



Australian Government

BSBCOM601 Research compliance requirements and issues

Release: 1

BSBCOM601 Research compliance requirements and issues

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 explore and investigate various aspects and issues associated with compliance requirements and a related compliance program/management system.

It applies to individuals in regulatory authorities or large organisations with 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.

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 research	1.1 Confirm and clarify the purpose and scope of the required compliance related research in collaboration with the client/s and relevant internal and/or external personnel 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 research methodology to enable sufficiently valid and reliable outcomes for the required research 2.2 Prepare the research plan for the proposed project

ELEMENT	PERFORMANCE CRITERIA
	2.3 Obtain approval of plan from relevant internal and/or external personnel
3 Gather required research data	3.1 Collect relevant research data using appropriate research techniques and sources in accordance with the agreed research plan 3.2 Gather and interpret from appropriate sources, information on relevant Australian and international standards 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
6 Document and disseminate research outcomes	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 6.2 Edit the report based on the feedback obtained 6.3 Proofread the report prior to publication 6.4 Ensure the outcomes, findings and recommendations in the report are signed off by authorised personnel 6.5 Produce and disseminate the report to nominated internal and/or external personnel in accordance with agreed arrangements

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, 3.1, 3.2, 3.4, 3.5, 4.1, 5.2, 6.2, 6.3	- 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	1.2, 2.1-2.3, 3.2-3.4, 4.2, 5.2, 6.1-6.3	- Collates, summarises and compiles information from a range of sources - Develops reports 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, 2.3, 3.4, 4.2, 5.2	- Conveys 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	3.2	Identifies organisational implications of legislative requirements and considers these when planning and implementing work
Interact with others	1.1, 2.3, 3.4, 4.2, 5.2	- Collaborates with others using effective interpersonal skills to facilitate shared understanding - Identifies and uses appropriate conventions and practices when communicating with internal and external personnel
Get the work done	1.2, 2.1, 2.2, 3.1-3.5, 4.1, 4.2, 5.1-5.3, 6.1-6.5	- 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
BSBCOM601 Research compliance requirements and issues	BSBCOM601B Research compliance requirements and 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 BSBCOM601 Research compliance requirements and issues

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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 identify and document the purpose and scope of the compliance research
- plan the research requirements including:
 - selecting an appropriate research methodology
 - preparing a research plan
 - getting approval for the plan from appropriate people
- carry out the research according to the approved plan including:
 - collecting, organising, analysing and interpreting data
 - reviewing and discussing analysis and preliminary outcomes with relevant personnel
- prepare and distribute report of the research outcomes 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:

- explain compliance requirements relevant to the organisational research methods
- explain elements of relevant compliance program/management systems
- describe quantitative and qualitative data analysis techniques relevant to compliance related research
- list relevant Australian and international standards
- identify relevant organisational policies and procedures
- identify sources of information relevant to compliance related research.

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 information and Australian and international standards related to compliance requirements
- relevant personnel
- computer resources and business equipment
- case studies and, where possible, real situations.

Assessors must satisfy NVR/AQTF assessor requirements.

Links

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