



Australian Government

BSBAUD515 Evaluate and review compliance

Release: 1

BSBAUD515 Evaluate and review compliance

Modification History

Release	Comments
Release 1	This version first released with BSB Business Services Training Package Version 7.0.

Application

This unit describes the skills and knowledge required to evaluate an organisation's management system and assess its ability to fulfil its obligations and responsibilities under applicable compliance requirements.

The unit applies to individuals who are responsible for evaluating and reviewing the operation and effectiveness of an organisation's management system to ensure compliance with the relevant standards.

Application of this unit must be consistent with the relevant sections of standards and legislative requirements.

Unit Sector

Technical Skills – Audit and 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. Develop evaluation plan	1.1 Obtain and interpret information on organisation's policies, procedures and compliance requirements 1.2 Develop evaluation methodology 1.3 Prepare evaluation plan, detailing established evaluation criteria and data to be collected 1.4 Confirm approval of plan from relevant stakeholders
2. Prepare evaluation data	2.1 Source required evaluation data according to evaluation plan 2.2 Organise, interpret and review collected data against established evaluation criteria 2.3 Discuss issues interpreting data and address in consultation with

ELEMENT	PERFORMANCE CRITERIA
	relevant stakeholders 2.4 Arrange evaluation data for analysis
3. Analyse data	3.1 Analyse evaluation data in accordance with evaluation plan 3.2 Discuss outcomes and findings of the analysis with relevant stakeholders
4. Determine evaluation findings and outcomes	4.1 Develop and discuss preliminary findings and any identified issues with relevant stakeholders 4.2 Source additional data required to clarify aspects of findings, and issues, where required 4.3 Prepare recommendations for actions to improve identified issues
5. Distribute outcomes and recommendations of evaluation	5.1 Prepare draft report of outcomes, findings and recommendations of the compliance evaluation 5.2 Distribute draft report to relevant stakeholders 5.3 Edit report based on the feedback obtained 5.4 Proofread report in preparation for publishing 5.5 Confirm final report is signed off by authorised personnel 5.6 Distribute report to relevant stakeholders according to evaluation plan

Foundation Skills

This section describes those language, literacy, numeracy and employment skills that are essential to performance but not explicit in the performance criteria.

Skill	Description
Reading	- Identifies, interprets, analyses and reviews complex texts from various sources to determine legislative requirements, organisational operations, specific requirements and responsibilities - Checks documents for accuracy of content, grammar, spelling and punctuation
Writing	- Collates and compiles results of research and analysis using technical language and organisational formats - Develops materials to convey information, requirements and recommendations using language and structure appropriate to the audience - Composes and edits texts, selecting appropriate vocabulary and structure for audience and purpose

Skill	Description
Self-management	Follows policies, procedures and legislative requirements
Planning and organising	Plans, develops, implements and monitors processes for evaluating and reviewing compliance performance
Technology	Uses digital tools and systems to locate, organise and share information effectively

Unit Mapping Information

Supersedes and is equivalent to BSBCOM502 Evaluate and review compliance.

Supersedes but is not equivalent to BSBCOM602 Develop and create compliance requirements.

Links

Companion Volume Implementation Guide is found on VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=11ef6853-ceed-4ba7-9d87-4da407e23c10>

Assessment Requirements for BSBAUD515 Evaluate and review compliance

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Performance Evidence

The candidate must demonstrate the ability to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including evidence of the ability to:

- develop outcomes, findings and recommendations regarding an organisation's compliance requirements, on at least two different occasions.

In the course of the above, the candidate must:

- access and interpret information about required compliance standards
- develop an evaluation plan including:
 - preparation of an evaluation methodology
 - preparation and submission of a final report for approval and implementation.

Knowledge Evidence

The candidate must be able to demonstrate knowledge to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including knowledge of:

- compliance evaluation methods
- sources of data relevant to compliance requirements
- format and content of an evaluation plan and a report
- features of relevant compliance management systems
- organisational policies and procedures
- standards and legislative requirements relevant to compliance.

Assessment Conditions

Skills in this unit must be demonstrated in a workplace or simulated environment where the conditions are typical of those in a working environment in this industry.

This includes access to:

- standards, laws, regulations, industry and organisational codes and standards relevant to compliance requirements

- data required for the demonstration of the performance evidence
- resources for conducting digital searches.

Assessors of this unit must satisfy the requirements for assessors in applicable vocational education and training legislation, frameworks and/or standards.

Links

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