



Australian Government

Assessment Requirements for BSBAUD601 Establish and manage compliance management systems

Release: 1

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Modification History

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

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:

- plan, establish and monitor one compliance management system in collaboration with relevant stakeholders, including:
 - reviewing organisational compliance requirements
 - documenting an action schedule for implementing, maintaining and reviewing the compliance system
 - appointing and informing staff on compliance management system.

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:

- research methods and techniques
- standards and legislation relevant to organisational compliance requirements
- key elements of compliance management systems, including:
 - documentation of compliance requirements relevant to the organisation
 - functions, accountabilities and responsibilities within the organisation
 - compliance related management information systems
 - record keeping systems required for compliance management
 - continuous improvement processes for compliance, including monitoring, evaluation and review
 - strategies for developing a positive compliance culture within the organisation
 - reporting processes on compliance management, including reports on breaches and rectification action
- organisational policies and procedures, including compliance plans in various compliance areas and organisational standards for operations.

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:

- organisational policies and procedures and documentation relevant to compliance requirements
- interaction with others
- legislation, regulations and standards for compliance.

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

Links

Companion Volume Implementation Guide is found on VETNet -

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