



Australian Government

BSBCOM404 Promote and liaise on compliance requirements, systems and related issues

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 communicate about an organisation's compliance requirements and commitments to staff, agents, contractors and other relevant third parties.

It applies to individuals who use 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.

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 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

ELEMENT	PERFORMANCE CRITERIA
	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 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

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

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	1.2, 1.3, 2.1, 3.2, 4.1, 5.2, 8.2, 9.4	Locates and analyses complex texts to determine key information, specific requirements and responsibilities
Writing	1.1, 1.2, 2.2, 4.2, 4.3, 6.1-6.5, 7.1, 8.2, 8.3, 9.1-9.4	- Records, collates and compiles information gathered from multiple sources using correct technical and enterprise specific language - Develops materials for specific audiences using correct and enterprise specific language - Prepares information in a designated format and style to convey information, requirements and recommendations
Oral Communication	1.1, 1.2, 3.1, 4.3, 5.1, 6.1-6.4, 7.1	- Discusses compliance issues using structure and language to suit the audience - Uses listening and questioning techniques to confirm understanding of compliance requirements
Numeracy	5.1, 7.2, 8.1-8.3	Interprets numerical information and applies mathematical calculations relating to budgetary information
Navigate the world of work	1.2, 1.3, 2.1, 3.1, 6.1, 6.4, 9.1	Takes personal responsibility for following organisational policies, procedures and legislative requirements
Interact with others	1.1, 1.2, 2.1, 3.1, 4.3, 5.1, 6.1-6.4, 7.1, 9.1, 9.3	- 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 exchanges
Get the work done	2.1, 2.2, 3.2, 4.1, 4.2, 5.1, 5.2, 6.5, 7.2, 7.3, 8.2, 8.3, 9.2, 9.3, 9.4	- Takes responsibility for planning and implementing tasks required to achieve promotional objectives in a timely manner - Contributes to continuous improvement of current work practices through consultation and development of appropriate systems - Uses the main features and functions of digital tools to complete work tasks

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
BSBCOM404 Promote and liaise on compliance requirements, systems and related issues	BSBCOM404B Promote and liaise on compliance requirements, systems and related issues	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 BSBCOM404 Promote and liaise on compliance requirements, systems and related issues

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Performance Evidence

Evidence of the ability to:

- obtain, analyse and summarise information about organisational compliance requirements and relevant Australian and international standards
- identify and liaise with internal and external personnel about the organisation's compliance requirements and commitments
- prepare and implement an action schedule for the compliance management promotional and liaison activities
- monitor and evaluate promotional and liaison activities against the planned outcomes
- analyse, summarise, record and store details of the compliance management promotional and liaison activities in required formats
- prepare and distribute periodic reports on the compliance management promotional and liaison activities.

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:

- identify relevant Australian and international standards
- identify compliance requirements applicable to the organisation
- identify elements of compliance program and related management systems list internal and external personnel with an interest in an organisation's compliance program/management system
- explain techniques suitable for liaising with others on an organisation's compliance program/management system and related issues
- list organisational policies and procedures relevant to compliance areas.

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:

- relevant legislation, codes or practice and Australian and international standards
- physical and human resources for the execution of the planned promotional and liaison activities
- relevant information on the organisation's compliance requirements and related management systems
- computer resources and business technology
- • case studies and, where possible, real situations.

Assessors must satisfy NVR/AQTF assessor requirements.

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