



**Australian Government**

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

# **ICAI5253A Implement and evaluate systems for regulatory and standards compliance**

**Release: 1**

## ICAI5253A Implement and evaluate systems for regulatory and standards compliance

### Modification History

Not Applicable

### Unit Descriptor

|                        |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
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| <b>Unit descriptor</b> | <p>This unit defines the competency required to implement and evaluate the application of the principles, policies, and procedures that enable an enterprise to meet applicable information security laws, regulations, standards, and policies to satisfy statutory requirements, perform industry-wide best practices, and achieve its information security program goals.</p> <p>Design aspects are appropriately covered in ICAA6052B Design an IT security framework.</p> <p>No licensing, legislative, regulatory or certification requirements apply to this unit at the time of publication.</p> |
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### Application of the Unit

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| <b>Application of the unit</b> |  |
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### Licensing/Regulatory Information

Refer to Unit Descriptor

### Pre-Requisites

|                           |           |                                                              |
|---------------------------|-----------|--------------------------------------------------------------|
| <b>Prerequisite units</b> |           |                                                              |
|                           | ICAA4041C | Determine and confirm client business expectations and needs |
|                           |           |                                                              |

## 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. Implement compliance systems    | <p>1.1. Monitor and assess the information security compliance practices of all personnel in accordance with enterprise policies and procedures</p> <p>1.2. Maintain ongoing and effective communications with <b>key compliance stakeholders</b></p> <p>1.3. Conduct internal audits to determine if information security control objectives, controls, processes, and procedures are effectively applied and maintained, and perform as expected</p> |
| 2. Evaluate the compliance systems | <p>2.1. Assess the effectiveness of enterprise compliance program controls against <b>appropriate benchmarks</b></p> <p>2.2. Assess the effectiveness of the information security compliance process and procedures for process improvement and implement changes where appropriate</p> <p>2.3. Compile, analyse, and report performance measures</p>                                                                                                  |

## Required Skills and Knowledge

| REQUIRED SKILLS AND KNOWLEDGE                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
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| <p>This section describes the skills and knowledge required for this unit.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>Required skills</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <ul style="list-style-type: none"><li>• Researching skills related to security</li><li>• Ability to articulate complex security scenarios in a clear concise manner relevant to all levels of the organisation</li><li>• Skills in relation to analysis, evaluation and presentation of information</li><li>• Group facilitation and presentation skills in relation to transferring and collecting information</li></ul>                                                                                                                                                                                                          |
| <b>Required knowledge</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <ul style="list-style-type: none"><li>• Current industry-accepted hardware and software products, including broad knowledge of security features and capabilities</li><li>• Accurate and in-depth knowledge of the client business domain</li><li>• Broad general knowledge of privacy issues and legislation (e.g. when integrating legal requirements with IT security)</li><li>• Risk analysis relating to IT security, including broad knowledge of general security issues incorporating substantial depth in some areas</li><li>• Detailed knowledge of operating systems, including strengths and weaknesses over</li></ul> |

|                                                                                                    |
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| <b>REQUIRED SKILLS AND KNOWLEDGE</b>                                                               |
| lifetime of product                                                                                |
| <ul style="list-style-type: none"><li>• Awareness of legislation relating to IT security</li></ul> |

## Evidence Guide

### EVIDENCE GUIDE

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.

#### Overview of assessment

#### Critical aspects for assessment and evidence required to demonstrate competency in this unit

Evidence of the following is essential:

- Assessment must confirm sufficient knowledge of the basic elements of legal obligations with respect to privacy and the specific application of security issues.
- Assessment must confirm the ability to implement and evaluate compliance requirements

#### Context of and specific resources for assessment

Assessment must ensure:

- The ability to monitor and assess the information security compliance
- Conduct internal audits
- Assess the effectiveness of enterprise compliance
- Compile, analyse, and report performance measures

To demonstrate competency in this unit the following resources will be needed:

- IT business specifications
- Information on the security environment including relevant laws/legislation, existing organisational security policies, organisational expertise and knowledge
- Possible security environment also includes the threats to security that are, or are held to be, present in the environment
- Risk analysis tools/methodologies
- IT security assurance specifications

#### Method of assessment

The purpose of this unit is to define the standard of performance to be achieved in the workplace. In undertaking training and assessment activities related to this unit, consideration should be given to the implementation of appropriate diversity and accessibility practices in order to accommodate people who may have special needs. Additional guidance on these and related matters is provided in ICA05 Section 1.

**EVIDENCE GUIDE**

The following assessment method is appropriate for this unit:

- Competency in this unit should to be assessed using summative assessment to ensure consistency of performance in a range of contexts. This unit can be assessed either in the workplace or in a simulated environment. However, simulated activities must closely reflect the workplace to enable full demonstration of competency.
- Assessment will usually include observation of real or simulated work processes and procedures and/or performance in a project context as well as questioning on underpinning knowledge and skills. The questioning of team members, supervisors, subordinates, peers and clients where appropriate may provide valuable input to the assessment process. The interdependence of units for assessment purposes may vary with the particular project or scenario.

**EVIDENCE GUIDE****Guidance information for assessment**

Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended.

Additionally, an individual demonstrating this competency would be able to:

- Demonstrate understanding of specialised knowledge with depth in some areas
- Analyse, diagnose, design and execute judgement across a broad range of technical or management functions
- Generate ideas through the analysis of information and concepts at an abstract level
- Demonstrate a command of wide-ranging, highly specialised technical, creative or conceptual skills
- Demonstrate accountability for personal outputs within broad parameters
- Demonstrate accountability for personal and group outcomes within broad parameters.

**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.

**Key compliance stakeholders may include:**

- internal departments
- external organisations
- individual people
- employees

**Appropriate benchmarks may include:**

- applicable laws
- regulations
- standards
- policies
- procedures

**Unit Sector(s)**

|                    |           |
|--------------------|-----------|
| <b>Unit sector</b> | Implement |
|--------------------|-----------|

**Co-requisite units**

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| <b>Co-requisite units</b> |  |  |
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**Competency field**

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| <b>Competency field</b> |  |
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