audit or inspection programs, including coping with difficulties, irregularities and breakdowns in routine

Resources essential for assessment include:

- legislation and guidelines relating to coordination of audit or inspection programs, based on a risk management approach
- organisational procedures/guidelines and protocols relating to coordination of audit or inspection programs
- scenarios and/or case studies to capture the range of situations likely to be encountered when coordinating audit or inspection programs
- access to relevant systems

### **Method of assessment**

Assessment methods suitable for valid and reliable assessment of this unit must use authenticated evidence from the workplace and/or training courses and may include, but are not limited to, a combination of 2 or more of:

- demonstration
- observation
- simulation or role plays
- case studies/scenarios
- workplace projects
- portfolios
- authenticated evidence from the workplace and/or training courses

The assessment environment should not disadvantage the candidate and where the person has a disability the principle of reasonable

adjustment should be applied during assessment

Assessment methods should reflect but not exceed workplace demands, such as literacy demands 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

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

- PSPETHC601B Maintain and enhance confidence in public service
- PSPGOV602B Establish and maintain strategic networks
- PSPLEGN601B Manage compliance with legislation in the public sector
- PSPMNGT608B Manage risk
- PSPREG601B Manage regulatory compliance
- PSPREG602B Evaluate regulatory compliance
- PSPREG603A Manage and lead inspection and monitoring programs

### **Guidance information for assessment**

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

Assessing employability skills:

- employability skills are integral to effective performance in the workplace and are broadly consistent across industry sectors
- the way these skills are applied varies between occupations and qualifications due to the different work functions and contexts
- employability skills embedded in this unit of competency should be assessed holistically with other relevant units that make up the skills set or qualification, and in the context of the job role

In practice, coordinating audit or inspection programs overlaps with other generalist or specialist work activities, such as acting ethically, managing risk, managing and evaluating regulatory compliance, and managing and leading inspection programs. Co-assessment with units of competency addressing these other

activities could be considered.



## 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.

- Risk indicators*** may be:
- performance risk indicators, such as compliance history, occurrence notification report data, history of complaints, previous audit results, annual safety reports, whether identified faults have been addressed
  - operational risk indicators, such as scope of operations, high risk activities, period since last audit or inspection, whether all elements of the system have been audited over time, multiple sites, subcontractors, etc.
- Audits:***
- are planned, systematic and documented processes used to assess the extent of compliance with accreditation requirements
  - are conducted in a way that encourages organisations to demonstrate compliance and make improvements
  - provide feedback to support continuous improvement of operations and outcomes
- Specified requirements*** may include:
- regulator's quality management systems and procedures
  - links to priorities
  - sufficiency and targeting of sampling used
  - checks that previous faults have been rectified
- Moderation:***
- is a process which involves auditors/inspectors discussing and reaching agreement about audit/inspection processes and outcomes in a particular industry or industry sector
  - enables auditors/inspectors to develop a shared understanding of the requirements of the audit/inspection criteria, relevant guidelines, nature of evidence, how evidence is collected and basis on which audit/inspection decisions are made
  - is used to ensure a consistent approach to audit or inspection practices
  - is used to improve reliability of outcomes
- Stakeholders*** may include:
- senior management
  - government
  - accredited rail organisations
  - contractors
  - industry
  - unions

## **Unit Sector(s)**

Not applicable.

## **Competency field**

Rail Safety Regulation.