



**Australian Government**

# **BSBCOM502 Evaluate and review compliance**

**Release: 1**

## BSBCOM502 Evaluate and review compliance

### 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 evaluate and review an organisation's compliance program/management system and how it is fulfilling its obligations and responsibilities under applicable compliance requirements.

It applies to individuals who are responsible for evaluating and reporting on the operation and effectiveness of an organisation's planned compliance program/management system to ensure that compliance is an integral part of normal business operations.

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.

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 Develop the evaluation plan                    | 1.1 Obtain details of the organisation's compliance policies, objectives and assessment criteria<br>1.2 Obtain and interpret information on current compliance requirements applicable to the organisation<br>1.3 Develop a suitable evaluation methodology to enable sufficiently valid and reliable outcomes for the required research |

| ELEMENT                                                                       | PERFORMANCE CRITERIA                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
|-------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                               | <p>and suitable arrangements for both internal and external monitoring processes</p> <p>1.4 Prepare the evaluation plan for the proposed project including the detailing of established evaluation criteria and the data to be collected</p> <p>1.5 Obtain approval of plan from relevant internal and/or external personnel</p>                                                                                                                                                                                                                                                                                                                         |
| 2 Gather required evaluation data                                             | <p>2.1 Collect relevant evaluation data on how the organisation is fulfilling its compliance requirements using appropriate techniques and sources in accordance with the agreed evaluation plan</p> <p>2.2 Organise, interpret and review collected data against established evaluation criteria including those specified in relevant Australian and international standards</p> <p>2.3 Discuss ambiguities, uncertainties and problems experienced while interpreting collected data and address appropriately in conjunction with relevant internal and/or external personnel</p> <p>2.4 Organise interpreted evaluation data for later analysis</p> |
| 3 Analyse the collected data                                                  | <p>3.1 Analyse evaluation data in accordance with planned methodology</p> <p>3.2 Review and discuss outcomes and findings of the analysis with relevant internal and/or external personnel</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| 4 Determine evaluation findings and outcomes                                  | <p>4.1 Develop and discuss preliminary findings and any identified issues with relevant internal and/or external personnel</p> <p>4.2 Undertake any additional data collection and analysis required to clarify aspects of findings, issues and related action options if necessary</p> <p>4.3 Prepare recommendations for any action to improve identified deficiencies in conjunction with relevant internal and/or external personnel</p>                                                                                                                                                                                                             |
| 5 Document and disseminate the outcomes and recommendations of the evaluation | <p>5.1 Prepare a draft report of the outcomes, findings and recommendations of the compliance evaluation in accordance with the agreed structure and format and distribute to relevant internal and/or external personnel for comment and feedback</p> <p>5.2 Edit the report based on the feedback obtained</p> <p>5.3 Proofread the report in preparation for publishing</p> <p>5.4 Ensure the report of outcomes, findings and recommendations of the evaluation is signed off by authorised personnel</p>                                                                                                                                            |

| ELEMENT | PERFORMANCE CRITERIA                                                                                                       |
|---------|----------------------------------------------------------------------------------------------------------------------------|
|         | 5.5 Produce and disseminate the report to nominated internal and 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                    | 1.1, 1.2, 2.1-2.3, 3.1, 3.2, 4.2, 5.2, 5.3      | <ul style="list-style-type: none"> <li>Identifies, interprets, analyses or reviews complex texts from various sources to determine legal requirements, organisational operations, specific requirements and responsibilities</li> <li>Checks documents for accuracy of content, consistency of layout and grammar, spelling and punctuation</li> </ul>                                                                          |
| Writing                    | 1.3-1.5, 2.2, 4.1-4.3, 5.1-5.                   | <ul style="list-style-type: none"> <li>Collates and compiles results of research and analysis using appropriate technical language and organisational formats</li> <li>Develops materials to convey information, requirements or recommendations using language and structure appropriate to the audience</li> <li>Composes and edits texts, selecting appropriate vocabulary and structure for audience and purpose</li> </ul> |
| Oral Communication         | 2.3, 3.2, 4.1,                                  | <ul style="list-style-type: none"> <li>Presents specialised information using structure and language to suit the audience</li> <li>Elicits the view and opinions of others by listening and questioning</li> </ul>                                                                                                                                                                                                              |
| Navigate the world of work | 1.1-1.3, 2.2                                    | <ul style="list-style-type: none"> <li>Takes full responsibility for following policies, procedures and legislative requirements and identifies organisational implications of new legislation or regulations</li> </ul>                                                                                                                                                                                                        |
| Interact with others       | 1.2, 1.5, 2.1, 2.3, 3.2, 4.1-4.3, 5.1, 5.4, 5.5 | <ul style="list-style-type: none"> <li>Identifies and uses appropriate conventions and practices when communicating with internal and external personnel</li> </ul>                                                                                                                                                                                                                                                             |
| Get the work done          | 1.3, 1.4, 2.1-2.4, 3.1, 4.2, 4.3, 5.1, 5.4, 5.5 | <ul style="list-style-type: none"> <li>Plans, develops, implements and monitors processes for evaluating and reviewing compliance performance</li> <li>Systematically gathers, analyses and evaluates all relevant information in order to identify issues and</li> </ul>                                                                                                                                                       |

|  |  |                                                                                                                                                                                                           |
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|  |  | <p>make informed recommendations about compliance issues</p> <ul style="list-style-type: none"><li>• Uses digital tools and systems to locate, organise and share information in effective ways</li></ul> |
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## Unit Mapping Information

| Code and title<br>current version              | Code and title<br>previous version              | Comments                                              | Equivalence status |
|------------------------------------------------|-------------------------------------------------|-------------------------------------------------------|--------------------|
| BSBCOM502<br>Evaluate and review<br>compliance | BSBCOM502B<br>Evaluate and review<br>compliance | Updated to meet<br>Standards for<br>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>