



Australian Government

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

Release: 1

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.

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
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
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>

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

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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

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