CATAPULT

BSBCOM402

Implement processes for the management of a breach in compliance requirements

Table of Contents (Extract)

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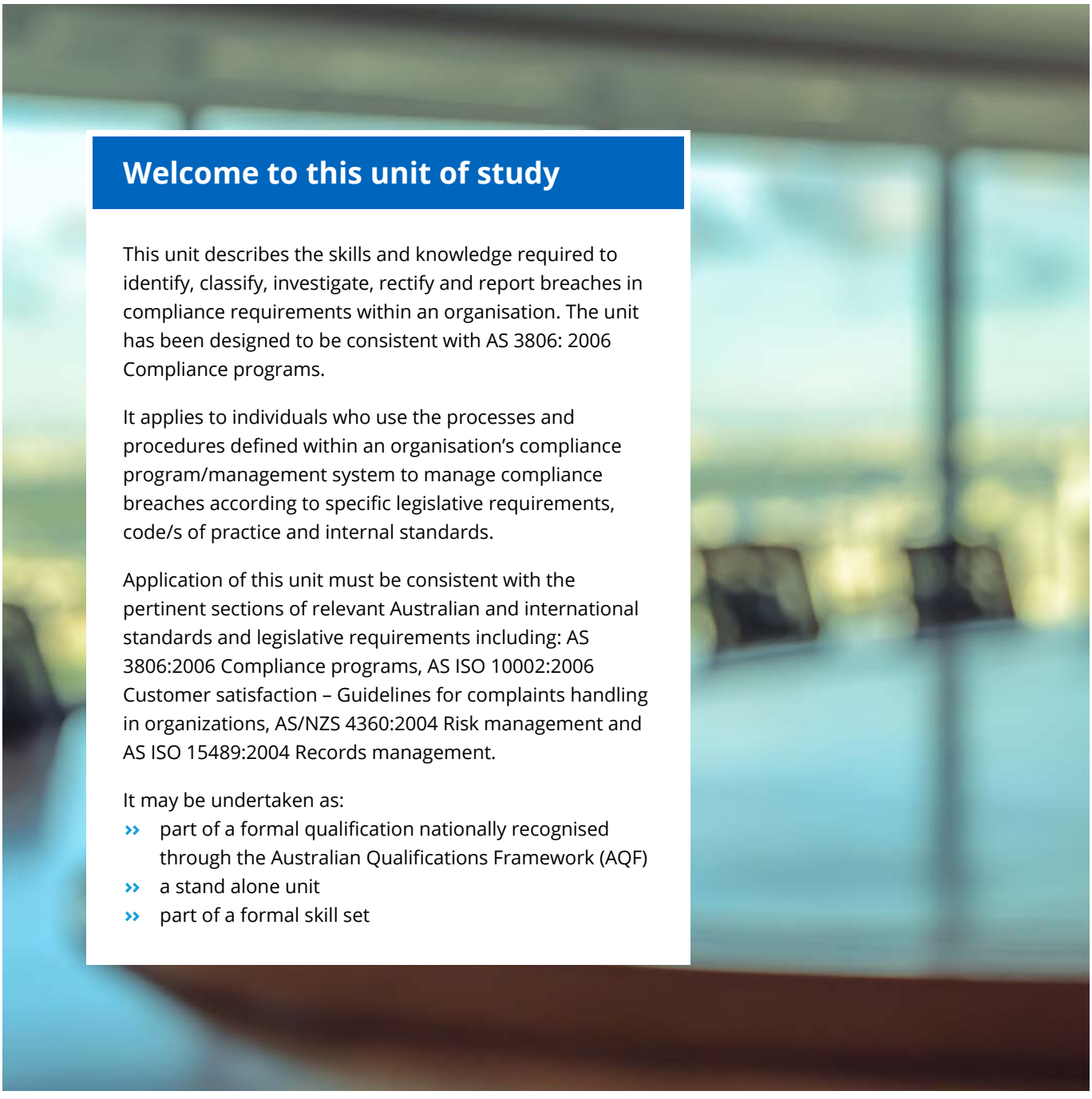
Trainer/assessor guide
BSBCOM402
Implement processes for the management of a breach in compliance requirements



Welcome to this unit of study

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.

It may be undertaken as:

- part of a formal qualification nationally recognised through the Australian Qualifications Framework (AQF)
- a stand alone unit
- part of a formal skill set

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About this trainer/assessor guide

Learning resource

The learning resource is divided into the following topics:

- Identify a breach in compliance requirements
- Develop and implement an action plan for investigation and rectification of a breach
- Liaise with relevant internal and external personnel
- Monitor the rectification of a breach
- Document breach and subsequent rectification

Each topic provides information to help you gain the skills and knowledge required to perform the work tasks to which they refer. Read the information and practise the skills described. You should also take the opportunity to undertake additional independent research. Your trainer/assessor may also provide supplementary information including interpretation of the contents of this resource.

At the end of each topic is:

- a set of true or false questions
- a set of multiple choice questions

These questions provide an opportunity to check your understanding and progress. They are self-marking and do not form part of the assessment for the unit.

Assessment workbook

To have this unit recognised as a formal qualification you need to have your skills and knowledge assessed. The assessment workbook provides:

- information on competency-based assessment
- instructions on how you will be assessed
- assessment tools to assess your competence
- instructions on how to complete the assessment tasks within each assessment tool

To be assessed as competent you need to provide evidence that you have the skills and knowledge to undertake the requirements of this unit. This assessment of competency is made by a qualified trainer/assessor from a registered training organisation. You must complete all the assessments as directed by your trainer/assessor to the required standard. It is not necessary to work through the guide in the order in which it is written. However this is at the discretion of your trainer/assessor.

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