



**Australian Government**

**Department of Education, Employment and Workplace Relations**

# **BSBCOM406A Conduct work within a compliance framework**

**Revision Number: 1**

## BSBCOM406A Conduct work within a compliance framework

### Modification History

Not applicable.

### Unit Descriptor

|                        |                                                                                                                                                                                                                                                                                                                                                                                    |
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| <b>Unit descriptor</b> | <p>This unit describes the performance outcomes, skills and knowledge required to carry out work in accordance with the compliance framework applying to a particular job role, occupation or profession.</p> <p>A range of legislation, rules, regulations and codes of practice may apply to this unit at the time of endorsement, depending on job roles and jurisdictions.</p> |
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### Application of the Unit

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| <b>Application of the unit</b> | <p>This unit applies to individuals who identify statutory, legislative and regulatory requirements and relate them to individual work practices to ensure ongoing adherence to the compliance framework.</p> |
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### Licensing/Regulatory Information

Not applicable.

### Pre-Requisites

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| <b>Prerequisite units</b> |  |  |
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## Employability Skills Information

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| <b>Employability skills</b> | This unit contains employability skills. |
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## Elements and Performance Criteria Pre-Content

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| Elements describe the essential outcomes of a unit of competency. | Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide. |
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## Elements and Performance Criteria

| ELEMENT                                                     | PERFORMANCE CRITERIA                                                                                                                                                                                                                        |
|-------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1. Identify individual compliance requirements              | 1.1. Identify and document <b><i>statutory, legislative and regulatory requirements</i></b> relevant to job role, occupation or profession<br>1.2. Identify and document relevant <b><i>organisational and industry requirements</i></b>    |
| 2. Interpret individual compliance requirements             | 2.1. Map compliance requirements against individual position description and work practices<br>2.2. Discuss ethical considerations with relevant parties where appropriate                                                                  |
| 3. Ensure individual compliance                             | 3.1. Consult with <b><i>appropriate persons</i></b> to identify procedures to be applied, contingent on the situation<br>3.2. Reflect on personal actions in the context of compliance requirements<br>3.3. Record action taken if required |
| 4. Identify and adapt to changes in compliance requirements | 4.1. Access and analyse <b><i>documentation</i></b> relating to changes in compliance issues<br>4.2. Discuss documentation with appropriate persons to ensure ongoing compliance                                                            |

## Required Skills and Knowledge

### REQUIRED SKILLS AND KNOWLEDGE

This section describes the skills and knowledge required for this unit.

#### Required skills

- written and oral communication to apply the relevant compliance framework
- research and documentation skills to research and summarise the compliance framework relevant to job role
- self-management skills to:
  - monitor and adapt to changes in compliance issues
  - handle contingencies

#### Required knowledge

- statutory, legislative and regulatory requirements relevant to job role, occupation or profession
- codes of practice relevant to job role, occupation or profession
- organisational policies and procedures relevant to workplace
- comprehensive knowledge of individual work requirements and practices as contained in position description and occupational standards
- interpretation of statutory requirements and codes of conduct in context of individual job role

## Evidence Guide

| <b>EVIDENCE GUIDE</b>                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
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| The Evidence Guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package. |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>Overview of assessment</b>                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>Critical aspects for assessment and evidence required to demonstrate competency in this unit</b>                                                                                                                    | <p>Evidence of the ability to:</p> <ul style="list-style-type: none"> <li>• apply knowledge of relevant statutory, legislative and regulatory requirements relating to work practices</li> <li>• map requirements to work practices to demonstrate an application of compliance requirements</li> <li>• apply work practices in accordance with a compliance framework</li> <li>• handle contingencies.</li> </ul>                                                                                                                                                                                                                                   |
| <b>Context of and specific resources for assessment</b>                                                                                                                                                                | <p>Assessment must ensure access to:</p> <ul style="list-style-type: none"> <li>• legislation, regulations and codes of conduct relevant to job role, occupation or profession</li> <li>• information about relevant professional associations and codes of conduct</li> <li>• organisational policies and procedures relevant to job role, occupation or profession.</li> </ul>                                                                                                                                                                                                                                                                     |
| <b>Method of assessment</b>                                                                                                                                                                                            | <p>A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this units:</p> <ul style="list-style-type: none"> <li>• analysis of responses to case studies and scenarios</li> <li>• direct questioning combined with review of portfolios of evidence</li> <li>• oral or written questioning to assess knowledge of scope of own responsibilities and obligations to refer matters outside area of responsibility</li> <li>• evaluation of legal cases involving the application of the compliance framework relevant to the job role, occupation or profession.</li> </ul> |
| <b>Guidance information for assessment</b>                                                                                                                                                                             | <p>Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example:</p> <ul style="list-style-type: none"> <li>• BSBCMM402A Implement effective communication strategies.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                        |

## Range Statement

### RANGE STATEMENT

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

|                                                                               |                                                                                                                                                                                                                                                                                                                                                                                        |
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| <b><i>Statutory, legislative and regulatory requirements</i></b> may include: | <ul style="list-style-type: none"> <li>• equal employment opportunity and anti-discrimination legislation</li> <li>• legislation specific to the industry or profession, e.g. Legal Professional Act 2007</li> <li>• occupational health and safety laws</li> <li>• privacy legislation</li> <li>• regulations and codes of conduct governing the occupation or profession.</li> </ul> |
| <b><i>Organisational and industry requirements</i></b> may include:           | <ul style="list-style-type: none"> <li>• conflict of interest guidelines</li> <li>• equity guidelines and workplace diversity guidelines</li> <li>• ethical or other standards</li> <li>• industry standards and codes of conduct</li> <li>• internal control standards</li> <li>• organisation's values statement and relevant policies and procedures.</li> </ul>                    |
| <b><i>Appropriate person</i></b> may include:                                 | <ul style="list-style-type: none"> <li>• human resource manager</li> <li>• person designated in organisational policy and procedure responsible for compliance</li> <li>• supervisor.</li> </ul>                                                                                                                                                                                       |
| <b><i>Documentation</i></b> may include:                                      | <ul style="list-style-type: none"> <li>• newsletters</li> <li>• organisational records</li> <li>• staff meeting agendas and minutes</li> <li>• updates from networks and professional associations.</li> </ul>                                                                                                                                                                         |

## Unit Sector(s)

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| <b>Unit sector</b> |  |
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## Competency field

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| Competency field | Regulation, licensing and risk - compliance |
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## Co-requisite units

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| Co-requisite units |  |  |
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