



Australian Government

Assessment Requirements for PSPREG043 Undertake compliance audits

Release: 1

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Modification History

Supersedes and is not equivalent to PSPREG017 Undertake compliance audits.

Performance Evidence

Evidence of the ability to complete tasks outlined in elements and performance criteria of this unit in the context of the job role, and:

- prepare two different audit plans
- complete documentation on two audit activities undertaken as a member of a team
- discuss and justify two final recommendations in the audit reports.

Knowledge Evidence

Demonstrated knowledge required to complete the tasks outlined in elements and performance criteria of this unit:

- principal and allied legislation, regulations, 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, including natural justice, procedural fairness, respect for persons and responsible care
- other ethics standards, including professional standards.

Assessment Conditions

Skills must be demonstrated in the workplace or in a simulated environment that reflects workplace conditions.

Assessment must ensure access to:

- legislation and regulations relating to compliance audits
- organisational policies and procedures for compliance audits
- audit documentation
- equipment and resources generally found in an operational audit environment.

Assessors must satisfy the Standards for Registered Training Organisations' requirements for assessors.

Links

Companion Volume implementation guides are found in VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=bebbece7-ff48-4d2c-8876-405679019623>