Assessment Requirements for BSBCOM401 Organise and monitor the operation of compliance management system

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Modification History

Release	Comments
Release 1	This version first released with BSB Business Services Training Package Version 1.0.

Performance Evidence

Evidence of the ability to:

- analyse sources of information to identify compliance requirements and staff who will be responsible for maintaining compliance within the planned compliance program/management system
- develop a schedule to implement, monitor and review the organisation's compliance program/management system, in collaboration with relevant personnel
- identify breaches of compliance requirements and provide timely solutions
- prepare and distribute reports on the operation of the compliance program/management system and any breaches of compliance
- communicate compliance information to a range of personnel.

Note: If a specific volume or frequency is not stated, then evidence must be provided at least once.

Knowledge Evidence

To complete the unit requirements safely and effectively, the individual must:

- identify relevant legislation, codes of practice, and Australian and international standards
- outline roles and responsibilities, systems, procedures and processes associated with the compliance program/management system including:
  - documentation of compliance requirements relevant to the organisation
  - compliance management functions, accountabilities and responsibilities within the organisation
  - compliance related management information systems
  - record keeping systems required for compliance management
  - procedures for liaising with internal and external personnel on compliance related matters

- breach management policies and processes including identifying, classifying, investigating, rectifying and reporting breaches in compliance requirements
- compliance reporting procedures
- corporate induction and training processes related to compliance management
- processes for the internal and external distribution and promotion of information compliance complaints handling systems
- continuous improvement processes for compliance including monitoring, evaluation and review
- strategies for developing a positive compliance culture within the organisation
- techniques and performance indicators for monitoring the operation of a compliance program/management system.

Assessment Conditions

Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced in the compliance field of work and include access to:

- standards, legislation, regulations and codes of conduct relevant to job role, occupation or profession
- organisation policies and procedures relevant to job role, occupation or profession
- compliance program or management system
- computer resources and business technology
- workplace documents
- case studies and, where possible, real situations.

Assessors must satisfy NVR/AQTF assessor requirements

Links

Companion Volume implementation guides are found in VETNet - https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=11ef6853-ceed-4ba7-9d87-4da407e23c10