



Australian Government

BSBAUD412 Work within compliance frameworks

Release: 1

BSBAUD412 Work within compliance frameworks

Modification History

Release	Comments
Release 1	This version first released with BSB Business Services Training Package Version 7.0.

Application

This unit describes the skills and knowledge required to identify statutory, legislative and regulatory requirements and relate them to individual work practices to ensure ongoing adherence to the compliance framework.

The unit applies to individuals who carry out work in accordance with the compliance framework applying to a particular job role, occupation or profession.

No licensing, legislative, regulatory or certification requirements apply to this unit at the time of publication.

Unit Sector

Technical Skills – Audit and Compliance

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
1. Identify compliance requirements	1.1 Identify and document statutory, legislative and regulatory requirements relevant to job role and industry 1.2 Identify and document organisational and industry requirements
2. Interpret compliance requirements	2.1 Map compliance requirements against position description and work practices 2.2 Discuss ethical considerations with relevant stakeholders
3. Manage personal compliance	3.1 Consult with relevant stakeholders and identify procedures to be applied, applicable to work environment and own job role 3.2 Evaluate own actions in the context of compliance requirements 3.3 Record own compliance action according to organisational policies and procedures

ELEMENT	PERFORMANCE CRITERIA
4. Review own compliance	4.1 Seek feedback on personal compliance from relevant personnel 4.2 Access and analyse documentation relating to changes in compliance requirements 4.3 Discuss feedback and documentation with relevant personnel and check own ongoing compliance 4.4 Identify required changes to own compliance practice

Foundation Skills

This section describes those language, literacy, numeracy and employment skills that are essential to performance but not explicit in the performance criteria.

Skill	Description
Reading	Identifies and analyses statutory, legislative and regulatory requirements to determine key information, specific requirements and responsibilities
Writing	Collates and compiles information gathered from multiple sources in required format for using technical and enterprise specific language
Oral Communication	- Discusses compliance using structure and language to suit the audience - Uses listening and questioning techniques to confirm understanding of compliance requirements
Self-management	Takes personal responsibility for following explicit and implicit policies, procedures and legislative requirements

Unit Mapping Information

Supersedes and is equivalent to BSBCOM406 Conduct work within a compliance framework.

Supersedes but is not equivalent to:

- BSBCOM401 Organise and monitor the operation of compliance management system
- BSBCOM402 Implement processes for the management of a breach in compliance requirements
- BSBCOM403 Provide education and training on compliance requirements and systems
- BSBCOM404 Promote and liaise on compliance requirements, systems and related issues
- BSBCOM405 Promote compliance with legislation
- BSBEDU301 Assist with monitoring compliance in international education services.

Links

Companion Volume Implementation Guide is found on VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=11ef6853-ceed-4ba7-9d87-4da407e23c10>

Assessment Requirements for BSBAUD412 Work within compliance frameworks

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Performance Evidence

The candidate must demonstrate the ability to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including evidence of the ability to:

- on at least two occasions, interpret and apply personal compliance requirements for job role and industry.

Knowledge Evidence

The candidate must be able to demonstrate knowledge to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including knowledge of:

- legislation, regulations and codes of conduct relevant to job role, occupation and profession
- sources of information to ensure currency with changes in compliance requirements
- organisational policies and procedures relevant to compliance framework in relevant industry
- individual work requirements and practices
- methods to map compliance requirements.

Assessment Conditions

Skills in this unit must be demonstrated in a workplace or simulated environment where the conditions are typical of those in a working environment in this industry.

This includes access to:

- legislation, regulations and codes of conduct relevant to job role, occupation and profession
- position descriptions
- organisation policies and procedures relevant to performance evidence.

Assessors of this unit must satisfy the requirements for assessors in applicable vocational education and training legislation, frameworks and/or standards.

Links

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