



Australian Government

BSBCOM603 Plan and establish compliance management systems

Release: 1

BSBCOM603 Plan and establish compliance management systems

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 plan and establish appropriate compliance program/management systems which enable an organisation to fulfil its obligations and responsibilities under applicable compliance requirements.

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

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 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 Determine applicable compliance requirements	1.1 Obtain and interpret information on current compliance requirements applicable to the organisation 1.2 Review each compliance requirement in terms of the relevant internal and external authorities, the risks involved, ways of ensuring compliance, the penalties for a breach of compliance, and the areas and operations of the organisation most affected

Element	Performance Criteria
2 Identify and select an appropriate compliance program/management system	2.1 Investigate each area of applicable compliance to determine available options for a compliance program/management system that would be consistent with relevant Australian and International standards 2.2 Review and compare the options for a suitable compliance program/management system and its various components on the basis of established criteria 2.3 Select an appropriate compliance program/management system for implementation
3 Plan required compliance program/management system	3.1 Determine and document components for the proposed compliance program/management system 3.2 Determine personnel requirements for the operation of the compliance program/management system and assign or recruit appropriate staff 3.3 Identify training requirements for the implementation of the proposed compliance program/management system and select suitable training options 3.4 Identify and document management information systems requirements for effective and efficient operation of the compliance program/management system 3.5 Select a complaints management system suitable for the organisation and its compliance responsibilities 3.6 Determine a strategy for developing a compliance management culture in collaboration with relevant internal and external personnel 3.7 Identify and document suitable processes and procedures for identifying and managing breaches in compliance requirements 3.8 Determine reporting requirements in the various areas of compliance and develop suitable processes and procedures to meet these requirements 3.9 Ensure identified resources including human resources required for developing, implementing, reviewing and maintaining the proposed compliance program/management system are budgeted and assigned
4 Document required compliance program/management system	4.1 Document the specifications for the various components of the proposed compliance program/management system in accordance with organisational procedures and any relevant statutory requirements

Element	Performance Criteria
	4.2 Document an action schedule for implementing, reviewing and maintaining the planned compliance program/management system and disseminate to relevant internal and external personnel 4.3 Seek approval from appropriate internal and external personnel or authorities prior to establishing the proposed compliance program/management system
5 Establish the planned compliance program/management system	5.1 Appoint and train assigned managers and operations personnel if required, before they assume their compliance management responsibilities 5.2 Establish the components of the compliance program/management system in collaboration with assigned staff 5.3 Monitor operation of the compliance program/management system in collaboration with assigned staff as per the approved plan 5.4 Conduct periodic reviews of the compliance program/management system in collaboration with assigned staff as per the approved plan 5.5 Prepare reports on the operation and review of the compliance program/management system in accordance with established procedures and any statutory or other compliance obligations

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, 2.2, 3.1, 3.2, 3.3, 3.4	Investigates and evaluates complex texts to determine key information and specific requirements and responsibilities
Writing	1.1, 3.1, 3.4, 3.6, 3.7, 4.1, 4.3, 5.2, 5.4, 5.5	- Develops material for a specific audience using clear and detailed language to convey information, requirements and recommendations - Collates and compiles data to convey specific information, requirements and

		recommendations Edits and incorporates amendments, as required to ensure compliance with regulatory requirements
Oral Communication	3.6, 4.3, 5.2, 5.4	- Conveys information, which incorporates evaluation of information and specialised and cohesive language, in a format and style appropriate to a specific audience - Elicits the view and opinions of others by listening and questioning
Navigate the world of work	all	Takes responsibility for developing, implementing and reviewing policies, procedures and processes in accordance with organisational and legislative requirements
Get the work done	1.2, 2.1-2.3, 3.2, 3.3, 3.5, 3.6, 3.8, 3.9, 4.2, 5.1- 5.4	- Plans strategic priorities and outcomes within a flexible, efficient and effective context in a diverse environment exposed to competing demands - Explores and incubates new and innovative ideas through unconstrained analysis and critical thinking to develop compliance program/management systems

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
BSBCOM603 Plan and establish compliance management systems	BSBCOM603C Plan and establish compliance management 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 BSBCOM603 Plan and establish compliance management systems

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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

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