Australian Government

Department of Education, Employment and Workplace Relations

PSPWPI605B Audit management systems

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 competency to undertake audits of workplace occupational health and safety and/or workers compensation and/or injury management and/or workplace relations and other management systems. It includes planning, organising and undertaking an audit; and evaluating, recording and providing advice on audit results.

In practice, auditing management systems 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, managing evaluations.

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

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**, **organise and undertake audit**	1.1 The *resources required to conduct* the *audit* are identified and obtained.
	1.2 The *relevant parties* are consulted and informed of *audit plans* in accordance with the organisation's policy and procedures.
	1.3 The environment is assessed for personal safety.
	1.4 The environment is assessed to ensure that it permits the audit to be fair, valid and reliable.
	1.5 The audit arrangements and requirements are explained to the persons involved in the audit and to the relevant parties, and their understanding of the purpose and processes is confirmed.
	1.6 *Documents* are sighted and all other evidence specified in the *audit procedure* is gathered in accordance with the organisation's policy and procedures and confidentiality is maintained.
2. **Evaluate audit results**	2.1 *Evidence* gathered is evaluated for reliability, validity, authenticity, sufficiency, currency, and consistency in the achievement of the specific standards.
	2.2 The *assessment* decision is made in accordance with the purpose and objectives of the audit.
	2.3 Guidance is sought if in doubt, from a more experienced auditor/s.
3. **Record audit results**	3.1 The audit results are recorded and processed in accordance with organisational auditing procedures.
	3.2 Access to the audit records is provided only to authorised personnel
	3.3 Confidentiality of the audit outcome is maintained.
4. **Provide advice on audit results**	4.1 Audit results are discussed and confirmed with the persons involved in the audit.
	4.2 Feedback including advice on corrective action/s required is given to persons involved in the audit.
	4.3 Any audit decision that may be disputed is reported in accordance with the organisation's policy and procedures.

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:

- applying risk management principles
- working with a variety of professionals
- paying attention to detail
- implementing methodical and systematic approach
- using recording, testing and specialised evidence collection equipment
- auditing systems
- justifying/explaining the assessment decision and recommended corrective action
- using communication involving complex exchanges of oral information, reading and analysing complex and formal documents
- responding to diversity, including disability and gender

Knowledge requirements

Look for evidence that confirms knowledge and understanding of:

- risk management principles
- legislation, codes, standards
- management systems
- powers of inspector, jurisdiction
- use of audit/assessment tools
- industry practices and procedures
- quality management principles
- organisational auditing procedures
- management system principles

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: - PSPETHC601B Maintain and enhance confidence in public service - PSPGOV601B Apply government systems - PSPLEGN601B Manage compliance with legislation in the public sector - PSPMNGT602B Manage resources - PSPMNGT608B Manage risk - PSPMNGT611A Manage evaluations
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) - management systems audited 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 workplace legislative compliance - case studies and workplace scenarios to capture the range of situations likely to be encountered when auditing management systems
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 auditing management systems, including coping with difficulties, irregularities and breakdowns in routine

- management systems audited 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
- portfolios
- questioning
- scenarios
- 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.

Resources required to conduct the audit may include:	- financial, such as: - budget allocations - travelling/subsistence allowances - motor vehicle hire - physical, such as: - motor vehicles - measuring equipment - photographic equipment - computer equipment - office location - personal protective equipment - telephone equipment - stationery - documentation (e.g. standards) - electronic recording equipment - office communication equipment
Audits may be conducted by:	- an auditor working on his/her own - a team comprising subject technical knowledge expert/s and a lead auditor - an auditor working in conjunction with an experienced auditor, trainer and/or supervisor
Audit may include:	- assessment - examination/test - structured inspection of workplaces to validate management systems - national/state or other relevant assessment instruments - results of internal and external monitoring
Relevant parties may include:	- the auditors - key members/representatives of the organisation being audited - nominated contact person/s - managers concerned with the unit/section being audited - audit manager

- audit team leader
- audit team members
- project manager
- employer association
- employee association
- community groups
- industrial commission
- insurance companies
- employer
- employee
- principal contractor

Audit plan may address:	• the scope, purpose and objectives of the audit • competency of auditor/s • recordkeeping and processing arrangements • evaluation and review mechanisms • quality assurance methods • legislation • codes of practice • standards • guidance materials • benchmarks
Documents may include:	• electronic databases • videos • intra/internet sites • training/learning programs • photographs • written information
Audit procedure may specify:	• recording procedure • audit methods used • evidence required • location • timing of audit
Evidence may include:	• documented instruction relating to the performance of tasks • sets of oral/written/computer-based questions • checklists • logbooks • working guides • manuals • technical reports • standard operating procedures/work method statements • policies and procedures • employer/employee records • contractor records • third party records • use of technology • outcome of interviews • outcome of focus groups
Assessment methods may include:	• direct observation of performance • practical tasks • written/oral/computer-based questioning

- consideration of third party reports
- consideration of authenticated prior achievements
- use of measuring and testing equipment
- combination of methods
- statistical data relating to safety and health injury/disease and/or workplace relations

Unit Sector(s)

Not applicable.

Competency field

Workplace Inspection.