



Australian Government

PSPREG005 Assess compliance

Release: 1

PSPREG005 Assess compliance

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 PSPREG403B Assess compliance. • Unit code updated • Content and formatting updated to comply with new standards • All PC transitioned from passive to active voice

Application

This unit describes the skills required to assess risk, monitor situations, environments and behaviours, and analyse information to assess compliance with legislation and/or standards. It includes monitoring areas under own jurisdiction, receiving or identifying allegations of non-compliance, and conducting research to determine levels of compliance.

This unit applies to those working in regulatory roles involving compliance assessment.

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, performing routine tasks in a range of familiar and unfamiliar 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 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.

1. Monitor areas under jurisdiction	1.1 Conduct risk assessment analysis to identify and prioritise areas for monitoring and to identify methodology 1.2 Conduct inspections and/or compliance audits. 1.3 Utilise specialist equipment when required. 1.4 Protect the safety of self and others. 1.5 Facilitate cooperation with other organisations and jurisdictions.
2. Receive or identify allegation of non-compliance	2.1 Record referrals relating to non-compliance. 2.2 Respond to possible and potential breaches promptly. 2.3 Assess preliminary information to establish the offence and validate to confirm the need for action. 2.4 Handle complainants including referral to more senior personnel as required.
3. Determine levels of compliance	3.1 Seek assistance promptly as necessary to obtain advice on methodology to adopt and prevent gaps occurring in evidence collection. 3.2 Select evidence collection methodology according to the purpose, situation and operational guidelines. 3.3 Collect, analyse and secure information and/or samples. 3.4 Ensure information and/or samples are relevant and sufficient for the purpose identified. 3.5 Assess against the requirements of the legislation and identify and document the level of compliance. 3.6 Determine further action consistent with the level of compliance and is record or report.

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 PSPREG403B Assess compliance.

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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Assessment Requirements for PSPREG005 Assess compliance

Modification History

Release	Comments
1	These Assessment Requirements were released in PSP Public Sector Training Package release 1.0 and meet the Standards for Training Packages. Assessment Requirements created drawing upon specified assessment information from superseded unit

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.

- undertaking research, analysis and problem solving in the context of assessing compliance
- applying regulations and codes of practice
- using information technology for data analysis, recording and reporting
- communicating including questioning and negotiating of meaning in sometimes difficult situations
- reading and applying complex information from legislation

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.

- public sector legislation
- organisational procedures, guidelines and protocols
- knowledge of own and others' jurisdictions
- risk management in the context of compliance assessment
- application of audit tools
- research and sampling methodologies
- security storage of evidence and/or information
- procedures for recording allegations and/or complaints
- specialist equipment

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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