



Australian Government

BSBCOM403 Provide education and training on compliance requirements and systems

Release: 1

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Modification History

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

Application

This unit describes the skills and knowledge required to provide the training required to effectively implement and maintain an organisation's established compliance program/management system.

It applies to individuals who are responsible for the planning, development and operation of the induction and training components of an organisation's compliance program. Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements including: AS 3806:2006 Compliance programs, AS ISO 10002:2006 Customer satisfaction – Guidelines for complaints handling in organizations, AS/NZS 4360:2004 Risk management and AS ISO 15489:2004 Records management.

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 the requirements for induction and ongoing training programs	1.1 Establish compliance requirements relevant to the organisation and the associated compliance program/management system 1.2 Confirm and document the organisation's obligations and responsibilities in providing induction and training activities 1.3 Identify and confirm individual responsibilities of personnel within the organisation to implement the organisation's

ELEMENT	PERFORMANCE CRITERIA
	compliance program/management system 1.4 Assess and document current competence and capacity of personnel to implement and maintain a compliance program/management system 1.5 Determine induction and training needs of personnel to achieve the required levels of competence
2 Plan internal and external compliance education and training systems	2.1 Develop compliance training objectives based on assessed training needs of personnel 2.2 Assess and compare quality and costs of external training options 2.3 Assess ability of organisation to deliver required training internally 2.4 Select and organise appropriate internal compliance training programs and/or external compliance training options to meet assessed compliance management training needs 2.5 Negotiate training options if required 2.6 Prepare and negotiate budget for internal and external compliance training with appropriate organisational personnel 2.7 Identify training personnel requirements and recruit and prepare appropriate staff
3 Organise internal and external compliance education and training systems	3.1 Organise appropriate training and assessment materials and facilities for development or acquisition (where required) 3.2 Prepare and execute implementation plans for the internal and external compliance training as approved 3.3 Negotiate and sign contract/s for required external compliance training as per organisational policies and procedures 3.4 Implement planned corporate induction and training programs
4 Evaluate and monitor the compliance education and training systems	4.1 Prepare operational plan for the monitoring and evaluation of internal and external compliance training systems and seek approval from appropriate personnel 4.2 Identify and organise staff and resources required for the monitoring and evaluation of internal and external compliance training systems 4.3 Implement approved plans for the monitoring and evaluation of internal and external compliance training systems
5 Document the operation of the compliance	5.1 Document plans for the development and operation of both internal and external compliance induction and training systems in

ELEMENT	PERFORMANCE CRITERIA
education and training systems	accordance with organisational requirements 5.2 Prepare, process and store operational reports, certification and training and assessment records 5.3 Prepare and process reports on the outcomes of monitoring and evaluation of compliance induction training systems as required

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, 1.4, 2.2, 2.3, 2.4, 2.6, 3.3, 5.1	Identifies and analyses complex texts in a variety of forms to determine key information, specific requirements and responsibilities
Writing	1.2-1.4, 2.1, 2.6, 3.1, 3.2, 4.1, 5.1, 5.2, 5.3	- Records, collates and compiles information gathered from multiple sources using correct technical and enterprise specific language - Develops materials which incorporate specialised language in a format and style appropriate to audience and context - Composes required documents according to organisational requirements
Oral Communication	1.2, 1.3, 2.5, 2.6, 2.7, 3.3, 4.1	- Discusses compliance issues using structure and language to suit the audience - Uses listening and questioning techniques to confirm understanding of compliance requirements
Numeracy	2.2, 2.6	Interprets numerical information and applies basic mathematical calculations relating to budgetary information
Navigate the world of work	1.1, 1.3, 3.3, 5.1	Takes responsibility for developing, implementing and reviewing processes to achieve organisational outcomes
Interact with others	1.2, 1.3, 2.5, 2.6, 2.7, 3.3, 3.4, 4.1	- Identifies and uses appropriate conventions and practices when communicating with internal and external personnel - Identifies relevant information and ideas from a range of messages and oral and written exchanges,

Get the work done	1.4,1.5, 2.1-2.5, 2.7, 3.1-3.4, 4.1-4.3, 5.2, 5.3	• Takes responsibility for planning and implementing tasks required to achieve training objectives • Organises and coordinates resources required for training activities • Systematically analyses information to decide on appropriate training options and activities
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Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
BSBCOM403 Provide education and training on compliance requirements and systems	BSBCOM403B Provide education and training on compliance requirements and systems	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 BSBCOM403 Provide education and training on compliance requirements and systems

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Performance Evidence

Evidence of the ability to:

- obtain and analyse information required to keep up to date with organisational requirements regarding compliance requirements and obligations to provide training about compliance
- determine induction and training needs of individuals
- arrange training for identified individuals including:
 - developing training objectives
 - assessing and selecting training options
 - developing and implementing plans to execute, monitor and evaluate training
 - organising resource requirements
 - communicating with internal and external personnel
- prepare reports and records relevant to the development and operation of compliance training, according to organisational requirements.

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:

- list internal and external training options available to match the needs of the organisation and its staff in compliance related areas
- identify legislation, codes of practice, and Australian and international standards relevant to training and development in compliance management systems.

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
- organisational policies and procedures related to training or induction on compliance
- interaction with others
- computer resources and business technology
- compliance program/management system
- case studies and, where possible, real situations.

Assessors must satisfy NVR/AQTF assessor requirements.

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