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BSBCOM503 Develop processes for the management of breaches in compliance requirements

Release: 1

BSBCOM503 Develop processes for the management of breaches in compliance requirements

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 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 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 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
Elements describe the essential outcomes.	*Performance criteria describe the performance needed to demonstrate achievement of the element.*
1. Develop procedures for responding to breaches	1.1 Obtain and interpret information on current compliance requirements applicable to the organisation 1.2 Review each area of compliance requirement to establish potential breaches

ELEMENT	PERFORMANCE CRITERIA
	1.3 Develop and document appropriate procedures for identifying, classifying, investigating, rectifying and reporting breaches in compliance requirements
2. Monitor adherence to compliance requirements	2.1 Monitor and evaluate organisation operations to identify incidences of breaches in compliance requirements
	2.2 Review and evaluate complaints and other sources of information on potential breaches in compliance requirements
	2.3 Interrogate compliance management information system to identify any indication of breaches in compliance requirements
3. Manage the identification and rectification of breaches in compliance	3.1 Assign appropriate staff to take the required action to identify, classify, investigate and rectify breaches in compliance requirements
	3.2 Ensure senior management team within the organisation is informed of all breaches in compliance requirements
4. Liaise with others during breach management	4.1 Maintain liaison with relevant regulatory authorities and other organisations with an interest in compliance in regard to breaches in requirements and related action being taken
	4.2 Take advice from relevant internal and external personnel on the management of breaches in compliance requirements and act upon this advice appropriately
5. Evaluate the response to and rectification of, breaches	5.1 Monitor action taken to manage and rectify an identified breach in compliance requirements in terms of the organisation's compliance policy
	5.2 Confirm success in rectification of compliance breaches and notify relevant internal and external personnel
	5.3 Recognise problems in the rectification of compliance breaches and initiate appropriate action to ensure that management of the breach is maintained
	5.4 Refer reports of systemic and recurring problems of non-compliance to those with sufficient authority to correct them
6. Document and disseminate breach management activities and outcomes	6.1 Document and report identified breaches in compliance requirements in accordance with relevant internal and external requirements
	6.2 Maintain and store records of breaches in compliance requirements
	6.3 Report on the action taken to rectify identified breaches in compliance requirements and the outcomes of this action

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ELEMENT	PERFORMANCE CRITERIA
	6.4 Disseminate reports on breach management to relevant internal and external personnel

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, 2.2, 2.3, 3.1, 4.2	• Recognises and evaluates complex texts in various forms to determine key information and specific requirements and responsibilities • Analyses and compares industry specific and complex texts to determine and distinguish compliance requirements
Writing	1.3, 3.2, 5.2, 5.4, 6.1, 6.3	• Produces a range of text types matching style of writing to purpose and audience • Documents and records findings using required organisational formats
Oral Communication	3.1, 4.1, 4.2	• 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
Navigate the world of work	1.1, 1.3, 4.1, 4.2, 5.1, 6.1	• Understands how own role meshes with others and contributes to broader organisational goals • Modifies or develops organisational procedures to comply with legislative and organisational requirements • Keeps up to date with changes to legislation or regulations relevant to own responsibilities
Interact with others	3.1, 3.2, 4.1, 4.2, 5.2, 5.4, 6.1, 6.3	• Identifies and uses appropriate conventions and protocols when communicating with internal and external personnel
Get the work done	1.2, 1.3, 2.1, 2.2, 2.3, 3.1, 5.1, 5.3, 6.2, 6.4	• Takes responsibility for developing, implementing and monitoring processes to manage breaches in compliance requirements • Organises, plans and sequences own workload and schedules work activities of others

		• Systematically gathers, analyses and evaluates all information in order to make informed decisions about management of compliance breaches • Uses a range of digitally based technology and applications to access, organise, integrate and share information

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status
BSBCOM503 Develop processes for the management of breaches in compliance requirements	BSBCOM503B Develop processes for the management of breaches in compliance requirements	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