



Australian Government

**Assessment Requirements for
RIIGOV601D Establish, maintain and
develop a statutory compliance
management system**

Release: 2

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Modification History

Release	Comment
1	This unit replaces RIIGOV601A Establish, maintain and develop a statutory compliance management system
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.

Performance Evidence

Evidence is required to be collected that demonstrates a candidate's competency in this unit. Evidence must be relevant to the roles within this sector's work operations and satisfy all of the requirements of the performance criteria of this unit and include evidence that the candidate:

- locates and applies relevant legislation, documentation, policies and procedures
- implements of procedures and techniques for the safe, effective and efficient development of a statutory compliance management system including:
 - develop and maintain compliance procedures and policies
 - managing project finances
 - conducting research to:
 - conduct compliance literature and web searches
 - conduct surveys to obtain input and feedback on compliance requirements
 - analyse and organise collected information
- works effectively with other to undertake and complete the establishment, maintenance and development of a statutory compliance management system including:
 - providing leadership and guidance for compliance group activities
 - providing coaching and mentoring support
 - providing feedback on compliance requirements using appropriate techniques
- demonstrates completion of establishing, maintaining and developing a statutory compliance management system that safely, effectively and efficiently meets all of the required outcomes on more than one (1) occasion including:
 - identifying viable options and the selection of a statutory compliance management system that best meet the required outcomes

- establishing and monitoring consultation and audit procedures
- reading, interpreting and applying:
 - relevant compliance legislation
 - relevant technical compliance related information
 - relevant compliance records and reporting procedures
- establishing, monitoring and maintaining procedures for obtaining feedback on statutory compliance procedures
- auditing the compliance management system
- reporting on audit and review outcomes compliance management system and providing recommendations for improvement

Knowledge Evidence

The candidate must demonstrate knowledge of establish, maintain and develop a statutory compliance management system through:

- ensuring the rights and responsibilities of contracts, individuals business
- environmental compliance
- insurance requirements
- identifying contractual rights and responsibilities
- record-keeping and reporting
- handling grievances and complaints equitably and consistently
- maintaining continuous improvement processes for compliance
- knowledge of relevant Australian and international standards
- relevant organisation policies and procedures

Assessment Conditions

- An assessor of this unit must satisfy the requirements of the NVR/AQTF or their successors; and Industry regulations for certification and licensing; and,
- this unit is best assessed in the context of this sector's work environment;
- where personal safety or environmental damage are limiting factors, assessment may occur in a simulated environment provided it is realistic and sufficiently rigorous to cover all aspects of this sector's workplace performance, including environment, task skills, task management skills, contingency management skills and job role environment skills; and,
- this unit must be assessed in compliance with relevant legislation/regulation and using policies, procedures, processes and operational manuals directly related to the industry sector for which it is being assessed; and,
- assessment may be conducted in conjunction with the assessment of other Units of Competency; and,
- assessment must confirm consistent performance can be applied in a range of relevant workplace circumstances; and,
- assessors must demonstrate the performance evidence, and knowledge evidence as outlined in this Unit of Competency, and through the minimum years of current* work experience specified below in an Industry sector relevant to the outcomes of the unit; or,

- where the assessor does not meet experience requirements a co-assessment or partnership arrangement must exist between the qualified assessor and an Industry subject matter expert. The Industry subject matter expert should hold the unit being assessed (or an equivalent unit) and/or demonstrate equivalence of skills and knowledge at the unit level. An Industry technical expert must also demonstrate skills and knowledge from the minimum years of current work experience specified below in the Industry sector, including time spent in roles related to the unit being assessed; and,
- assessor and Industry subject matter expert requirements differ depending on the Australian Qualifications Framework Level (AQF) of the qualification being assessed and/or Industry Sector as follows:

Industry sector	AQF** Level	Required assessor or Industry subject matter expert experience
Drilling, Metalliferous Mining, Coal Mining, Extractive (Quarrying) and Civil Construction	1	1 Year
	2	2 Years
Drilling, Coal Mining and Extractive (Quarrying)	3-6	3 Years
Metalliferous Mining and Civil Construction	3-6	5 Years
Other sectors	Where this Unit is being assessed outside of the Resources and Infrastructure Sectors assessor and/or Industry subject matter expert experience should be in-line with industry standards for the sector in which it is being assessed and where no Industry standard is specified should comply with any relevant regulation.	

*Assessors can demonstrate current work experience through employment within Industry in a role relevant to the outcomes of the Unit; or, for external assessors this can be demonstrated through exposure to Industry by conducting frequent site assessments across various locations.

**Where a unit is being delivered outside of a Qualification the first numeric character in the Unit code should be considered to indicate the AQF level

Links

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