



Australian Government

BSBCOM401 Organise and monitor the operation of compliance management system

Release: 1

BSBCOM401 Organise and monitor the operation of compliance management system

Modification History

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

Application

This unit describes the performance outcomes, skills and knowledge required to organise and monitor the operation of a compliance program/management system established by an organisation. It has been designed to be consistent with AS 3806:2006 Compliance programs.

It applies to individuals who create solutions to a range of unpredictable problems and provide leadership and guidance to others with some limited responsibility for the output of others. Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements.

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

Unit Sector

Regulation, Licensing and Risk – 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 roles and responsibilities	1.1 Confirm and interpret the compliance requirements applicable to the organisation 1.2 Examine the structure of the organisation to determine the roles, accountabilities and responsibilities of managers and operational staff in maintaining compliance within the organisation's planned compliance program/management system
2 Organise the operation of the compliance	2.1 Confirm the components of the planned compliance program/management system and clarify the proposed structures,

ELEMENT	PERFORMANCE CRITERIA
program/management system	procedures and budgetary arrangements for their implementation 2.2 Develop an implementation strategy and schedule for the establishment of the planned compliance program/management system in accordance with relevant Australian and international standards 2.3 Assign or acquire resources for the planned compliance program/management system in accordance with organisational procedures and policies 2.4 Arrange appropriate briefings and training to ensure relevant managers and operations staff are aware of their roles and responsibilities 2.5 Launch the compliance program/management system in accordance with organisation's plan
3 Monitor the operation of the compliance program/management system	3.1 Gather information on the operation of the compliance program/management system from appropriate sources 3.2 Review feedback and performance indicators on the operation of the compliance program/management system in terms of agreed criteria 3.3 Identify problems in the operation of the compliance program/management system and in particular any breach of compliance requirements and take appropriate action to address problems 3.4 Provide detailed compliance requirements in the case of breaches, initiate specific timely action and inform all relevant internal and external personnel through the established reporting systems
4 Document the operation and monitoring of the compliance program/management system	4.1 Prepare and disseminate information on the operation of the compliance program/management system to relevant internal and external personnel in accordance with the communication strategy for the compliance program/management system 4.2 Prepare and disseminate periodic reports on the operation of the compliance program/management system, identify any operational problems and take any related action to relevant internal and external personnel 4.3 Prepare and disseminate reports on any identified breaches of compliance requirements and take any related action to relevant internal and external personnel

Foundation Skills

This section describes language, literacy, numeracy and employment skills incorporated in the performance criteria that are required for competent performance.

Skill	Performance Criteria	Description
Reading	1.1, 1.2, 2.1-2.3, 3.1, 3.2	Identifies and evaluates complex texts in a variety of forms to determine key information, specific requirements and responsibilities
Writing	2.2, 2.4, 2.5, 3.4, 4.1-4.3	- Develops materials for specific audiences using correct and enterprise specific language - Prepares information in a designated format and style to convey information, requirements and recommendations
Oral Communication	1.1, 2.1, 2.4, 3.1	- Discusses or explains compliance requirements using structure and language to suit the audience - Uses listening and questioning techniques to confirm understanding of compliance requirements
Numeracy	2.1, 2.3	Interprets numerical information and applies mathematical calculations relating to budgetary information, evaluating different scenarios
Navigate the world of work	1.1, 1.2, 2.2-2.4, 3.2, 3.3, 4.1-4.3	Takes responsibility for developing, implementing and reviewing strategies to achieve compliance goals in accordance with legislative requirements
Interact with others	3.1, 3.4, 4.1	- Identifies and uses appropriate conventions and practices when communicating with internal and external personnel - Actively identifies the requirements of important communication exchanges, selecting appropriate channels, format, tone and content to suit purpose and audience
Getting the work done	2.1-2.5, 3.1, 3.2, 3.3, 3.4, 4.2, 4.3	- Takes responsibility for planning, implementing and reviewing tasks required to achieve efficient and effective outcomes - Uses formal analytical thinking techniques to clearly identify problems and generate timely solutions

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status

Code and title current version	Code and title previous version	Comments	Equivalence status
BSBCOM401 Organise and monitor the operation of compliance management system	BSBCOM401B Organise and monitor the operation of compliance management system	Updated to meet Standards for Training Packages	Equivalent unit

Links

Companion Volume implementation guides are found in VETNet -

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

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

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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

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