

UNIT CODE	PSPREG005
UNIT TITLE	Assess compliance
APPLICATION	<p>This unit describes the performance outcomes, skills and knowledge required to assess risk, monitor situations, environments and behaviours, and analyse information to assess compliance with legislation and/or standards.</p> <p>This unit applies to those working in regulatory roles involving compliance assessment. Those undertaking this unit would work independently, performing routine tasks in a range of familiar and unfamiliar contexts.</p> <p>The skills in this unit must be applied in accordance with Commonwealth and State or Territory legislation, Australian standards and industry codes of practice.</p> <p>No occupational licensing, certification or specific legislative or certificate requirements apply to this unit at the time of publication.</p>
PREREQUISITE UNIT	Nil
COMPETENCY FIELD	Regulatory
UNIT SECTOR	

ELEMENTS	PERFORMANCE CRITERIA
<i>Elements describe the essential outcomes</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
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 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 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 record or report.

FOUNDATION SKILLS

Foundation skills essential to performance in this unit, but not explicit in the performance criteria are listed here, along with a brief context statement.

SKILLS	DESCRIPTION
UNIT MAPPING INFORMATION	Release 1: Supersedes and is equivalent to PSPREG005 Assess compliance.
LINKS	Companion Volume Implementation Guide

TITLE	Assessment Requirements for PSPREG005 Assess compliance
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 on at least one occasion for each of the following: <ul style="list-style-type: none"> ■ undertake research, analysis and problem solving in the context of assessing compliance ■ apply regulations and codes of practice ■ use information technology for data analysis, recording and reporting ■ communicate including questioning and negotiation of meaning in sometimes difficult situations ■ read and apply complex information from legislation.

KNOWLEDGE EVIDENCE	<p>Demonstrated knowledge required to complete the tasks outlined in elements and performance criteria of this unit:</p> <ul style="list-style-type: none"> ■ public sector legislation ■ organisational procedures, guidelines and protocols ■ knowledge of own and other jurisdictions ■ risk management in the context of compliance assessment ■ application of audit tools ■ research and sampling methodologies ■ methodology used for gathering evidence ■ security storage of evidence and information ■ procedures for recording allegations and complaints ■ specialist equipment
ASSESSMENT CONDITIONS	<p>Skills must be demonstrated in either:</p> <ul style="list-style-type: none"> ■ a workplace environment or ■ a simulated environment. <p>Simulated assessment environments must simulate the real-life working environment where the skills and knowledge within this unit would be utilised, with all the relevant equipment and resources of that working environment.</p> <p>Assessment must ensure access to:</p> <ul style="list-style-type: none"> ■ legislation, regulations, policy, guidelines and standards ■ organisation values and codes of conduct. <p>Assessors must satisfy the Standards for Registered Training Organisations' requirements for assessors.</p>
LINKS	Companion Volume Implementation Guide