Australian Government

Department of Education, Employment and Workplace Relations

BSBCOM404B Promote and liaise on compliance requirements, systems and related issues

Release: 1

INDUSTRY SKILLS COUNCILS
Creating Australia's Future

BSBCOM404B Promote and liaise on compliance requirements, systems and related issues

Modification History

Not applicable.

Unit Descriptor

Unit descriptor	This unit describes the performance outcomes, skills and knowledge required to promote, communicate and liaise about an organisation's compliance requirements and commitments to staff, agents, contractors and other relevant third parties. This unit has been designed to be consistent with Australian Standard AS 3806: 2006 Compliance programs. No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.

Application of the Unit

Application of the unit	This unit applies to owner-managers, chief executives or senior managers in a small business, and managers or members of a compliance management team within a larger organisation. This unit requires well developed promotional and liaison skills combined with knowledge of relevant legislative requirements, code/s of practice and internal standards and procedures to ensure that compliance is an integral part of normal business operations.
	This unit also applies to promotional and/or liaison activities undertaken by an internal consultant responsible for advising the chief executive and/or management team on compliance management policies and systems, and related matters.
	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.

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Prerequisite units		

Employability Skills Information

Employability skills	This unit contains employability skills.

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.

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Clarify compliance issues on which liaison is required	1.1. Confirm and clarify with relevant internal and external personnel, *compliance issues* requiring communication 1.2. Seek and/or obtain information during the liaison activity on applicable *compliance requirements* and related *compliance program*/*management system* and summarise in an appropriate format 1.3. Identify, source and interpret sections of *relevant Australian and international standards* in terms of processes to be followed for promotional and liaison activities
2. Identify the target groups for promotional or liaison activities	2.1. Using appropriate means, identify groups that need to be aware of the organisation's compliance program/management system or that may need to be contacted about compliance issues 2.2. Record information on identified *target groups* and store in an appropriate format for use in activities to promote the compliance program/management system
3. Identify contacts for liaison	3.1. Identify suitable contacts from own network or with the assistance of relevant internal and external personnel 3.2. Apply *search techniques* to establish the most suitable contacts for the liaison activities, where appropriate
4. Develop an action plan for the promotional and liaison activities	4.1. Access and review details of the organisation's compliance program/management system 4.2. List internal and external persons and organisations that need to be aware of specific aspects of the compliance program/management system in *compliance management promotional and liaison activities* 4.3. Prepare an *action plan* for the compliance management promotional and liaison activities in collaboration with relevant internal and external personnel
5. Assign resources for promotional and liaison activities	5.1. Prepare to implement the planned compliance management promotional and liaison activities and negotiate a suitable budget with authorised personnel for approval 5.2. Assign or acquire physical and human resources for the execution of the planned promotional and liaison

ELEMENT	PERFORMANCE CRITERIA
	activities, in accordance with the approved action plan
6. Communicate with identified contacts	6.1. Make initial contact with identified *internal and/or external contacts* using appropriate *communication techniques* 6.2. Ensure the requirements for seeking information are clearly explained and *communicated* 6.3. Apply effective interpersonal skills during all communication activities 6.4. Provide accurate and clear details in written, electronic or oral form using appropriate techniques in accordance with relevant internal and external requirements 6.5. Record details of communications conducted as part of compliance related promotional and liaison activities in an appropriate format
7. Manage promotional and liaison activities	7.1. Brief managers and personnel on their roles and responsibilities in the compliance management promotional and liaison activities 7.2. Monitor compliance management promotional and liaison activities against objectives, established performance criteria, milestones and budget targets 7.3. Take appropriate action to ensure promotional activities achieve the planned outcomes within project limits
8. Evaluate promotional and liaison activities	8.1. Collect data and *performance indicators* from appropriate sources, on the outcomes of compliance management promotional and liaison activities 8.2. Analyse collected evaluation data in terms of planned outcomes and performance criteria 8.3. Summarise the results of the promotional and liaison activities and document identified issues and related recommendations
9. Document promotional activities	9.1. Record, store and disseminate details of the execution of planned compliance management promotional and liaison activities in accordance with the organisation's policies and procedures 9.2. Prepare and submit reports on the compliance management promotional and liaison activities and ensure the outcomes are relevant to internal and external personnel 9.3. Refer recommendations on improvements to compliance management promotional and liaison activities to relevant managers for appropriate action

ELEMENT	PERFORMANCE CRITERIA
	9.4. Organise and incorporate information on contacts established during compliance management liaison activities in an appropriate ***listing of contacts*** for future liaison activities

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

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

Required skills

- communication skills to use media in the course of promotional and liaison activities
- interpersonal skills to contribute to the development of a positive culture of compliance within an organisation
- interpersonal skills to establish rapport and to relate to internal and external compliance stakeholders
- literacy skills to read and interpret various types of documents and to write reports containing complex concepts
- organisational and time management skills to implement promotional compliance and liaison activities
- project management skills to:
    - scope and plan promotional and liaison activities
    - manage other personnel involved in the promotional and liaison activities
    - manage a budget for promotional and liaison activities
- research and analytical skills to identify target groups for promotional and liaison activities
- technical skills to use communications technology effectively.

Required knowledge

- Australian and international standards 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
- compliance requirements applicable to the organisation
- elements of compliance program 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 related matters
    - breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in

REQUIRED SKILLS AND KNOWLEDGE

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 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
- internal and external personnel with an interest in an organisation's compliance program/management system
- techniques suitable for liaising with others on an organisation's compliance program/management system and related issues
- reporting processes on compliance program/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: - successful promotion and liaison of a compliance program/management system for an external organisation or internally within an organization - knowledge of compliance requirements applicable to the organisation.
Context of and specific resources for assessment	Assessment must ensure: - multiple examples of promotional activities and liaison activities are assessed - access to relevant information on the organisation's applicable compliance requirements and related management system such as: - organisational policies, plans, standard operating procedures, compliance breach management procedures, etc. - relevant legislation, regulations, licensing requirements, codes of practice, standards, etc. - access to the relevant internal and external data files - access to relevant internal and external personnel - access to appropriate computer resources for maintaining a contact database or maintaining records of promotional and liaison activities.
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 about promotional activities - assessment of promotional materials, content, publications - direct questioning combined with review of portfolios of evidence and third party workplace reports of on-the-job performance by the candidate - observation of delivery of promotional activities relating to compliance requirements and systems

EVIDENCE GUIDE	
	• observations of interactions with internal and external stakeholders while conducting promotional activities and liaising about compliance management systems and processes, • oral or written questioning to assess knowledge of promotional or liaison activities and their implementation • review of authenticated compliance promotional documents or computer files from the workplace or training environment • review of action plan • assessment of records of communications about compliance related promotional and liaison activities.
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 issues may include:	• breach management strategies • changes in compliance requirements • costs of compliance • details of compliance requirements • interpretation of compliance requirements • personnel roles and responsibilities • possible exemptions in some areas of compliance requirements • risk management strategies

Compliance requirements may include:	• different types of external and internal compliance requirements including:
	  • accreditation requirements of an institute, professional organisation or registration body
	  • internal policies, procedures, standards or codes of practice of an organisation
	  • regulations of a state/territory, national or international regulatory authority
	  • requirements for certification under statutory licensing systems
	  • statutory standards or codes of practice
	• cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples in alphabetical groupings):
	  • anti-discrimination (including discrimination by race, sex, disability, religion, etc.), alcohol licensing (licensing regulations covering clubs, pubs, licensed premises, etc.), aviation
	  • bankruptcy
	  • chemical use, child protection, construction, conveyancing/real estate, copyright, corporate governance, customs,

RANGE STATEMENT

	credit
	• education, electricity, environmental protection, equal opportunity
	• financial services (including banking), 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 (including cross-industry generic regulations as well as industry, equipment or product-specific sub-categories e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, road safety, etc.), security, sewage, superannuation
	• taxation, telecommunications, tobacco, trade practices and consumer protection
	• water supply, workers compensation, workers rehabilitation

RANGE STATEMENT	
***Compliance program*/*management system* may include:**	• 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 • continuous improvement processes for compliance including monitoring, evaluation and review • corporate induction and training processes related to compliance management • documentation of compliance requirements relevant to the organisation • 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 beaches and rectification action • specification of compliance management accountabilities and 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
***Relevant Australian and international standards* may include:**	• 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
***Target groups* may include:**	• clients of the organisation • consultants and advisors to the organisation

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RANGE STATEMENT	
	• contractors and suppliers of services and resources to the organisation • internal management teams • internal operations teams and personnel • media and other organisations with a role in reporting on the organisation's compliance responsibilities and obligations, possible breaches in the requirements and the operation of the organisation's compliance program/management system • regulatory authorities and other organisations with an interest in applicable compliance requirements • staff

RANGE STATEMENT	
Search techniques **may include:**	• contacting relevant professional associations and other organisations that may be able to recommend possible contacts • internet search of websites of pertinent regulatory authorities, licensing bodies, organisations, etc. to identify relevant contacts • review of published information on personnel within relevant organisations such as company reports, journals and other documentation from regulators and other organisations with responsibility for overseeing that organisations fulfil compliance requirements • scan of suitable published reference materials such as business directories, corporate listings, government services and agencies, information directories, etc. to identify relevant contacts
Compliance management promotional and liaison activities **may include:**	• articles and papers in newsletters and journals • conferences, seminars and workshops • email communications • faxes • information promulgated via websites • interviews • letters, reports, completed forms and other types of written documentations • meetings • multimedia materials and resources • teleconferences and videoconferences • telephone discussions
Action plan **may include:**	• budget • key performance criteria and indicators • methodology for evaluating the success of the planned compliance management promotional activities • objectives and planned outcomes • planned processes for reporting on the compliance management promotional activities • required human and physical resources • schedule of activities • time lines and key milestones
Internal and/or external contacts	• board of directors

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RANGE STATEMENT	
may include:	• chief executive officer • chief executives and managers in organisations with an interest in the compliance issues being researched • compliance management team (where relevant) • compliance specialists at the operational level • frontline managers • legal and business advisors and consultants with expertise and interest in compliance requirements and related management systems • representatives of professional associations and institutes relevant to the organisation's operations and sphere of business • representatives of relevant authorities in pertinent compliance areas • senior management team

RANGE STATEMENT	
Communication techniques may include:	• electronic communications including telephone, fax, email, short message service (SMS), etc. • face-to-face oral communications • written communications
Requirements for seeking information may ***be communicated***:	• electronically • in writing • orally
Performance indicators may include:	• assessed increase in awareness among target groups of the compliance requirements and related compliance program/management system of the organisation • assessed increase in confidence in the ability of the organisation to fulfil its obligations and responsibilities under applicable compliance requirements • confidence of representatives of relevant regulatory authorities, licensing bodies, etc. in the capacity of an organisation and its managers and staff to take appropriate action to fulfil pertinent compliance requirements, and to rectify and report on any breaches in those requirements • reduction in breaches of compliance requirements among internal and external personnel including those contracted to provide services or supplies to the organisation
Listing of contacts may include:	• electronic database of contacts • hardcopy lists of contacts including address books and contact lists

Unit Sector(s)

Unit sector	

Competency field

Competency field	Regulation, Licensing and Risk - Compliance

Co-requisite units

Co-requisite units		