BSB50820 DIPLOMA IN PROJECT MANAGEMENT

A20251 PROJECT COMPLIANCE

BSBAUD514 Interpret compliance requirements

ASSESSMENTS

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AUSTRALIAN PACIFIC COLLEGE

Contents

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Introduction

This subject A20251 Project Compliance, in the BSB50820 Diploma of Project Management, comprises two Assessments. The following table summarises the information about each assessment.

	Assessment 1	**Assessment 2**
Due Date	Session 5 (Not Week 5)	Session 8 (Not Week 8)
Weighting	50%	50%
Grading Method	Rubric	Rubric
Submission Method	Students are required to submit their assessments to myAPC.hub.	
Feedback	The results will be available within 7 days after the due date of the assessment.	

APC is using Rubric for assessment marking. A rubric is a tool used to interpret and grade students' work against a set of criteria.

Instructions

1. Assessments should be completed as per your trainer's instructions.
2. Assessments must be submitted by the due date to avoid a late submission penalty.
3. Plagiarism is copying someone else's work and submitting it as your own. You must write your answers in your own words and include a reference list. You are required to run the plagiarism report on your assessments prior to the submission, and ensure that the plagiarism score is below 30%. A mark of zero will be given for any assessment or part of an assessment that has been plagiarised.
4. You may discuss your assessments with other students, but submitting identical answers to other students will result in a zero mark. Your answers must be yours alone.
5. All the assessments must be submitted to myAPC.hub.
6. You must attempt all questions in the assessment.
7. You must get satisfactory results on both assessments to pass the subject.
8. All assessments are to be completed in accordance with WHS regulatory requirements.

Assessment 1

Qualification	BSB50820 Diploma of Project Management
Subject	A2021 Project Compliance
Assessment method	Written Responses
Weighting	50%
Unit of Competency	BSBAUD514 Interpret compliance requirements

You are required to create a Compliance Plan for a project of your choice.

Compliance Plan
Project Name

1. Provide an overview of the project	
Provide an overview of your project	
2. In the table below, explain at least 2 functions, 2 products and 2 services that may be subject to compliance requirements in your project. State any standards, legislation, regulations, industry and organisational codes of practice that apply.	
Function/product/service (FPS) PC1.1 Analyse organisational operations and identify the functions, products and services that may be subject to compliance requirements PC4.1 Organise and document outcomes of the identification and interpretation activities PE - analyse operations of an organisation or work area, identify areas subject to compliance requirements and report findings, on at least three occasions	**Standards, legislation, regulations, industry and organisational codes of practice that would apply** PC2.1 Research information on compliance requirements relevant to the organisation 2.2 Analyse and document information from search according to organisational requirements PE - interpret and analyse information from standards, legislation, regulations, industry and organisational codes of practice and determine their relevance to compliance in the organisation KE - standards, legislation, and codes relevant to compliance requirements KE - compliance requirements relevant to the operations of organisation or work area.
a. (function) Analyse Organisational Operations	*List the standards, legislation, regulations, industry and organisational codes of practice that apply to the project* - Legislation pertaining to organizational operations and compliance.

	- Industry codes of practice affecting organizational analysis. - Internal organizational codes related to compliance requirements.

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b. (function) Organise and Document Outcomes	- Standards for organizing and documenting outcomes related to compliance activities. - Legislation specifying documentation requirements and compliance. - Industry-specific codes of practice for organizing compliance-related outcomes.
c. (product) Research Information on Compliance Requirements	- Standards outlining research methodologies for compliance information. - Legislation governing the research process and compliance findings.
d. (product) Analyse and Document Information	- Standards for analyzing and documenting compliance information. - Legislation on the analysis and documentation of compliance data. - Industry and organizational codes of practice for information analysis.
e. (service) Analyse Operations of Organisation	- Standards for operational analysis and compliance within an organization. - Relevant legislation governing operational compliance. - Industry codes of practice for analyzing organizational operations.
f. (service) Identify Areas Subject to Compliance	- Standards outlining the identification process and compliance. - Legislation specifying areas subject to compliance. - Industry and organizational codes of practice for identifying compliance areas.

3. Compliance Management

For each of the 6 functions/products/services listed above explain how you will ensure that each complies with the relevant standard, legislation, etc. Will you use templates and if so which ones? Will you task a project member to be responsible? etc.

FPS	Compliance Management Approach
	PC1.2 Develop and document plan for determining relevant compliance requirements
a.	*Eg. Use a risk register to monitor and record risks. Each risk will be assigned an owner and we will have weekly meetings with the risk committee to review and take action as required.*
b.	Organise and Document Outcomes - Approach: Develop and document a plan for organizing and documenting outcomes of compliance activities. - Implementation: Utilize a standardized template for documenting compliance outcomes. - Responsibility: Designate a project member responsible for overseeing the organization and documentation of compliance outcomes.
c.	Research Information on Compliance Requirements - Approach: Develop and document a plan for researching compliance requirements relevant to the organization. - Implementation: Use established templates for gathering and analyzing compliance information.

	- Responsibility: Assign a project member to lead the research efforts and ensure compliance with identified requirements. - Review Process: Regularly review and update the information gathered to align with any changes in compliance standards.
d)	Analyse and Document Information - Approach: Develop and document a plan for analyzing and documenting compliance information. - Implementation: Utilize standardized templates for consistent analysis and documentation. - Responsibility: Assign a project member with expertise in compliance analysis to oversee this aspect. - Review Process: Conduct periodic reviews to ensure the accuracy and relevance of compliance information.
e)	Analyse Operations of Organisation - Approach: Develop and document a plan for analyzing organizational operations for compliance. - Implementation: Utilize a structured template to guide the analysis of organizational operations. - Responsibility: Task a project member with a deep understanding of organizational operations to lead this effort. - Review Process: Regularly review the analysis results and update as necessary based on changes in compliance standards.
f)	Identify Areas Subject to Compliance - Develop and document a plan for identifying areas subject to compliance within the project. - Implementation: Use standardized templates to aid in the identification process. - Responsibility: Assign a project member with expertise in compliance identification to lead this effort. - Review Process: Periodically review and update the identified areas based on changes in compliance requirements.

4. Risk Monitoring

Identify potential risks to meeting compliance requirements and explain how your will mitigate the risks and monitor them

PC1.2 Develop and document plan for determining relevant compliance requirements

FPS	Identify at least 1 risk of non-compliance	How will you mitigate the risk?	How often will you monitor?
a)	*Eg. Risk register is not kept up-to-date*	*Assign a project team member to liaise with team leaders and risk owners and update register*	*Weekly*
b)	Lack of adherence to standardized templates for documenting compliance outcomes may result in inconsistent or incomplete records.	Conduct training sessions to ensure all team members are familiar with and consistently use the designated templates.	Regularly review the documentation process during project meetings and conduct periodic audits to check for template compliance.
c)	Inaccurate or incomplete gathering of compliance information may lead to a misunderstanding of requirements.	Implement a quality control process for the research phase, involving cross-checking and validation of gathered information.	Periodic checks during the research phase and comprehensive reviews before finalizing compliance reports.
d)	Analysis and documentation errors may result in incorrect	Establish a peer-review system where another qualified team member	Conduct ongoing peer reviews and address any identified issues in

	compliance information.	reviews the analysis and documentation for accuracy.	real-time.
e	Inadequate analysis of organizational operations may lead to overlooking areas of non-compliance	Ensure the designated project member leading the analysis possesses a deep understanding of organizational operations and compliance requirements.	Regularly check in on the progress of the analysis and conduct periodic reviews to verify the accuracy of compliance findings.
f	Incomplete identification of areas subject to compliance may result in oversight of critical aspects.	Establish a collaborative approach, involving multiple perspectives and expertise in the identification process.	Regular team meetings to review progress, identify any potential gaps, and ensure a comprehensive approach to compliance identification.

5. Reporting	
Explain what key sources you will use to populate your report, how often compliance reporting will occur and what specific stakeholders/groups that you will provide the report to	
PC1‖2 Develop and document plan for determining relevant compliance requirements	
KE - key sources of information relevant to organisational compliance requirements	
Information Sources to create report	Risk register, ISO certificate documents, data reports on customer service standard statistics
Reporting Frequency	6 monthly
Stakeholders/groups distribution list	Project committee, quality assurance team

Question 6:

Provide one example and explain how you discussed and clarified with relevant stakeholders any ambiguities and issues you had to resolve when interpreting compliance requirements

PC3‖1 Discuss and clarify with relevant stakeholders ambiguities and issues experienced in interpreting identified compliance information
xxx

Question 7:

Explain the steps you will undertake to obtain approval for your compliance plan from relevant stakeholders

- Identify Stakeholders: Identify all stakeholders who have an interest in or are affected by the compliance plan. This may include internal departments, external partners, regulatory bodies, and others.
- Understand Stakeholder Concerns: Conduct a stakeholder analysis to understand the concerns, expectations, and interests of each stakeholder group. This will help you tailor your communication and address specific concerns.
- Develop a Communication Plan: Create a detailed communication plan outlining how you will convey information about the compliance plan to different stakeholders. Consider the appropriate channels (meetings, emails, presentations) and frequency of communication.
- Draft a Comprehensive Compliance Plan: Develop a detailed compliance plan that outlines the objectives, strategies, and tactics for achieving compliance. Clearly articulate how the plan aligns with organizational goals and regulatory requirements.
- Provide Stakeholder Education: Organize workshops or training sessions to educate stakeholders about the compliance plan. Ensure that they understand the purpose, benefits, and implications of the plan for the organization and its various stakeholders.
- Address Concerns and Obtain Feedback: Actively engage with stakeholders to address any concerns or questions they may have. Provide opportunities for feedback and make adjustments to the plan based on the input received.
- Formally Present the Compliance Plan: Schedule formal presentations to key stakeholders, such as executive leadership, regulatory bodies, or relevant committees. Clearly articulate the rationale, benefits, and implementation details of the compliance plan.
- Highlight Alignment with Goals: Emphasize how the compliance plan aligns with the organization's strategic goals and values. Demonstrate that compliance is not just a regulatory necessity but contributes to the overall success and sustainability of the organization.

- Address Legal and Regulatory Requirements: Ensure that the compliance plan thoroughly addresses all legal and regulatory requirements. Provide evidence of the organization's commitment to meeting these obligations.
- Document Approval: Once the compliance plan has been presented and discussed, document the approval process. Obtain formal approval through signatures or documented agreements from key stakeholders. This documentation serves as evidence of consensus and support.
- Implement and Monitor: Begin implementing the compliance plan according to the approved strategy. Establish monitoring mechanisms to track progress and report regularly to stakeholders.

Question 8:

Explain how you will organise and store the information you have obtained regarding the compliance requirements so that they meet the organisation document storage policies and procedures eg: What policies and procedures need to be followed? Where will they be stored? Who will have access? What naming convention will you use? etc:

- Understand Document Storage Policies: Familiarize yourself with the organization's document storage policies and procedures. These may include guidelines on data security, access controls, retention periods, and naming conventions.
- Identify Applicable Policies: Determine which specific policies and procedures apply to the storage of compliance-related information. This may involve consulting the organization's data management, information security, and compliance policies.
- Create a Secure Storage System: Establish a secure and centralized storage system for compliance-related documents. This could be a dedicated folder on a secure server or a compliance management system.
- Access Controls: Implement access controls based on the principle of least privilege. Determine who needs access to the compliance documents and grant permissions accordingly. Access may be restricted to specific teams, individuals, or roles.
- Encryption and Data Security: Apply encryption measures to sensitive compliance information to ensure data security. This is particularly important for any information that contains personally identifiable information (PII) or other sensitive data.
- Version Control: Implement version control mechanisms to track changes and updates to compliance documents. This ensures that the most recent and accurate information is always accessible.
- Retention and Archiving: Adhere to the organization's retention policies for compliance documents. Clearly define how long each type of document needs to be retained and establish procedures for archiving or securely disposing of obsolete information.
- Backup Procedures: Regularly back up compliance-related information to prevent data loss. Determine backup frequencies and locations in accordance with the organization's backup policies.
- Audit Trails: Establish audit trails to track who accesses and modifies compliance documents. This information can be crucial for security and compliance audits.
- Training and Awareness: Provide training to employees on the proper handling of compliance documents, including how to access, update, and store them securely. Foster awareness of the importance of compliance with document storage policies.
- Naming Conventions: Define a clear and standardized naming convention for compliance documents. This convention should make it easy to identify the document's purpose, date, and version. Consistency in naming conventions enhances organization and searchability.
- Regular Reviews and Updates: Periodically review and update the document storage policies in response to changes in compliance requirements, technology, or organizational structure.

- Document Access Log: Maintain a log of document access, modifications, and changes. This log can serve as an additional layer of security and can be useful for auditing purposes.
- Periodic Audits and Assessments: Conduct periodic audits of the document storage system to ensure compliance with policies. Assess the effectiveness of the storage system in meeting the organization's needs.

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Assessment 2

Qualification	BSB50820 Diploma of Project Management
Subject	A20251 Project Compliance
Assessment method	Written Responses
Weighting	50%
Unit of Competency	BSBAUD514 Interpret compliance requirements

Question 1:

From the list of 6 functions, products and services in the compliance requirements from assessment 1, explain how you will prioritise them in order from 1 being the highest priority to 6 being the least priority according to the organisational requirements

Prioritization of Functions, Products, and Services:

1. Function: Analyse Organisational Operations
   - Legislation:
     - Legislation pertaining to organizational operations and compliance.
   - Industry Codes of Practice:
     - Industry codes of practice affecting organizational analysis.
   - Internal Organizational Codes:
     - Internal organizational codes related to compliance requirements.

2. Function: Organise and Document Outcomes
   - Standards:
     - Standards for organizing and documenting outcomes related to compliance activities.
   - Legislation:
     - Legislation specifying documentation requirements and compliance.
   - Industry Codes of Practice:
     - Industry-specific codes of practice for organizing compliance-related outcomes.

3. Product: Research Information on Compliance Requirements
   - Legislation:
     - Legislation governing the research process and compliance findings.
   - Standards:
     - Standards outlining research methodologies for compliance information.

4. Product: Analyse and Document Information
   - Standards:
     - Standards for analyzing and documenting compliance information.
   - Legislation:
     - Legislation on the analysis and documentation of compliance data.
   - Industry and Organizational Codes of Practice:
     - Industry and organizational codes of practice for information analysis.

5. Service: Analyse Operations of Organisation
   - Legislation:
     - Relevant legislation governing operational compliance.

- Standards:
  - Standards for operational analysis and compliance within an organization.
- Industry Codes of Practice:
  - Industry codes of practice for analyzing organizational operations.

6. Service: Identify Areas Subject to Compliance
  - Legislation:
    - Legislation specifying areas subject to compliance.
  - Industry and Organizational Codes of Practice:
    - Industry and organizational codes of practice for identifying compliance areas.
  - Standards:
    - Standards outlining the identification process and compliance.

Rationale for Prioritization:

- High Priority (1-3):
  - The functions related to analyzing organizational operations and organizing outcomes are prioritized as they lay the foundation for compliance activities. Understanding compliance legislation and industry codes is crucial in these early stages.

- Medium Priority (4-5):
  - Products related to researching compliance requirements and analyzing information are of medium priority. These activities build on the foundational work of functions and require adherence to standards, legislation, and codes.

- Low Priority (6):
  - Services related to analyzing operations and identifying areas subject to compliance are considered of lower priority. These activities are often more application-oriented and depend on the groundwork laid by functions and products.

This prioritization aligns with a logical flow in compliance activities, ensuring that foundational aspects are addressed first before moving into more detailed research, analysis, and application phases.

Question 2:

Select 1 function, 1 product and 1 service from the compliance requirements and write an individual report for each one of them. The report is a review of whether your project has met the compliance requirements and is to be presented to the relevant stakeholders for that function, product and service area. Complete 1 report template below per compliance requirement.

PC4.2 Prepare and distribute reports of compliance requirements and assessment of implications to relevant stakeholders

PE - analyse operations of an organisation or work area, identify areas subject to compliance requirements and report findings, on at least three occasions

PE - report on adherence to key compliance requirements and the implications of these for the organisation or work area

KE - standards, legislation, and codes relevant to compliance requirements

KE - compliance requirements relevant to the operations of organisation or work area.

Compliance Report for *(state 1 function from Assessment 1)*

Report distribution list: (list the name and position title for each relevant stakeholder you are sending the report to)	• Chief Compliance Officer • Operations Leadership • Regulatory Affairs Project Management
Reporting period:	• November to December

Explain what aspects of the standards, legislation, regulations, industry and organisational codes of practice have been met and provide at least one that has not been met:	• Aspects of Standards, Legislation, Regulations, Industry, and Organisational Codes of Practice Met: Legislation Pertaining to Organizational Operations and Compliance: The project has successfully met the requirements of legislation governing organizational operations and compliance. The team has demonstrated a comprehensive understanding of relevant laws and has incorporated them into the analysis process. • Industry Codes of Practice Affecting Organizational Analysis: The project aligns with industry codes of practice related to organizational analysis. The team has implemented best practices outlined in industry standards, ensuring a high level of compliance with industry norms. • Internal Organisational Codes Related to Compliance Requirements: Internal codes of practice related to compliance requirements have been followed meticulously. These internal guidelines contribute to a seamless integration of compliance considerations into the analysis of organizational operations.
Explain what contributed to some standards, legislation, regulations, industry and organisational codes of practice not being met:	• Lack of Awareness: Team members were not promptly informed of recent updates in the Industry. The lack of awareness regarding the changes contributed to the non-compliance as the team continued with the analysis process without considering the updated code. • Communication Gap: There was a communication gap between the team responsible for monitoring industry code updates and the project team. The failure to effectively communicate the changes resulted in a lack of understanding and implementation of the updated requirements. • Training Deficiency: Team members were not adequately trained on the implications and requirements of the updated industry code. The deficiency in training hindered their ability to integrate the new code into the analysis process. • Resource Constraints: The project team faced resource constraints, limiting their capacity to allocate sufficient time and effort to stay abreast of changes in industry codes. This constraint contributed to a delayed response to

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the updates.

Incomplete Documentation: The documentation process for compliance activities lacked completeness. The failure to thoroughly document the adherence to certain standards and codes hindered the team's ability to demonstrate compliance in specific areas.
Ineffective Monitoring Mechanism: The project lacked an effective mechanism for monitoring changes in standards and codes. This contributed to a delayed awareness of the updates and hindered the team's ability to adapt promptly.

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Explain what the implications are of these not being met:	• Risk Exposure: Non-compliance exposes the organization to potential legal and regulatory risks associated with failing to adhere to updated industry codes. This may result in legal consequences and damage to the organization's reputation. • Operational Inefficiencies: Failure to meet certain standards and codes can lead to operational inefficiencies, as the analysis process may not be aligned with industry best practices. This could impact the accuracy and effectiveness of organizational operations. • Reputational Damage: Non-compliance may tarnish the organization's reputation, especially if stakeholders perceive a lack of commitment to industry standards. This could affect relationships with clients, partners, and regulatory bodies. • Missed Opportunities: The organization may miss out on potential opportunities for improvement and innovation that are outlined in the updated industry code. Non-compliance may hinder the ability to stay competitive and adapt to evolving industry standards.
What action will be taken to resolve and ensure they are met:?	• Comprehensive Review: Immediately conduct a comprehensive review of the updated Industry Code to understand its implications for the "Analyse Organisational Operations" function. • Training Sessions: Implement targeted training sessions for the project team to enhance their understanding of the updated code, emphasizing its importance and practical implications for the analysis function. • Documentation Review: Conduct a thorough review of the documentation process for compliance activities. Ensure that documentation is comprehensive, accurate, and aligns with the requirements of the updated code. • Communication Enhancement: Enhance communication channels between the team responsible for monitoring industry code updates and the project team. Establish a more effective communication mechanism to ensure timely awareness of changes. • Resource Allocation: Allocate additional resources to the project team, allowing them sufficient time and capacity to stay informed about changes in industry

	codes and standards. • Monitoring Mechanism Improvement: Strengthen the monitoring mechanism for changes in standards and codes. Implement a more proactive approach to track updates and communicate them promptly to the relevant teams.
When will this be resolved?	• Immediate Actions: The comprehensive review, training sessions, and documentation review should commence within the next two weeks. • Training Completion: Training sessions will be completed within the next month to ensure a thorough understanding of the updated industry code. • Continuous Monitoring Implementation: The implementation of an improved monitoring mechanism will be an ongoing process, with regular updates and continuous improvement.

Compliance Report for *(state 1 product from Assessment 1)*

Report distribution list: (list the name and position title for each relevant stakeholder you are sending the report to)	• Product Manager • Compliance Officer • Director of Quality Assurance • Regulatory Affairs Specialist • Chief Executive Officer
Reporting period:	November to December
Explain what aspects of the standards, legislation, regulations, industry and organisational codes of practice have been met and provide at least one that has not been met:	• Standards for Product Analysis and Documentation: The product has successfully met the standards for analysis and documentation outlined in relevant industry standards and internal quality guidelines. • Legislation Pertaining to Product Compliance: The project has adhered to all relevant legislation governing the production and compliance of [Specify Product Name]. • Organisational Codes of Practice for Product Development: Internal organizational codes related to product development and compliance requirements have been diligently followed.
Explain what contributed to some standards, legislation, regulations, industry and organisational codes of practice not being met:	The non-compliance with the specified industry code is attributed to recent updates in the code that were not thoroughly communicated or incorporated into the product development activities. There was a gap in the awareness and understanding of the updated code within the product development team.
Explain what the implications are of these not	• Risk Exposure for Product Liability: Non-compliance exposes the organization to potential product liability risks, as failure to

being met:	adhere to industry codes may result in legal consequences and harm to consumers. • Market Reputation: The organization's reputation in the market may be at risk due to perceived non-compliance with industry standards, potentially affecting customer trust and loyalty.
What action will be taken to resolve and ensure they are met?:	• Comprehensive Review: • Conduct a comprehensive review of the updated Industry Code to understand its implications for the development of the product • Training Sessions: Implement targeted training sessions for the product development team to enhance their understanding of the updated code, emphasizing its importance and practical implications for the product development process. • Continuous Monitoring Mechanism: Establish a continuous monitoring mechanism to ensure ongoing compliance with industry codes. Regular updates and training sessions will be scheduled to address any future changes promptly.
When will this be resolved?:	• Immediate Actions: The comprehensive review and initial training sessions will commence within the next two weeks. • Training Completion: Training sessions will be completed within the next month to ensure a thorough understanding of the updated industry code. • Continuous Monitoring Implementation: The implementation of an improved monitoring mechanism will be an ongoing process, with regular updates and continuous improvement.

Compliance Report for *(state 1 service from Assessment 1)*

Report distribution list: (list the name and position title for each relevant stakeholder you are sending the report to)	• Service Manager • Compliance Officer • Director of Service Delivery • Regulatory Affairs Specialist • Chief Executive Officer
Reporting period:	November to December
Explain what aspects of the standards, legislation, regulations, industry and organisational codes of practice have been met and provide at least one	• Standards for Service Delivery: The service has successfully met the standards for delivery outlined in relevant industry standards and internal service quality guidelines. • Legislation Pertaining to Service Compliance: The project has adhered to all relevant legislation governing the provision and compliance of [Specify Service Name].

that has not been met:	• Organisational Codes of Practice for Service Operations: Internal organizational codes related to service operations and compliance requirements have been diligently followed.
Explain what contributed to some standards, legislation, regulations, industry and organisational codes of practice not being met:	The non-compliance with the specified industry code is attributed to recent updates in the code that were not thoroughly communicated or incorporated into the service delivery activities. There was a gap in the awareness and understanding of the updated code within the service delivery team.
Explain what the implications are of these not being met:	• Service Quality Concerns: Non-compliance poses risks to the quality of the service provided, potentially leading to dissatisfaction among clients and customers. • Regulatory Risks: The organization may face regulatory risks due to non-compliance with industry standards, potentially resulting in penalties or legal consequences.
What action will be taken to resolve and ensure they are met?:	• Comprehensive Review: Conduct a comprehensive review of the updated Industry Code to understand its implications for the delivery of product. • Training Sessions: Implement targeted training sessions for the service delivery team to enhance their understanding of the updated code, emphasizing its importance and practical implications for the service delivery process. • Continuous Monitoring Mechanism: Establish a continuous monitoring mechanism to ensure ongoing compliance with industry codes. Regular updates and training sessions will be scheduled to address any future changes promptly.
When will this be resolved?:	• Immediate Actions: The comprehensive review and initial training sessions will commence within the next two weeks. • Training Completion: Training sessions will be completed within the next month to ensure a thorough understanding of the updated industry code. • Continuous Monitoring Implementation: The implementation of an improved monitoring mechanism will be an ongoing process, with regular updates and continuous improvement.

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