



Australian Government

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

Release: 1

BSBCOM402 Implement processes for the management of a breach 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 identify, classify, investigate, rectify and report breaches in compliance requirements within an organisation. The unit has been designed to be consistent with AS 3806: 2006 Compliance programs.

It applies to individuals who use the processes and procedures defined within an organisation's compliance program/management system to manage compliance breaches according to specific legislative requirements, code/s of practice and internal standards.

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, regulatory 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
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
1 Identify a breach in compliance requirements	1.1 Monitor fulfilment of compliance requirements in operations within areas of responsibility in accordance with the organisation's established compliance program/management system 1.2 Promptly identify, classify, and report any breaches of

ELEMENT	PERFORMANCE CRITERIA
	compliance requirements
2 Develop and implement an action plan for investigation and rectification of a breach	2.1 Investigate identified breach of compliance requirements to determine the cause in accordance with the organisation's compliance program/management system 2.2 Develop an appropriate action plan for managing and rectifying an identified breach in accordance with the established breach management procedures and relevant Australian and international standards 2.3 Take prompt action to rectify a breach as per the plan 2.4 Document and report action taken as required
3 Liaise with relevant internal and external personnel	3.1 Maintain appropriate liaison with all relevant internal personnel, and external personnel and organisations on the nature of the breach and the action being taken 3.2 Inform internal and external personnel of progress in rectifying the breach 3.3 Take advice and direction from relevant internal and external personnel on the management and rectification of the breach in accordance with the organisation's compliance program/management system 3.4 Apply effective interpersonal skills
4 Monitor the rectification of a breach	4.1 Closely monitor progress in the rectification of a breach of compliance requirements in accordance with the organisation's compliance program/management system 4.2 Identify problem/s which may arise in breach rectification and take appropriate action to deal with the problem/s and report to appropriate personnel on its management 4.3 Notify all relevant personnel when the identified breach has been successfully rectified
5 Document breach and subsequent rectification	5.1 Prepare and submit all required reports on identified breach and subsequent rectification action to relevant internal and external personnel 5.2 Report systemic and recurring problems of non-compliance to those with sufficient authority to correct them 5.3 Complete records of breach, action taken and the outcomes of rectification processes and file in accordance with the organisation's compliance program/management system

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, 3.3, 4.1, 5.3	Analyses, evaluates and compares industry specific and complex texts to determine and distinguish compliance requirements
Writing	1.2, 2.2, 2.4, 3.1, 3.2, 4.2, 4.3, 4.3, 5.1, 5.2, 5.3	- 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, 3.2, 3.3, 3.4, 4.2, 4.3, 5.2	- 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 and to confirm understanding
Navigate the world of work	1.1, 2.1, 2.2, 3.3, 4.1, 5.3	Takes personal responsibility for following explicit and implicit policies, procedures and legislative requirements
Interact with others	1.2, 2.4, 3.1, 3.2, 3.3, 3.4, 4.2, 4.3, 5.1, 5.2	- Identifies and uses appropriate conventions and practices when seeking or sharing information with internal and external personnel - Identifies relevant information and ideas from a range of oral and written exchanges
Get the work done	1.1, 1.2, 2.2-2.3, 4.1-4.3, 5.1-5.3	- Takes responsibility for developing, implementing and monitoring processes to manage breaches in compliance requirements - Organises, plans and sequences own workload and schedules work activities to achieve required outcomes - Systematically gathers, analyses and evaluates all relevant information in order to make informed decisions about management of compliance breaches

Unit Mapping Information

Code and title current version	Code and title previous version	Comments	Equivalence status

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BSBCOM402 Implement processes for the management of a breach in compliance requirements	BSBCOM402B Implement processes for the management of a breach 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>

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

Modification History

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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.

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