



Australian Government

Department of Education, Employment and Workplace Relations

BSBCOM601B Research compliance requirements and issues

Revision Number: 1

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Modification History

Not applicable.

Unit Descriptor

Unit descriptor	<p>This unit describes the performance outcomes, skills and knowledge required to explore and investigate various aspects and issues associated with compliance requirements and a related compliance program/management system.</p> <p>No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.</p>
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Application of the Unit

Application of the unit	<p>This unit applies to the higher level research activities needed to identify and investigate critical aspects of compliance requirements and related systems. It may be focused on researching aspects and issues to do with compliance requirements and systems for a specific organisation, or aspects and issues of compliance more generally, such as across a particular industry or the national economy.</p> <p>The unit applies to officers in regulatory authorities or large organisations with roles and responsibilities related to identifying and investigating impacts, issues and policy implications of various aspects of compliance. It also applies to internal or external consultants who carry out research activities for clients on various aspects of compliance as a compliance researcher or member of a compliance management team (usually within a larger organisation).</p>
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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 research	1.1. Confirm and clarify the <i>purpose and scope of the required compliance related research</i> in collaboration with the <i>client/s</i> and relevant <i>internal and/or external personnel</i> 1.2. Document the purpose and scope of the required research in accordance with organisational and/or client requirements
2. Develop the research plan	2.1. Develop a suitable <i>research methodology</i> to enable sufficiently valid and reliable outcomes for the required research 2.2. Prepare the <i>research plan</i> for the proposed project 2.3. Obtain approval of plan from relevant internal and/or external personnel
3. Gather required research data	3.1. Collect relevant <i>research data</i> using appropriate research techniques and sources in accordance with the agreed research plan 3.2. Gather and interpret from appropriate sources, information on <i>relevant Australian and international standards</i> pertaining to compliance requirements and related systems 3.3. Organise, interpret and review collected data in terms of its relevance to the project's purpose and objectives 3.4. Discuss ambiguities, uncertainties and problems experienced while interpreting collected data and address appropriately in conjunction with relevant internal or external personnel 3.5. Organise interpreted research data for later analysis
4. Analyse collected data	4.1. Analyse data in accordance with planned methodology 4.2. Review and discuss outcomes of the analysis with relevant internal or external personnel
5. Determine research findings and outcomes	5.1. Interpret the outcomes of the data analysis in accordance with the project objectives 5.2. Develop and discuss preliminary findings, identified issues and related recommendations with relevant internal and/or external personnel 5.3. Undertake any additional data collection and analysis required to clarify aspects of findings, issues and related action options

ELEMENT	PERFORMANCE CRITERIA
6. Document and disseminate research outcomes	<p>6.1. Prepare a draft report of the research outcomes, findings and recommendations in accordance with the agreed structure and format, and distribute to relevant internal and/or external personnel for comment and feedback</p> <p>6.2. Edit the report based on the feedback obtained</p> <p>6.3. Proofread the report prior to publication</p> <p>6.4. Ensure the outcomes, findings and recommendations in the report are signed off by <i>authorised personnel</i></p> <p>6.5. Produce and disseminate the report to nominated internal and/or external personnel in accordance with agreed arrangements</p>

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

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

Required skills

- interpersonal skills to contribute to a positive culture of compliance within an organisation
- interpersonal skills to relate to internal and external personnel and in particular those representing relevant regulatory authorities, professional institutes and organisations, standards organisations
- project management skills to:
 - manage other personnel involved in the research activity
 - manage time
 - manage finances
- research skills to:
 - conduct literature and internet searches
 - assist with various types of research surveys
 - assist with the analysis and organisation of research data, including qualitative and quantitative data, using appropriate techniques
 - develop research plans.

Required knowledge

- compliance requirements relevant to the organisation research methods and techniques suitable for compliance related research projects
- 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,

REQUIRED SKILLS AND KNOWLEDGE

- 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
 - quantitative and qualitative data analysis techniques relevant to compliance related research
 - 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 related research.

Evidence Guide

EVIDENCE GUIDE	
<p>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.</p>	
Overview of assessment	
Critical aspects for assessment and evidence required to demonstrate competency in this unit	<p>Evidence of the following is essential:</p> <ul style="list-style-type: none"> • completion of projects in which key aspects or issues associated with compliance requirements or a compliance program/management system have been researched • knowledge of compliance requirements relevant to the organisation research methods and techniques suitable for compliance related research projects.
Context of and specific resources for assessment	<p>Assessment must ensure:</p> <ul style="list-style-type: none"> • access to relevant published material such as: <ul style="list-style-type: none"> • 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 report preparation and editing.
Method of assessment	<p>A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:</p> <ul style="list-style-type: none"> • analysis of techniques and data collected to identify compliance requirements • assessment of reports documenting compliance research and issue findings • 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 research compliance requirements and issues • observations of interactions with internal and external stakeholders while researching compliance requirements • oral or written questioning to assess knowledge of

EVIDENCE GUIDE	
	<p>compliance processes used to identify compliance requirements and issues</p> <ul style="list-style-type: none">• review research plan• evaluation of process used to distribute draft report of the research outcomes, findings and recommendations for comment and feedback, and outcomes of this process.
Guidance information for assessment	<p>Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended, for example:</p> <ul style="list-style-type: none">• 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.

<p><i>Purpose and scope of the required compliance related research</i> may include:</p>	<ul style="list-style-type: none"> • costs of compliance at the organisation or wider levels • investigation of relevant jurisdictional aspects of compliance covering: <ul style="list-style-type: none"> • organisational issues • industry issues • local issues • state/territory issues • national issues • global issues • potential consequences of non-compliance at the organisation or wider levels • potential impacts of compliance requirements upon an organisation, an industry or an economy • program and system requirements for effective compliance management • skill requirements and organisational structures for effective compliance management
<p><i>Client/s</i> may include:</p>	<ul style="list-style-type: none"> • educational institutions and organisations • enterprises • government departments • professional associations and institutes • regulatory authorities
<p><i>Relevant internal and/or external personnel</i> may include:</p>	<ul style="list-style-type: none"> • board of directors • 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

RANGE STATEMENT	
	<p>with expertise and interest in compliance requirements and related management systems</p> <ul style="list-style-type: none"> • 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
Research methodology may include:	<ul style="list-style-type: none"> • desk analysis • environmental scans • literature searches including internet searches • qualitative data analysis • quantitative data analysis using manual and computerised techniques • surveys including interviews, focus groups, questionnaires
Research plan may include:	<ul style="list-style-type: none"> • costs • details of the research objectives and deliverables • methodology • personnel required including project manager, researcher or research team and those who may be consulted during the course of the research activities • time lines and milestones
Research data may include:	<ul style="list-style-type: none"> • completed survey questionnaires • document files downloaded from internet websites • published documents including papers, standards, regulations • quantitative data collected from various sources, such as ABS data, data provided by regulatory authorities, demographic data • records of interviews, meetings or focus group workshop outcomes • records of telephone conversations • written correspondence including letters, faxes, emails
Relevant Australian and international standards may include:	<ul style="list-style-type: none"> • AS 3806:2006 Compliance programs • AS ISO 10002:2006 Customer satisfaction - Guidelines for complaints handling in organizations

RANGE STATEMENT	
	<ul style="list-style-type: none"> AS ISO 15489:2004 Records management AS/NZS 4360:2004 Risk management quantitative and qualitative data analysis techniques relevant to compliance related evaluation
<i>Authorised personnel</i> may include but are not limited to:	<ul style="list-style-type: none"> chief executive officer or manager in an organisation nominated representative of educational institution/s or organisation/s nominated representative of professional association/s or institute/s nominated representative of a regulatory authority project manager project steering committee

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		