



Australian Government

Department of Education, Employment and Workplace Relations

BSBCOM403B Provide education and training on compliance requirements and systems

Revision Number: 1

BSBCOM403B Provide education and training on compliance requirements and systems

Modification History

Not applicable.

Unit Descriptor

Unit descriptor	This unit describes the performance outcomes, skills and knowledge required to effectively implement and maintain an organisation's established compliance program/management system. This may include the organisation of the development and provision of appropriate internal and external learning opportunities and resources. This unit has been designed to be consistent with AS 3806: 2006 Compliance programs. No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.
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Application of the Unit

Application of the unit	Depending on the size of the organisation, the unit could be applied to different groups of managers. In small businesses, the unit could be undertaken by owner-managers, chief executives and/or other managers. In larger organisations, the unit could be required by managers and compliance section managers, who may have specific responsibility for the planning, development and operation of induction and training components of their organisation's compliance program. This unit is intended to ensure that compliance is an integral part of normal business operations. 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.
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Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Prerequisite units		

Employability Skills Information

Employability skills	This unit contains employability skills.
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Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.	Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.
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Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Identify the requirements for induction and ongoing training programs in compliance management	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 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	4.1. Prepare operational plan for the monitoring and evaluation of internal and external compliance

ELEMENT	PERFORMANCE CRITERIA
education and training systems	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 education and training systems	5.1. Document plans for the development and operation of both internal and external compliance induction and training systems in 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

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

This section describes the skills and knowledge required for this unit.

Required skills

- organisational skills to source, select and coordinate appropriate internal and external training options and activities within an organisation
- interpersonal skills to contribute to a positive culture of compliance ability to coordinate training and assessment activities within an organisation
- interpersonal skills to relate to internal and external personnel involved in compliance training
- organisational and time management skills to plan and develop appropriate internal and external training in compliance related areas, including:
 - developing internal and external training schedules
 - managing other personnel involved in the education and training activities
 - coordinating availability and use of training facilities, equipment and materials
- managerial skills to monitor and evaluate internal and external training programs in an organisation
- literacy skills to read, interpret and write a range of reports with complex concepts and processes.

Required knowledge

- internal and external training options available to match the needs of the organisation and its staff in compliance related areas
- Australian and international standards relevant to training and development in compliance management systems including:
 - AS 3806:2006 Compliance programs
 - AS ISO 10002:2006 Customer satisfaction - Guidelines for complaints handling in organizations
 - AS ISO 15489:2004 Records management
 - AS/NZS 4360:2004 Risk management
- sources of information on training options relevant to the development, implementation and maintenance of compliance program/management systems
- adult education and training principles
- elements of compliance programs and related 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

REQUIRED SKILLS AND KNOWLEDGE

- 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 compliance 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 management system
- reporting processes on compliance management including reports on breaches and rectification action
- relevant organisational policies and procedures including:
 - compliance plans and policies in various compliance areas
 - organisational standards for operations and ethics.

Evidence Guide

EVIDENCE GUIDE

The Evidence Guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

Overview of assessment

Critical aspects for assessment and evidence required to demonstrate competency in this unit

Evidence of the following is essential:

- provision of education and training to relevant personnel within an organisation to enable it to fulfill its obligations and responsibilities under applicable compliance requirements
- knowledge of adult education and training principles.

Context of and specific resources for assessment

Assessment must ensure:

- access to relevant information on internal and external training options in compliance related areas relevant to the organisation's needs
- relevant training and assessment materials, facilities and resources
- suitable internal training support staff and administrators
- access to training records related to the compliance training scheme
- access to appropriate computer resources for managing the organisation's compliance training scheme.

Method of assessment

A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:

- analysis of evaluation reports from participants in training programs provided
- assessment of training program materials, content, facilitator and participant guides
- direct questioning combined with review of portfolios of evidence and third party workplace reports of on-the-job performance by the candidate
- observations of interactions with trainees, team members, colleagues, regulatory authorities and clients
- oral or written questioning to assess knowledge of training program content or implementation

EVIDENCE GUIDE	
	• review of implementation plans for the internal and external compliance training, and the operational plan for the monitoring and evaluation of internal and external compliance training systems • assessment of operational reports, certification and training and assessment records.
Guidance information for assessment	Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example: • other compliance units.

Range Statement

RANGE STATEMENT

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

Compliance requirements may include:

- cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples in alphabetical groupings):
 - anti-discrimination
 - alcohol licensing regulations
 - bankruptcy
 - chemical use, child protection, construction, conveyancing/real estate, copyright, corporate governance, customs, credit
 - education, electricity, environmental protection, equal opportunity
 - financial services, fire, food hygiene, freedom of information, freight forwarding
 - gambling, gene technology
 - health, human rights
 - insurance, immigration, intellectual property
 - land management
 - maritime, mining
 - pharmaceuticals, patents, privacy
 - quarantine
 - racing
 - rail transport
 - road transport
 - safety
 - security
 - sewage
 - superannuation
 - taxation
 - telecommunications

RANGE STATEMENT	
	• tobacco • trade practices • consumer protection • water supply • workers compensation • workers rehabilitation • different types of external and internal compliance requirements including: • regulations of state/territory, national or international regulatory authority • accreditation requirements of an institute, professional organisation or registration body • requirements for certification under statutory licensing systems • statutory standards or codes of practice • internal policies, procedures, standards or codes of practice of an organisation

RANGE STATEMENT

<i>Compliance program/management system</i> may include:	• documentation of compliance requirements relevant to the organisation • breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements • compliance complaints handling systems • compliance related management information systems • compliance reporting procedures • corporate induction and training processes related to compliance management • continuous improvement processes for compliance including monitoring, evaluation and review • liaison procedures with relevant internal and external personnel on compliance related matters • processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system • record keeping systems required for compliance management • reporting processes on compliance management including reports on breaches and rectification action • specifications of compliance management responsibilities within the organisation • strategies for developing a positive compliance culture within the organisation • techniques and performance indicators for monitoring the operation of a compliance program/management system
<i>Individual responsibilities of personnel within the organisation to implement the organisation's compliance program/management system</i> may include:	• advising and consulting on compliance requirements and management systems • applying basic skills and knowledge (achieved in induction or orientation program) to ensure that compliance is maintained with applicable regulations, rules, codes etc. • costing and budgeting for compliance • creating a culture of compliance within an organisation

RANGE STATEMENT

- developing and implementing systems for compliance, including record keeping, complaints and reporting systems
- ensuring that the organisational infrastructure, policies and operating procedures for compliance are developed, implemented and maintained
- educating others on compliance requirements and related management systems
- ensuring compliance within others' work
- ensuring compliance within own work
- evaluating and reviewing compliance management system
- identifying and interpreting compliance requirements implementing the compliance records system
- implementing the compliance related complaints-handling system
- managing rectification of breaches of compliance requirements
- monitoring and reporting on the implementation of compliance systems and requirements
- organising the implementation of compliance program/management system
- planning and developing a compliance management system
- promoting compliance within and outside of an organisation
- rectifying identified breaches of compliance requirements
- undertaking risk management on compliance

RANGE STATEMENT	
<i>Internal compliance training programs</i> may include:	• induction and on-job coaching and mentoring on compliance responsibilities and roles within compliance programs and related management systems • internal off-job training on specific aspects of compliance management system such as MIS, complaints management, breach management, contributing to a compliance culture within the organisation, etc. (these may be substantial courses or short one-day workshops on specific issues) • internally developed and managed online training on specific aspects of the compliance management system including operational procedures and relevant roles and responsibilities
<i>External compliance training options</i> may include:	• training programs conducted by regulatory authorities on requirements and obligations within a specific area of compliance e.g. OHS (Australian Safety and Compensation Council) or financial advisor regulations (Australian Securities & Investments Commission) • training programs on relevant aspects of compliance conducted by accredited training organisations • externally developed and managed online training on specific aspects of compliance and compliance programs and related management systems
<i>Training personnel</i> may include:	• compliance education and training managers • training coordinators • trainers and assessors with expertise in relevant aspects of compliance requirements, compliance programs and related management systems • coaches and mentors in the workplace with expertise in relevant aspects of compliance requirements, compliance programs and related management systems • training support staff including administration staff, training resource managers and training material developers
<i>Operational reports, certification and training and assessment</i>	• accreditation submissions and related documentation

RANGE STATEMENT

records may include but are not limited to:

- assessment outcomes
- educational awards and training certificates
- reports on the evaluation of compliance training programs
- planning and operational documentation for both internal and external compliance training
- trainee and student records

Unit Sector(s)

Unit sector	
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Competency field

Competency field	Regulation, Licensing and Risk - Compliance
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Co-requisite units

Co-requisite units		