



Australian Government

Assessment Requirements for BSBCOM603 Plan and establish 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 1.0.

Performance Evidence

Evidence of the ability to:

- plan for and set up a compliance program/management system, in collaboration with relevant personnel, using research methods and techniques suitable for conducting compliance related research projects
- review the organisational compliance requirements against legislation, regulations and standards
- plan for, identify and select a suitable compliance system
- prepare specifications
- document an action schedule for implementing, maintaining and reviewing the compliance system
- appoint and train staff on using the compliance system
- monitor and review the compliance system.

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:

- explain research methods and techniques suitable for conducting compliance related research projects
- describe the application of quantitative and qualitative data analysis techniques to compliance related research
- summarise relevant aspects of Australian and international standards
- outline elements of compliance program/management systems including:
 - documentation of compliance requirements relevant to the organisation
 - specification of compliance management functions, accountabilities and responsibilities within the organisation

- compliance related management information systems
 - record keeping systems required for compliance management
 - liaison procedures with relevant internal and external personnel on compliance related matters
 - breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
 - compliance reporting procedures
 - corporate induction and training processes related to compliance management
 - processes for the internal and external promulgation and promotion of information on compliance requirements and a compliance program management system
 - 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
 - reporting processes on compliance management including reports on breaches and rectification action
- explain relevant organisational policies and procedures including compliance plans in various compliance areas and organisational standards for operations and ethics.

Assessment Conditions

Assessment must be conducted in a safe environment where evidence gathered demonstrates consistent performance of typical activities experienced in the regulation, licensing and risk – compliance field of work and include access to:

- organisational policies and procedures and documentation relevant to compliance requirements
- interaction with others
- legislation, regulations and standards for compliance
- computer resources and business technology
- case studies and, where possible, real situations.

Assessors must satisfy NVR/AQTF assessor requirements.

Links

Companion Volume implementation guides are found in VETNet -

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