



**Australian Government**

# **RIIGOV401D Apply, monitor and report on compliance systems**

**Release: 2**

## RIIGOV401D Apply, monitor and report on compliance systems

### Modification History

Release	Comment
1	This unit replaces RIIGOV401B Apply, monitor and report on compliance systems
2	Required frequency and volume of evidence amended in Performance evidence. Substantial amendments made in Assessment Conditions field, including: references to Industry Sectors, assessor and subject matter expert experience requirements, how assessment should be conducted and what it should confirm.

### Application

This unit describes a participant's skills and knowledge required to apply, monitor and report on compliance systems in the Resources and Infrastructure Industries.

This unit is appropriate for those working in a supervisory role where compliance needs to be managed.

No licensing, legislative or certification requirements apply to this unit at the time of publication.

### Elements and Performance Criteria

1 Identify, share and implement regulation and business requirements	<p>1.1 Access, interpret and apply regulatory and business documentation, and ensure the work activity is compliant</p> <p>1.2 Provide verbal and written regulatory and business requirement information using language, style and format which is easily understood by others</p> <p>1.3 Clarify implications of noncompliance to the business and regulation requirements to others</p>
2 Plan and implement systems to meet regulation and business requirements	<p>2.1 Work with others to plan systems of work that ensures compliance</p> <p>2.2 Implement planned systems of work and ensure compliance</p> <p>2.3 Maintain and promote the standards of systems of work and adjust performance to comply</p> <p>2.4 Identify and support training needs of others in carrying out systems of work</p>

	2.5 Maintain the legal obligations of the business when carrying out systems of work
3 Monitor, revise and report performance to ensure legal and contractual compliance	3.1 Identify, revise and report actual and potential problems to supervisors 3.2 Manage work activities and ensure legal and contractual compliance 3.3 Submit written recommendations on improvements to comply with legal and contractual requirements 3.4 Secure contractual procurement rights for goods and services and support a business plan that is shared with all 3.5 Maintain systems, written and verbal records and reporting procedures
4 Investigate, report and action non-compliance	4.1 Investigate noncompliance to regulation and business requirements 4.2 Collaborate with others to identify options and solve problems that remedy noncompliance 4.3 Select and implement options that resolve noncompliance 4.4 Implement training and adjust work practice to support others to effectively carry out systems of work 4.5 Review and monitor behaviour and work practice once training has concluded 4.6 Maintain individual written records where noncompliance has been substantiated

## Foundation Skills

Foundation skills essential to performance are explicit in the performance criteria of this unit. Further information is available in the Resources and Infrastructure Industry Training Package Companion Volume.

## Unit Mapping Information

RIIGOV401B Apply, monitor and report on compliance systems

## Links

Companion Volume implementation guides are found in VETNet - <https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=88a61002-9a21-4386-aaf8-69c76e675272>