



Australian Government

PSPREG017 Undertake compliance audits

Release: 1

PSPREG017 Undertake compliance audits

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 PSPREG417A Undertake compliance audits. • Unit code updated • Content and formatting updated to comply with the new standards • All PC transitioned from passive to active voice

Application

This unit describes the skills required to perform comprehensive compliance audits. It includes assisting in and undertaking preliminary audit planning, undertaking compliance audits as a member of a team, dealing with audit issues, and contributing to the reporting and presentation of audit findings.

This unit applies to those working in public sector roles conducting regulatory activities.

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 as part of a team, performing complex tasks in a range of familiar 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	Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used,

outcomes	further information is detailed in the range of conditions section.
1. Assist in audit planning	1.1 Identify the audit objectives, scope and focus. 1.2 Identify relevant operational and information systems in the audit context. 1.3 Identify audit team roles and key audit techniques. 1.4 Prepare an audit plan that meets organisational requirements and the objectives of the audit. 1.5 Prepare audit documentation. 1.6 Conduct pre audit communication with the client to be audited.
2. Undertake preliminary activities	2.1 Identify concepts, systems and reports relevant to the audit. 2.2 Perform analytical checks are performed. 2.3 Make and consider initial assessment to ensure it is appropriate and accurate. 2.4 Identify appropriate and significant controls and design control tests. 2.5 Undertake risk assessment activities to determine risks and risk treatments necessary.
3. Undertake audit activity as a member of a team	3.1 Identify sampling techniques to suit audit requirements and apply. 3.2 Test and assess controls in accordance with the audit plan 3.3 Conduct substantive testing when necessary. 3.4 Select and use technology in line with audit requirements. 3.5 Prepare audit documentation and working papers according to the established format.
4. Deal with audit issues	4.1 Identify and refer situations requiring specialist input. 4.2 Identify and refer situations requiring referral to other areas or agencies promptly. 4.3 Deal with issues which arise during the audit in a professional manner.
5. Contribute to the reporting and presentation of audit findings	5.1 Prepare audit reports in the approved format. 5.2 Conduct discussions with the client on audit findings in a professional manner. 5.3 Prepare internal reports in the required style and format. 5.4 Make final recommendations on action promptly. 5.5 Receive responses to audit recommendations and finalise the audit. 5.6 Record audit findings in information management systems.

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 PSPREG417A Undertake compliance audits.

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 PSPREG017 Undertake compliance audits

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.

- identifying problems and solutions
- using decision-making using sound judgment
- undertaking research and analysis
- evaluating conflicting requirements
- using negotiation and conflict resolution techniques
- engaging in teamwork
- adjusting communication to suit different audiences
- writing ongoing and final reports, and official correspondence
- using scanning techniques
- reading complex and formal documents using information technology for preparing written advice and reports requiring precision of expression

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.

- knowledge of principal and allied legislation, policies and procedures, including aspects of criminal law and administrative law relating to the outcomes of compliance audits
- principles of auditing as detailed in organisational policies
- duties and responsibilities of auditors
- testing procedures and methods of inquiry
- industry knowledge

- requirements for security of documents and information
- procedures for declaring conflicts of interest
- protocols for reporting fraud, corruption and maladministration
- fundamental ethical principles in the handling of documents and information, natural justice, procedural fairness, respect for persons and responsible care
- other ethics standards, including professional standards
- public sector values/ethics and code of conduct
- public sector legislation

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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