



**Australian Government**

**Department of Education, Employment and Workplace Relations**

# **BSBCOM601A Research compliance requirements and issues**

**Release: 1**

## **Modification History**

Not Available

## INTRODUCTION

Unit Descriptor	This unit covers the research activities needed to explore and investigate various aspects and issues associated with compliance requirements and a related compliance program/management system. It may be focused on researching aspects and issues to do with compliance requirements and system for a specific organisation, or aspects and issues of compliance more generally, such as across a particular industry or the national economy.
Competency Field	Business management services
Domain	Compliance management
Application of the Competency	<p>This unit applies to the higher-level research activities needed to identify and investigate critical aspects of compliance requirements and related systems.</p> <p>It could be undertaken by officers in regulatory authorities or other organisations with roles and responsibilities related to identifying and investigating impacts, issues and policy implications of various aspects of compliance. It also covers the competencies required by an internal or external consultant who carries out research activities for clients on various aspects of compliance.</p> <p>While competence in this unit requires the demonstration of a core of knowledge associated with the general research processes generally, there is also a variable knowledge set related to the range of generic and specific legislative requirements, code(s) of practice, standards and procedures relevant to the person's roles and responsibilities.</p> <p>This unit differs from BSBCOM501A Identify and interpret compliance requirements, as the research activities involve higher- order competence aimed at carrying out research into a wide potential range of compliance related aspects and issues, such as the costs of compliance, the potential impact of compliance on an organisation or industry, and the risks and consequences of non- compliance. In contrast, BSBCOM501A is more narrowly focused on identifying and interpreting the specific legislative requirements, code(s) of practice and internal standards and procedures as these relate to a particular organisation.</p> <p>This unit is intended to ensure that compliance is an integral part of normal business operations.</p> <p>Application of this unit must be consistent with the pertinent sections of relevant Australian and international standards and legislative requirements including – AS 3806: Compliance Programs, AS 4269: Complaints Handling, A/NZS: 4360 Risk Management and AS ISO 15489: Records</p>

## Management.

### Element

### Performance Criteria

Elements define the critical outcomes of a unit of competency.

The Performance Criteria specify the level of performance required to demonstrate achievement of the Element. Italicised terms are elaborated in the Range Statement.

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| 1. Clarify the purpose and scope of the research | <p>1.1 The purpose and scope of the required compliance related research is confirmed and clarified in collaboration with the client(s) and relevant internal and/or external personnel</p> <p>1.2 The purpose and scope of the required research is documented in accordance with organisational and/or client requirements</p>   |
| 2. Develop the research plan                     | <p>2.1 A suitable research methodology is developed to enable sufficiently valid and reliable outcomes for the required research</p> <p>2.2 The research plan for the proposed project is prepared</p> <p>2.3 Approval of plan is obtained from relevant internal and/or external personnel</p>  |
| 3. Gather required research data                 | <p>3.1 Relevant research data is collected using appropriate research techniques and sources in accordance with the agreed research plan</p> <p>3.2 Information on relevant Australian and International standards pertaining to compliance requirements and related systems is gathered and interpreted from appropriate sources</p> <p>3.3 Collected data is organised, interpreted and reviewed in terms of its relevance to the project's purpose and objectives</p> <p>3.4 Ambiguities, uncertainties and problems experienced while interpreting collected data are discussed and addressed appropriately in conjunction with relevant internal or external personnel</p> <p>3.5 Interpreted research data is organised for later analysis</p> |
| 4. Analyse the collected data                    | <p>4.1 Data is analysed in accordance with planned methodology</p> <p>4.2 Outcomes of the analysis are reviewed and discussed with relevant internal or external personnel</p>   |

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5. Determine research findings and outcomes
- 5.1 The outcomes of the analysis of data are interpreted in accordance with the project objectives
  - 5.2 Preliminary findings, any identified issues and related recommendations are developed and discussed with relevant internal and/or external personnel
  - 5.3 Any additional data collection and analysis required to clarify aspects of findings, issues and related action options is undertaken if necessary
6. Document and disseminate the outcomes of the research
- 6.1 A draft report of the outcomes, findings and recommendations of the research is prepared in accordance with the agreed structure and format, and distributed to relevant internal and/or external personnel for comment and feedback
  - 6.2 The report is edited based on the feedback obtained
  - 6.3 The report is proofread prior to publication
  - 6.4 The report of outcomes, findings and recommendations of the research is signed off by authorised personnel
  - 6.5 The report is produced and disseminated to nominated internal and/or external personnel in accordance with agreed arrangements

## RANGE STATEMENT

The Range Statement adds definition to the unit by elaborating critical or significant aspects of the performance requirements of the unit. The Range Statement establishes the range of indicative meanings or applications of these requirements in different operating contexts and conditions. The specific aspects which require elaboration are identified by the use of italics in the Performance Criteria.

Legislation, codes and national standards relevant to the workplace may include:	<ul style="list-style-type: none"><li>• award and enterprise agreements and relevant industrial instruments</li><li>• relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety (OHS) and environmental issues, equal opportunity, industrial relations and anti-discrimination</li><li>• relevant industry codes of practice</li></ul>
Purpose and scope of compliance related research may include but is not limited to:	<ul style="list-style-type: none"><li>• potential impacts of compliance requirements upon an organisation, an industry or an economy</li><li>• program and system requirements for effective compliance management</li><li>• costs of compliance at the organisation or wider levels</li><li>• potential consequences of non-compliance at the organisation or wider levels</li><li>• skill requirements and organisational structures for effective compliance management</li><li>• investigation of relevant jurisdictional aspects of compliance covering:<ul style="list-style-type: none"><li>- organisational issues</li><li>- industry issues</li><li>- local issues</li><li>- state issues</li><li>- national issues</li><li>- global issues</li></ul></li></ul>
Client(s) for the research may include but are not limited to:	<ul style="list-style-type: none"><li>• regulatory authorities</li><li>• enterprises</li><li>• government departments</li><li>• professional associations and institutes</li><li>• educational institutions and organisations</li></ul>
Relevant internal and/or	<ul style="list-style-type: none"><li>• chief executive officer</li></ul>

external personnel might include but are not limited to:

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

Research methodology may include but is not limited to:

- literature searches including web searches
- environmental scans
- surveys including interviews, focus groups, questionnaires
- desk analysis
- quantitative data analysis using manual and computerised techniques
- qualitative data analysis

Research plan may include but is not limited to:

- details of the research objectives and deliverables
- methodology
- timelines and milestones
- costs
- personnel required including project manager, the researcher or research team and those who may be consulted during the course of the research activities

Research data may include but is not limited to:

- published documents including papers, standards, regulations
- document files downloaded from Internet websites
- completed survey questionnaires
- records of interviews, meetings or focus group workshop outcomes
- written correspondence including letters, faxes, emails
- records of telephone conversations
- quantitative data collected from various sources, such as

ABS data, data provided by regulatory authorities,  
demographic data

Relevant Australian and international standards may include but are not limited to:

- AS 3806: Compliance Programs
- AS 4269: Complaints Handling
- A/NZS 4360: Risk Management
- AS ISO 15489: Records Management

Authorised personnel may include but are not limited to:

- project manager
- project steering committee
- chief executive officer or manager in an organisation
- nominated representative of a regulatory authority
- nominated representative of a professional association(s) or institute(s)
- nominated representative of a educational institution(s) or organisation(s)



## EVIDENCE GUIDE

The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of the assessment requirements followed by identification of specific aspects of evidence that will need to be addressed in determining competence. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.

Assessment must reflect the endorsed Assessment Guidelines of the parent Training Package.

### Overview of Assessment Requirements

A person who demonstrates competence in this standard must be able to provide evidence that they have successfully completed at least three projects aimed at researching key aspects or issues associated with compliance requirements or a compliance program/management system. The research project(s) may be undertaken externally for an organisation such as a larger organisation or a regulatory authority, or internally within an organisation as a compliance officer, internal compliance researcher, or member of a compliance management team (usually within a larger organisation).

Evidence will include:

- demonstration of core skills and knowledge required in conducting research projects
- demonstration of the specific skills and knowledge that may be uniquely required to carry out research in particular compliance areas such as insurance, transport, credit, food production, banking, etc., and/or on specific issues such as impact of compliance, costs of compliance, risks of non-compliance, scope of compliance requirements.
- Note: dependent on the size of the type of research involved and the scope of its purpose and objectives, the depth, breadth and complexity of skills and knowledge to conduct compliance related research may vary.

### Specific Evidence Requirements

Required knowledge and understanding include:

- research methods and techniques suitable for compliance related research projects
- sources of data relevant to compliance related research
- quantitative and qualitative data analysis techniques relevant to compliance related research
- relevant Australian and international standards including but not limited to:
  - AS 3806: Compliance Programs
  - AS 4269: Complaints Handling
  - A/NZS 4360: Risk Management
  - AS ISO 15489: Records Management

- compliance requirements relevant to the organisation
- elements of compliance program/management systems including:
  - 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
  - continuous improvement processes for compliance including monitoring, evaluation and review
  - strategies for development of 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 organisational policies and procedures including:
  - compliance plans and policies in various compliance areas
  - organisational standards for operations and ethics

Required skills and attributes include:

- ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities
- ability to contribute to a positive culture of compliance within an organisation
- research skills to:
  - conduct literature and web searches
  - conduct various types of research surveys
  - analyse and organise research data, including qualitative and quantitative data, using appropriate techniques
- research management skills to:
  - develop research plans

- manage other personnel involved in the research activity
- manage time
- manage finances
- communication and interpersonal skills:
  - written and verbal communication skills
  - ability to relate to internal and external personnel and in particular those representing relevant regulatory authorities, professional institutes and organisations, standards organisations, etc.

Key competencies or generic skills relevant to this unit

The seven key competencies represent generic skills considered essential for effective work participation. Innovation skills represent a further area of generic competence. The bracketed numbering indicates the performance level required in this unit:

Level (1) represents the competence to undertake tasks effectively

Level (2) represents the competence to manage tasks

Level (3) represents the competence to use concepts for evaluating and reshaping tasks

The bulleted points provide examples of how the key competencies can be applied for this unit.

Communicating ideas and information (3)

- consulting with others and sharing ideas in the course of surveys and other research activities
- communicating with internal and/or external client(s) for the research project

Collecting, analysing and organising information (3)

- gathering and analysing data as per research plan
- sorting and organising outcomes of data analysis

Planning and organising activities (3)

- preparing the project plan for the research activities

Working in a team (2)

- managing the work of others performing specific functions as part of a compliance related research project

Using mathematical ideas and techniques (3)

- conducting quantitative data analysis within a compliance related research project

Solving problems (3)

- solving problems arising in the conduct of a compliance related research project

- Using technology (3)
- using computers and software packages for the collection, processing and analysis of research data
- Innovation skills (3)
- recognising and creating opportunities for innovative data analysis activities that may improve the efficiency, reliability and validity of the research processes and outcomes
- Products that could be used as evidence include:
- research plans
  - outcomes of the data collection processes
  - summaries of the outcomes of data analysis
  - diaries and other records of research processes used
  - draft and final research reports
- Processes that could be used as evidence include:
- how the literature and web searches were conducted
  - how data collection methods were implemented
  - how data analysis was conducted
  - how feedback on draft findings, issues and recommendations was obtained and interpreted
  - how personnel performing relevant compliance research activities were managed
  - how research report was drafted and edited
- Resource implications for assessment include:
- 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 the relevant internal and external data files
  - access to appropriate computer resources for online searching, data processing and analysis, and report preparation and editing
- Validity and sufficiency of evidence requires:
- that where assessment is part of a learning experience, evidence will need to be collected over a period of time, involving both formative and summative assessment
  - full documentation of the successful conduct of at least three compliance related research projects. These may be suitably simulated projects or actual research projects planned and implemented for internal or external clients
- Integrated competency
- that this unit can be assessed alone or as part of an integrated

assessment means:                    assessment activity involving other relevant compliance  
management units or related records management units