Specification of Competency Standards for Human Resource Management
Unit of Competency

Title	Develop procedures to detect and manage non-compliance cases
Code	107058L5
Range	Developing procedures to detect the risks caused by potential non-compliance and manage the subsequent consequences (e.g. providing information for investigation, formulating measures to prevent recurrence). This applies to the development of compliance monitoring measures and appropriate data collection mechanism with the involvement of senior management.
Level	5
Credit	5
Competency	Performance Requirements 1. Knowledge in the Subject Area • Understand the latest development and future trend in employment related regulations in respective operating markets and jurisdictions • Understand common types of non-compliance in order to determine direction and critical areas of investigation 2. Applications and Processes • Define types of non-compliance and provide examples of reportable situations that are required to investigate, implement disciplinary actions and / or carry out remedial actions • Involve senior management to develop a framework and system of detecting and managing non-compliance issues (e.g. self-reporting, audit, corrective action procedures) • Identify effective reporting channels within the organisation for non-compliance • Develop compliance monitoring measures and plans (e.g. ongoing review of business processes) and data collection methods in order to provide useful information for investigation • Identify necessary resources to provide support to investigation and / or proceedings initiated by relevant parties 3. Professional Behaviour and Attitude • Develop effective communication channels for reporting status of non-compliant conditions across appropriate levels of the organisation internally, and corresponding government departments and / or statutory bodies externally when necessary • Monitor recurrence of non-compliance cases by performing statistical analysis and developing reports on recurring issues
Assessment Criteria	The integrated outcome requirements of this UoC are: • Establishment of compliance monitoring measures and plans to detect and manage non-compliance cases (e.g. establishing whistle-blowing policies, defining types of non-compliance with examples). • Identification of data collection methods and necessary resources in order to provide support for investigation. • Establishment of reporting channels within the organisation that allow candid reporting as well as fair protection to relevant employees who report any compliance breach.
Remark	