



**Australian Government**

# **POLGEN007 Review policing governance and accountability compliance**

**Release: 1**

# POLGEN007 Review policing governance and accountability compliance

## Modification History

| Release | Comments                                                                                                                                                                                                                                                                                                                                                                                                                                               |
|---------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1       | <p>This unit was released in POL Police Training Package release 1.0 and meets the Standards for Training Packages.</p> <p>This unit supersedes and is equivalent to PUAPOL804 Manage an internal compliance audit and review within policing.</p> <ul style="list-style-type: none"><li>• Content and formatting updated to comply with new standards</li><li>• Unit recoded POL</li><li>• Title updated</li><li>• Element 2 all PC revised</li></ul> |

## Application

This unit describes the skills required to oversee internal compliance audits and reviews, including planning, monitoring and concluding activities.

This unit applies to police managers and forms part of their responsibilities within policing hierarchies related to police legitimacy and transparency, in both a public service and public safety context.

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, particularly those related to privacy and police legitimacy.

Those undertaking this role would demonstrate strong autonomy, making strategic decisions and providing leadership to the jurisdiction supervising teams in a broad range of contexts while performing sophisticated tasks. They would provide advice and influence executive decisions for stakeholders while performing complex tasks in a range of contexts.

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

## Competency Field

General

## Elements and Performance Criteria

| ELEMENTS                                            | PERFORMANCE CRITERIA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|-----------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Elements describe the essential outcomes            | 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 of conditions section.                                                                                                                                                                                                                                                                                                       |
| <b>1. Plan internal compliance audit/review</b>     | 1.1 Assess the business activity and/or information from stakeholders to inform the scope and objectives of the audit/review.<br>1.2 Define scope and objectives of audit/review.<br>1.3 Design the compliance audit/review, including method, roles and responsibilities.<br>1.4 Evaluate audit/review plan to ensure it meets objectives and jurisdictional expectations.<br>1.5 Identify potential sources of information/intelligence to inform audit/review.                                             |
| <b>2. Conduct internal compliance audit/review</b>  | 2.1 Communicate the objectives, scope, roles and responsibilities of the audit/review to audit/review team and stakeholders.<br>2.2 Collect information/intelligence to facilitate audit/review.<br>2.3 Analyse information collected to determine its relevance as audit/review evidence.<br>2.4 Analyse audit/review evidence to identify levels of compliance and areas for improvement.<br>2.5 Develop preliminary audit/review findings and recommendations through evaluation of audit/review evidence. |
| <b>3. Monitor internal compliance audit/review</b>  | 3.1 Monitor the progress of the audit/review to determine whether any adjustments are required.<br>3.2 Conduct environmental scans to ensure contemporary nature and validity of audit/review.<br>3.3 Monitor the integrity of the audit/review to ensure audit/review outcomes are reached.<br>3.4 Manage audit/review progress in line with governance and accountability requirements.                                                                                                                     |
| <b>4. Conclude internal compliance audit/review</b> | 4.1 Evaluate preliminary audit/review findings and recommendations to determine how and what should be communicated to stakeholders.<br>4.2 Assess findings and develop recommendations to ensure compliance/improvements.<br>4.3 Review own performance throughout the audit/review process using stakeholder feedback.<br>4.4 Assess the audit/review process to inform future practice.                                                                                                                    |

## Foundation Skills

The foundation skills demands of this unit have been mapped for alignment with the Australian Core Skills Framework (ACSF). The following tables outline the performance levels indicated for successful attainment of the unit.

ACSF levels indicative of performance:

|          |   |   |   |   |         |   |   |   |   |         |   |   |   |   |                    |   |   |   |   |          |   |   |   |   |
|----------|---|---|---|---|---------|---|---|---|---|---------|---|---|---|---|--------------------|---|---|---|---|----------|---|---|---|---|
| 1        | 2 | 3 | 4 | 5 | 1       | 2 | 3 | 4 | 5 | 1       | 2 | 3 | 4 | 5 | 1                  | 2 | 3 | 4 | 5 | 1        | 2 | 3 | 4 | 5 |
| Learning |   |   |   |   | Reading |   |   |   |   | Writing |   |   |   |   | Oral communication |   |   |   |   | Numeracy |   |   |   |   |

Performance variables:

|         |   |   |   |   |         |   |   |   |   |                 |   |   |   |   |                 |   |   |   |   |
|---------|---|---|---|---|---------|---|---|---|---|-----------------|---|---|---|---|-----------------|---|---|---|---|
| 1       | 2 | 3 | 4 | 5 | 1       | 2 | 3 | 4 | 5 | 1               | 2 | 3 | 4 | 5 | 1               | 2 | 3 | 4 | 5 |
| Support |   |   |   |   | Context |   |   |   |   | Text complexity |   |   |   |   | Task complexity |   |   |   |   |

Further information on ACSF and the foundation skills underpinning this unit can be found in the Foundation Skills Guide on the GSA website.

## Unit Mapping Information

This unit supersedes and is equivalent to PUAPOL804 Manage an internal compliance audit and review within policing.

## Links

Companion Volume implementation guides are found in VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=98c3984e-2cf1-48a8-8ed1-85e4b92e7351>

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## Assessment Requirements for POLGEN007 Review policing governance and accountability compliance

### Modification History

| Release | Comments                                                                                                                                                                                                                                                                                         |
|---------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1       | <p>These Assessment Requirements were released in POL Police Training Package release 1.0 and meet the Standards for Training Packages.</p> <ul style="list-style-type: none"><li>• Assessment Requirements created drawing upon specified assessment information from superseded unit</li></ul> |

### Performance Evidence

Evidence required to demonstrate competence must satisfy all of the requirements of the elements and performance criteria. If not otherwise specified the candidate must demonstrate evidence of performance of the following on at least one occasion.

- designing internal compliance audits/reviews, including scope, objectives, method, roles and responsibilities
- communicating information to stakeholders
- collecting, analysing and evaluating information relating to audits/reviews
- scanning and monitoring information to make adjustments to audit/review and develop preliminary findings
- managing audit process to ensure outcomes are reached
- adhering to jurisdictional governance and accountability requirements
- identifying efficiencies and effectiveness of processes in line with jurisdictional requirements
- evaluating preliminary findings to determine communication requirements
- composing audit/review findings
- reviewing own performance and audit/review process for continuous improvement purposes

### Knowledge Evidence

Evidence required to demonstrate competence must satisfy all of the requirements of the elements and performance criteria. If not otherwise specified the depth of knowledge demonstrated must be appropriate to the job context of the candidate.

- current legislation, policies, standards and procedures relating to audits
- jurisdictional processes relating to internal investigation, internal business, and change management processes

- jurisdictional business continuity requirements and continuous improvement practices
- audit methodologies, including desk top audits and compliance auditing processes
- risk management frameworks
- organisational structure (including chain of command, domains of practice, functional areas)
- external accountability practices (including anti-corruption agencies)

## Assessment Conditions

This unit contains no specific industry-mandated assessment conditions. Guidance on suggested and recommended conditions and methods can be found in the Implementation Guide.

Assessors must satisfy the NVR/AQTF mandatory competency requirements for assessors.

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