



Australian Government

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

Assessment Requirements for BSBAUD516 Develop and monitor 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 7.0.

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:

- manage at least two different breaches of compliance requirements.

In the course of the above, the candidate must:

- develop, monitor, and communicate processes for the management of breaches
- obtain and keep up to date with organisational compliance requirements
- identify and assign staff to manage breaches
- identify and inform senior management and regulatory authorities of breaches
- report corrective action activities and outcomes.

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 requirements applicable to organisation
- key elements of compliance management systems, including:
 - documentation of compliance requirements relevant to the organisation
 - functions, accountabilities and responsibilities within the organisation
 - compliance related management information systems
 - breach management policies and procedures
 - compliance reporting procedures
 - process for communication of information on compliance requirements to relevant stakeholders
 - techniques and performance indicators for monitoring the operation of a compliance management system
- potential breaches in compliance requirements

- reporting processes on compliance management.

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:

- legislation, regulations, standards and organisational policies and procedures relevant to compliance requirements
- data files relevant to performance evidence.

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

Links

Companion Volume Implementation Guide is found on VETNet -

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