Assessment Requirements for BSBCOM402 Implement processes for the management of a breach in compliance requirements

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Modification History

Release	Comments
Release 1	This version first released with BSB Business Services Training Package Version 1.0.

Performance Evidence

Evidence of the ability to:

- obtain and analyse information required to keep up to date with organisational compliance requirements and relevant Australian and international standards
- monitor the organisation's performance in meeting its compliance requirements
- investigate breaches in meeting compliance requirements according to organisational requirements and relevant Australian and international standards, including:
  - developing and implementing an action plan for managing organisational compliance breaches
  - using effective interpersonal skills when communicating with others to seek or provide information
  - • following up on compliance breaches
  - completing required documents, records and reports.

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:

- identify compliance requirements applicable to the organisation
- identify strategies for developing a positive compliance culture within the organisation including:
  - analysis techniques relevant to the review and interpretation of an identified breach in compliance requirements
  - breach management policies and processes including identifying, classifying, investigating, rectifying and reporting breaches in compliance requirements
  - compliance related management information systems
  - compliance reporting procedures

- compliance complaints handling systems
- continuous improvement processes for compliance including monitoring, evaluation and review
- documentation of compliance requirements relevant to the organisation
- liaison procedures with relevant internal and external personnel on compliance related matters
- processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system
- record keeping systems required for compliance management
- reporting processes on compliance management including reports on breaches and rectification action
- specification of compliance management functions, accountabilities and responsibilities within the organisation
- identify relevant legislation, codes of practice, and Australian and international standards.

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:

- standards, legislation, regulations and codes of conduct relevant to job role, occupation or profession
- organisational policies and procedures related to compliance
- computer resources and business technology
- compliance program/management system
- case studies and, where possible, real situations.

Assessors must satisfy NVR/AQTF assessor requirements.

Links

Companion Volume implementation guides are found in VETNet - https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=11ef6853-ceed-4ba7-9d87-4da407e23c10