



Australian Government

Department of Education, Employment and Workplace Relations

PSPREG505A Conduct measurement licensee audit

Revision Number: 3

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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 the ability to undertake quality and performance audits of organisations and individuals operating under the scope of a licence for performing measuring activities. It includes planning, organising and undertaking an audit; and evaluating, recording and providing advice on audit results.

In practice, auditing may overlap with other generalist or specialist public sector work activities, such as acting ethically, complying with legislation, applying government systems, managing change, managing diversity, and managing evaluations.

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

Application of the Unit

This unit of competency applies to public officers appointed under legislation to complete quality documentation and performance audits of organisations and individuals licensed under legislation to perform measurement activities.

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 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
1. Prepare for audit.	1.1. Establish audit scope in accordance with legislative requirements and organisational procedures. 1.2. Identify and access activity specialists to support audit as required. 1.3. Access and review licensee history. 1.4. Access and interpret <i>information appropriate</i> to the audit. 1.5. Make arrangements with licensee for a quality or observation audit. 1.6. Identify and access <i>test equipment</i> , products and consumables required for the audit. 1.7. Ensure required test equipment is fit for purpose in accordance with applicable <i>legislation</i> and organisational procedure. 1.8. Plan activities to meet audit objectives and minimise disruption to business operations.
2. Conduct a quality audit.	2.1. Schedule entry meeting to confirm audit scope and objectives. 2.2. Confirm operational procedures and assessment methods for the audit with appropriate personnel. 2.3. Collect information that is adequate, representative and meets audit requirements. 2.4. Use audit methods and techniques to evaluate <i>relevant information</i> . 2.5. Review documentation and procedures relating to the licence and associated activities for compliance with regulatory requirements. 2.6. Identify and report patterns, trends and areas of risk. 2.7. Maintain the rights of the licensee at all times.
3. Conduct a performance audit.	3.1. Identify the scope of the activity being audited and the expected outcomes. 3.2. Identify relevant local workplace, health and safety issues and implement appropriate control strategies. 3.3. Evaluate the skills and knowledge of authorised person completing the licensed activity. 3.4. Inspect result of the licensed activity for compliance with legislative requirements. 3.5. Assess performance audit outcomes against expected outcomes. 3.6. Maintain the rights of licensee at all times.
4. Analyse and report audit results.	4.1. Examine information, test results and observations against audit objectives and <i>prescribed performance criteria</i> .

- 4.2. Analyse audit data for isolated and systemic quality and performance issues.
 - 4.3. Complete inspection documentation, including recommendations for improvement, in accordance with legislative requirements and organisational procedures.
 - 4.4. Communicate inspection results within specified time and according to organisational guidelines.
 - 4.5. Recommend follow-up actions as appropriate.
- 5. Act on non-compliance.**
- 5.1. Select applicable *remedial* or *enforcement action* for the non-compliance in accordance with legislative requirements, and organisational policy and procedures.
 - 5.2. Inform licensee of non-compliance and consequences of failing to have it corrected.
 - 5.3. Implement enforcement action in accordance with legislative requirements, and organisational policy and procedures.
 - 5.4. Maintain the rights of the licensee at all times.

Required Skills and Knowledge

This section describes the skills and knowledge required for this unit.

Required skills

- literacy skills to access, read and interpret:
 - complex and formal documents
 - technical data
 - regulatory requirements
 - organisational policies and procedures
- numeracy skills to analyse test results
- initiative and enterprise skills to:
 - identify and resolve potential problems and seek out information
 - apply risk management principles to local workplace OHS issues and control strategies
- self-management skills to:
 - modify activities to cater for variations in workplace contexts and environment
 - demonstrate attention to detail
- technology skills to:
 - select and apply appropriate technology, information systems and procedures
 - use recording, testing and specialised evidence collection equipment
- interpersonal skills to:
 - respond to diversity, including disability and gender
 - relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- communication skills to:
 - justify or explain the assessment decision and recommended corrective action
 - listen and question in complex exchanges of oral information
- teamwork skills to work with a variety of professionals
- organisational and planning skills to:
 - implement methodical and systematic approaches
 - prioritise work and coordinate self and others in relation to workplace activities
- time-management skills to:
 - plan for licensee's operation schedules and keep downtime to a minimum and use of travel time effective
 - ensure corrective actions are dealt with in a timely manner

Required knowledge

- auditing systems
- risk management principles
- hazards that may exist when conducting an audit and ways of controlling risks involved
- national measurement and OHS legislation
- powers of inspectors
- use of audit/assessment tools
- industry practices and procedures relating to measurement process and verification of measuring instruments
- organisational reporting procedures relating to quality audits
- legal issues and terminology relating to quality audits
- audit methods and techniques
- codes of practice, regulations and standards, such as:
 - ISO 9000:2000 Quality management Systems - Fundamentals and Vocabulary
 - ISO 19011:2003 Guidelines for Quality and/or Environmental Management Systems Auditing
 - AS17025 General requirements for the competence of testing and calibration laboratories
- product and service knowledge relating to measurement process and verification of measuring instruments
- quality principles and techniques relating to measurement process and verification of measuring instruments
- current audit practices

Evidence Guide

The Evidence Guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

Overview of assessment	Competency must be demonstrated in the ability to perform quality and performance audits on a range of licensed trade measurement activities.
Critical aspects for assessment and evidence required to demonstrate competency in this unit	<p>Assessment must confirm the ability to:</p> <ul style="list-style-type: none">• identify, access and apply legislation, test procedures• prepare appropriate audit plans which outline audit schedule, proposed activities, risk analysis, treatment of identified risks• gather data and information by a variety of methods• analyse the information gathering during an audit to identify any compliance issues• recognise and act on non-compliance• maintain the security and confidentiality of data according to organisational and regulatory requirements• report results in the required formats and expected timeframe• carry out appropriate follow-up actions.
Context of and specific resources for assessment	<p>This unit of competency is to be assessed in the workplace or a simulated workplace environment.</p> <p>Access may be required to:</p> <ul style="list-style-type: none">• computer and relevant software and/or organisation information management systems• licence conditions• national measurement legislation• audit procedures.
Method of assessment	<p>The following assessment methods are suggested:</p> <ul style="list-style-type: none">• questions to assess understanding of relevant procedures, trader obligations and remedial actions• examination of a portfolio of evidence demonstrating ability to conduct a measurement licensee audit• feedback from supervisors and peers regarding the candidate's ability to conduct measurement licensee audit in accordance with legislative and organisational procedures• observation of the candidate conducting a quality and performance audit.

In all cases, practical assessment should be supported by questions to assess underpinning knowledge and those aspects of competency which are difficult to assess directly. Questioning techniques should suit the language and literacy levels of the candidate.

**Guidance information
for assessment**

Industry representatives have provided case studies to illustrate the practical application of this unit of competency and to show its relevance in a workplace setting. These can be sourced from the National Measurement Institute.

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. 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) may also be included.

Appropriate information may include:

Note: Where reference is made to information, it is expected the most up-to-date information will be used.

Test equipment may include:

Legislation may include:

Relevant information may include:

Prescribed performance criteria for instruments may include:

- reference standard
- certificates of verification
- certificates of approval for measuring instruments
- test procedures for measuring instruments
- organisational test reports
- organisational procedures, such as those found in company quality assurance manuals
- national measurement legislation
- OHS regulations, guidelines and procedures
- material data safety sheets (MSDS)
- equipment manuals and warranties
- supplier catalogues and handbooks
- reference standards of measurement
- equipment, such as:
 - control instruments
 - weighing instruments
 - pumping units
 - two-way communication
 - hoses and fittings
 - rail wagons, trains and tankers
- LPG cylinders
- national measurement legislation
- applicable commonwealth, state and territory OHS legislation
- test reports
- safety procedures
- history of equipment calibration and test results
- criteria described in national measurement legislation
- certificates of approval
- national test procedure
- organisational policy and procedures

Remedial action may include:

- rectification advice

Enforcement action may include:

- formal warnings
- infringement notices
- formal undertakings
- injunctions
- prosecution
- varying, suspending or cancelling a licence

Unit Sector(s)

Not applicable.

Competency field

Regulatory.