



Australian Government

BSBCOM602 Develop and create compliance requirements

Release: 1

BSBCOM602 Develop and create compliance requirements

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, develop and validate compliance requirements.

It applies to individuals who are responsible for the compliance requirements of an organisation. It also applies to individuals in regulatory authorities, licensing authorities, statutory standards authorities, professional associations and institutes, government departments or other organisations who are responsible for establishing compliance requirements to be fulfilled by other organisations and personnel.

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 the purpose and scope of the proposed compliance requirements	1.1 Determine the authority for the compliance requirements in conjunction with relevant personnel 1.2 Clarify the purpose of the compliance requirements with relevant authorised personnel 1.3 Determine the scope of the proposed compliance requirements

ELEMENT	PERFORMANCE CRITERIA
	in consultation with relevant internal and/or external personnel 1.4 Clarify the implications of non-compliance with the proposed compliance requirements and evaluate in consultation with relevant internal and/or external personnel 1.5 Identify and interpret relevant Australian and international standards pertaining to the proposed compliance requirements and related compliance program/management system
2 Prepare the development plan	2.1 Establish a suitable project methodology to identify and consult with relevant stakeholders who have an interest in the proposed compliance requirements 2.2 Prepare the plan for the proposed project to develop compliance requirements 2.3 Obtain approval of plan from relevant internal and/or external personnel
3 Consult with relevant stakeholders	3.1 Identify relevant internal and/or external stakeholders in the compliance requirements 3.2 Consult stakeholders on compliance requirements in accordance with the established methodology 3.3 Interpret, analyse and organise outcomes of consultations with stakeholders 3.4 Summarise findings and issues determined through the consultation process and draft appropriate recommendations on compliance requirements
4 Prepare the initial draft report on the proposed compliance requirements	4.1 Prepare the initial draft report on the proposed compliance requirements including information on the findings, issues and recommended requirements identified through the consultation processes 4.2 Submit draft report to the development team for consideration and make any changes required in preparation for validation consultations
5 Obtain feedback on draft compliance requirements	5.1 Determine an appropriate sample of stakeholders for the validation process in collaboration with the other members of the development team in accordance with the established methodology 5.2 Disseminate the draft compliance requirements to the identified sample of stakeholders using appropriate techniques and technology 5.3 Collate, interpret and analyse feedback received on the draft compliance requirements

ELEMENT	PERFORMANCE CRITERIA
	5.4 Summarise and organise outcomes of the feedback process in preparation for editing of the draft compliance requirements
6 Edit and document recommended compliance requirements	6.1 Edit the draft compliance requirements appropriately based on the feedback obtained from stakeholders 6.2 Format and proofread the edited compliance requirements in accordance with the agreed methodology 6.3 Submit the recommended compliance requirements in the required format to authorised personnel for consideration and due process for approval and implementation

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	1.5, 3.3, 3.4, 4.1, 5.3, 5.4, 6.1, 6.2	- Comprehends and analyses texts to identify key requirements - Identifies, analyses, reviews and extracts relevant information from complex texts - Proofreads draft texts to identify changes required
Writing	2.1-2.3, 3.3, 3.4, 4.1, 4.2, 5.3, 5.4, 6.1, 6.2	- Collates, summarises and compiles information from a range of sources - Develops materials for a specific audience using clear and detailed language to convey findings and recommendations - Edits and incorporates amendments to ensure compliance with regulatory or organisational requirements
Oral Communication	1.1-1.4, 2.3, 3.2, 5.1	- Conveys or seeks information, in a format and style appropriate to a specific audience - Elicits the views and opinions of others by listening and questioning
Navigate the world of work	1.5	Identifies organisational implications of legislative requirements and considers these when planning and implementing work
Interact with	1.1-1.4, 2.3, 3.2, 5.1	Collaborates with others using effective interpersonal skills to facilitate shared understanding

others		Identifies and uses appropriate conventions and practices when communicating with internal and external personnel
Get the work done	1.4, 1.5, 2.1, 2.2, 2.3, 3.1-3.3, 4.1, 4.2, 5.1-5.4, 6.1-6.3	- Sequences and schedules complex activities, monitors implementation and manages required communication with others - Gathers and analyses data and feedback to improve outcomes - Utilises features and functions of digital tools to complete complex tasks

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
BSBCOM602 Develop and create compliance requirements	BSBCOM602B Develop and create compliance requirements	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 BSBCOM602 Develop and create compliance requirements

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Performance Evidence

Evidence of the ability to:

- access and interpret information on relevant Australian and international standards
- collaborate with others to clarify the purpose and scope of the compliance requirements
- plan the compliance requirements using a suitable project methodology
- consult relevant stakeholders about compliance requirements according to the approved plan
- prepare draft recommendations on compliance requirements based on information collected during consultations
- collaborate with others to conduct a validation process on the draft compliance requirements
- document the final compliance requirements according to organisational requirements.

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:

- outline relevant compliance requirements
- explain methods and techniques suitable for the development and creation of compliance requirements
- 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 sharing 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 area 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 compliance field of work and include access to:

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

Assessors must satisfy NVR/AQTF assessor requirements.

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