



Australian Government

Department of Education, Employment and Workplace Relations

BSBCOM602B Develop and create compliance requirements

Revision Number: 1

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Modification History

Not applicable.

Unit Descriptor

Unit descriptor	This unit describes the performance outcomes, skills and knowledge required to develop and create compliance requirements. 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	This unit applies to managers and internal or external consultants of an organisation responsible for the development and creation of internal compliance requirements for the organisation, including standards, codes of practice, procedures and policies. It also applies to managers and officers in regulatory authorities, licensing authorities, statutory standards authorities, professional associations and institutes, government departments or other organisations with responsibility 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.
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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. 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 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	5.1. Determine an appropriate sample of stakeholders for the validation process in collaboration with the other

ELEMENT	PERFORMANCE CRITERIA
requirements	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 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

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

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

Required skills

- interpersonal skills to relate to internal and external personnel with an interest in the compliance requirements being developed
- project management skills to:
 - develop project plans
 - manage other personnel involved in the project activity
 - manage time
 - manage finances
- literacy skills to write reports containing complex concepts
- research skills to:
 - conduct literature and internet searches
 - assist with surveys to obtain input and feedback on compliance requirements
 - assist with the analysis and organisation of collected information and feedback on compliance requirements, using appropriate data collection techniques.

Required knowledge

- compliance requirements relevant to the organisation
- methods and techniques suitable for projects aimed at the development and creation of compliance requirements either as part of broader regulations, license requirements, etc. or internal standards, codes of practice, procedures and policies
- 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 compliance program/management system
 - compliance complaints handling systems

REQUIRED SKILLS AND KNOWLEDGE

- 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
- relevant Australian and international standards including but not limited to:
 - 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 quantitative and qualitative data analysis techniques relevant to compliance related evaluation
- relevant organisational policies and procedures including:
 - compliance plans and policies in various compliance areas
 - organisational standards for operations and ethics
- sources of data relevant to compliance requirements.

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:

- completion of project activity in which compliance requirements are developed and validated
- knowledge of compliance requirements relevant to the organisation.

Context of and specific resources for assessment

Assessment must ensure:

- access to relevant published material such as:
 - organisational policies, standard operating procedures, procedures and plans
 - relevant legislation, regulations, licensing requirements, codes of practice, standards
- access to relevant internal and external data files
- access to appropriate computer resources for online searching, data processing and analysis, and document preparation and editing.

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 techniques and data collected to develop and create compliance requirements
- assessment of reports documenting compliance requirements in the organisation
- direct questioning combined with review of portfolios of evidence and third party workplace reports of on-the-job performance by the candidate
- observations of activities undertaken to develop and create compliance systems and processes
- observations of interactions with internal and external stakeholders while developing and creating compliance requirements
- oral or written questioning to assess knowledge of methods and rationales for developing compliance systems and processes
- review of development plan

EVIDENCE GUIDE	
	• evaluation of outcomes of consultations with stakeholders • assessment of findings, issues and recommendations on compliance requirements.
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.

<i>Authority for the compliance requirements</i> may include:	• internal authorities (to an organisation) such as: • chief executive officer or senior managers • compliance manager • internal audit manager • quality control manager • external authorities such as: • educational institutions and organisations • government departments • professional associations and institutes • state/territory or national licensing authorities • state/territory or national statutory standards authorities • state/territory, national or international regulatory authorities
<i>Compliance requirements</i> 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

RANGE STATEMENT	
	regulations covering clubs, pubs, licensed premises, etc.), aviation • bankruptcy • chemical use, child protection, construction, conveyancing/real estate, copyright, corporate governance, customs, 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
Authorised personnel may include:	• chief executive officer or manager in an organisation • nominated representative of educational institution/s or organisation/s • nominated representative of professional association/s or institutes/s • nominated representative of a regulatory authority • nominated representative of a statutory standards authority

RANGE STATEMENT	
	• project manager • project steering committee
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 quantitative and qualitative data analysis techniques relevant to compliance related evaluation
Project methodology may include:	• desk analysis • environmental scans • interviews, focus groups, questionnaires • literature searches including internet searches • validation interviews, workshops, surveys
Plan may include:	• costs • details of the objectives and deliverables • methodology • personnel required including project manager, internal or external consultant or project team and those who may be consulted during the course of the project activities • time lines and milestones
Relevant internal and/or external stakeholders may include:	• board of directors • chief executive officer • chief executives and managers in organisations with an interest in the compliance requirements being developed • compliance management team (where relevant) • compliance specialists at the management level • 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 compliance requirements being developed • representatives of relevant authorities with an interest in the compliance requirements

RANGE STATEMENT	
	senior management team
<i>Development team</i> may include:	- internal and external consultants and advisors - project manager - reference panel/s - steering or advisory committee - team members

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		