



Australian Government

BSBAUD601 Establish and manage compliance management systems

Release: 1

BSBAUD601 Establish and manage compliance management systems

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 establish and manage compliance management systems to enable organisations to fulfil their obligations and responsibilities under compliance requirements.

It applies to individuals who have specific responsibility for the planning, development and operation of a compliance management system.

Application of this unit must be consistent with the relevant sections of standards and legislative requirements.

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. Determine compliance requirements	1.1 Collect and interpret information on current compliance requirements applicable to the organisation 1.2 Review compliance requirements according to organisational policies and procedures
2. Identify and select relevant compliance management system	2.1 Investigate required compliance areas and identify options for compliance management systems 2.2 Compare and select options for compliance management system according to identified organisational compliance requirements
3. Plan and document required compliance	3.1 Determine and assign resources for the operation of the

Element	Performance Criteria
management system	compliance management system 3.2 Identify and document management information systems requirements 3.3 Determine and plan strategy for developing compliance management culture, in consultation with relevant stakeholders 3.4 Identify and document processes and procedures for identifying, managing and reporting breaches in compliance requirements 3.5 Document schedule for implementing, reviewing and maintaining the planned compliance management system, and distribute to relevant stakeholders 3.6 Collate documents in compliance management system plan and seek approval from relevant stakeholders 3.7 Establish mechanisms for collecting feedback information on compliance management system
4. Establish compliance management system	4.1 Appoint and distribute information to relevant stakeholders on their compliance management responsibilities 4.2 Establish the components of compliance management system in collaboration with relevant stakeholders 4.3 Monitor operation of compliance management system in collaboration with relevant stakeholders according to plan
5. Facilitate continuous improvement of compliance management system	5.1 Monitor and review performance against targets and performance indicators 5.2 Analyse feedback and evaluation data and implement improvements 5.3 Document and report continuous improvement of compliance management system

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	Investigates and evaluates complex texts to determine key information and specific requirements and responsibilities
Writing	Develops documentation for a specific audience using detailed language to convey information, requirements and recommendations

Skill	Description
	Collates and compiles data to convey specific information, requirements and recommendations
Oral Communication	- Conveys information, which incorporates evaluation of information and specialised and cohesive language, in a format and style appropriate to a specific audience - Elicits the views of others by listening and questioning
Initiative and enterprise	Explores and incubates new and innovative ideas through unconstrained analysis and critical thinking to establish and monitor compliance management systems
Teamwork	Collaborates with others to achieve joint outcomes, playing an active role in facilitating understanding
Technology	Uses a range of digitally based technology and applications to access, organise, integrate and share information

Unit Mapping Information

Supersedes and is equivalent to BSBCOM603 Plan and establish compliance management systems.

Supersedes but is not equivalent to:

- BSBMGT521 Plan, implement and review a quality assurance program
- BSBMGT621 Design and manage the enterprise quality management system.

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 BSBAUD601 Establish and manage compliance management systems

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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:

- 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

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