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BSBAUD516 Develop and monitor processes for the management of breaches in compliance requirements

Release: 1

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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 develop and monitor the processes for managing identified breaches in the fulfilment of compliance requirements within an organisation.

This unit applies to individuals who are responsible for evaluating and reporting on the operation and effectiveness of an organisation's compliance management system.

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
Elements describe the essential outcomes.	*Performance criteria describe the performance needed to demonstrate achievement of the element.*
1. Develop processes for responding to breaches	1.1 Collect and interpret information on current compliance requirements applicable to the organisation 1.2 Develop and document procedures for identifying, classifying, investigating, rectifying and reporting breaches in compliance requirements
2. Monitor adherence to compliance requirements	2.1 Monitor and evaluate organisation's operations and compliance management information systems and identify breaches in compliance requirements 2.2 Review and evaluate information on potential breaches in compliance requirements 2.3 Discuss findings with relevant stakeholders and confirm

ELEMENT	PERFORMANCE CRITERIA
	accuracy of compliance assessment
3. Manage the identification and rectification of breaches in compliance	3.1 Assign stakeholders to identify, classify, investigate and rectify breaches in compliance requirements 3.2 Inform senior stakeholders of all breaches in compliance requirements and corrective action according to organisational policies and procedures
4. Communicate with relevant stakeholders during breach management	4.1 Communicate breaches and rectification actions with relevant stakeholders 4.2 Seek and action advice from relevant stakeholders on the management of breaches in compliance requirements
5. Evaluate the response to and rectification of breaches	5.1 Monitor action to manage and rectify identified breaches in compliance requirements according to organisational policies and procedures 5.2 Confirm success in rectification of compliance breaches and notify relevant stakeholders 5.3 Identify issues in the rectification of compliance breaches and initiate action, where required 5.4 Refer reports of recurring breaches of compliance to relevant stakeholders
6. Document and distribute breach management activities and outcomes	6.1 Document and report identified breaches in compliance requirements in accordance with organisational policies and procedures 6.2 Maintain and store records of breaches in compliance requirements 6.3 Document and report the action to rectify identified breaches in compliance requirements and the outcomes of this action 6.4 Distribute reports on breach management to relevant stakeholders

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	• Recognises and evaluates complex texts in various forms to determine key information and specific requirements and responsibilities • Analyses industry specific complex texts to determine and distinguish compliance requirements

Skill	Description
Writing	• Produces reports matching style of writing to purpose and audience • Documents and records findings using required organisational formats
Oral Communication	• Presents specialised information to a range of audiences using structure and language to suit the audience • Uses active listening and questioning to elicit the views and opinions of others
Self-management	• Organises, plans and sequences own workload and schedules work activities of others
Problem solving	• Systematically gathers, analyses and evaluates all information in order to make informed decisions about management of compliance breaches
Technology	• Uses a range of digitally based technology and applications to access, organise, integrate and share information

Unit Mapping Information

Supersedes and is equivalent to BSBCOM503 Develop processes for the management of breaches in compliance requirements.

Links

Companion Volume Implementation Guide is found on VETNet - https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=11ef6853-ceed-4ba7-9d87-4da407e23c10