



Australian Government

Department of Education, Employment and Workplace Relations

SISXIND404A Promote compliance with laws and legal principles

Release: 1

SISXIND404A Promote compliance with laws and legal principles

Modification History

Not Applicable

Unit Descriptor

Unit descriptor	<p>This unit describes the performance outcomes, skills and knowledge required to apply legislation relevant to organisational operations. The unit focuses on analysis and interpretation of relevant legislation to inform the review of current organisational systems to determine compliance with legal obligations and promote the modification or development and implementation of systems to promote business compliance.</p> <p>No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.</p>
------------------------	--

Application of the Unit

Application of the unit	<p>This unit applies to staff in leadership and guidance roles, responsible for planning, conducting and evaluating business activities in a variety of sport, recreation or fitness environments. This may include staff working as program, recreation or swim school coordinators or managers across a range of programs and locations as well as those working in outdoor field locations, such as outdoor leaders and logistics coordinators.</p>
--------------------------------	--

Licensing/Regulatory Information

Refer to Unit Descriptor

Pre-Requisites

Prerequisite units		

Employability Skills Information

Employability skills	This unit contains employability skills.
-----------------------------	--

Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.	Performance criteria describe the performance needed to demonstrate achievement of the element. Where bold italicised text is used, further information is detailed in the required skills and knowledge section and the range statement. Assessment of performance is to be consistent with the evidence guide.
---	--

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Analyse laws and legal principles.	1.1. Identify and access <i>sources</i> of <i>laws and legal information</i> that relate to the organisation. 1.2. Analyse laws and legal information and identify <i>implications</i> for the organisation. 1.3. Record information and communicate to <i>appropriate personnel</i> .
2. Analyse the implications of contracts.	2.1. Identify the <i>types of contracts</i> used by the organisation and the rationale for their use. 2.2. Identify and analyse contractual obligations and their implications for individuals and the organisation.
3. Review current organisational systems to determine legal compliance.	3.1. Identify and assess current <i>organisational policies and procedures</i> and <i>implementation strategies</i> to determine compliance with legal requirements. 3.2. Identify aspects of organisational operations that may infringe or not meet legal obligations. 3.3. Assess the need for and access legal advice on infringements and gaps where appropriate. 3.4. Report and document outcomes of assessment and make recommendations for <i>required actions</i> to address infringements and gaps to relevant personnel. 3.5. Circulate recommendations to affected staff for feedback and discussion.
4. Modify organisational systems to promote compliance.	4.1. Develop or modify policies, procedures and implementation strategies as appropriate based on recommendations and feedback to promote compliance with legal obligations. 4.2. Document new or modified policies, procedures and implementation strategies. 4.3. Communicate new or modified policies, procedures and implementation strategies within organisation. 4.4. Implement new or modified policies, procedures and implementation strategies and monitor their effectiveness in complying with legal requirements.
5. Update legal knowledge.	5.1. Update legal knowledge and share with colleagues. 5.2. Use updated knowledge in planning for workplace systems and operational processes.

Required Skills and Knowledge

REQUIRED SKILLS AND KNOWLEDGE

This section describes the skills and knowledge required for this unit.

Required skills

- communication skills to:
 - liaise with colleagues
 - convey information about legal obligations
 - seek feedback on organisational policies, procedures and implementation strategies to support organisational compliance and undertake a review of these systems
- language and literacy skills to:
 - undertake research of relevant legislation and legal information
 - interpret and update information to promote compliance
 - document information to support compliance
- problem-solving skills to:
 - review compliance of current organisational policies and procedures
 - identify problems and gaps
 - modify or develop initiatives to promote compliance with legal obligations
- technology skills to access relevant legal information from electronic sources.

Required knowledge

- organisational systems and their relationship to legislative obligations to enable understanding of the purpose and aims of these systems and their effective functioning
- organisational policies and procedures related to legislative requirements and business compliance to enable an assessment of gaps and potential modifications to be identified
- legislation and industry codes of practice which govern business operations to enable organisational compliance
- evaluation techniques to enable the effective review of organisational policies and procedures
- appropriate implementation strategies for organisational policies and procedures that meet compliance requirements.

Evidence Guide

EVIDENCE GUIDE	
<p>The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.</p>	
Overview of assessment	
Critical aspects for assessment and evidence required to demonstrate competency in this unit	<p>Evidence of the following is essential:</p> <ul style="list-style-type: none"> identifies and clarifies the implications of laws, legal requirements and organisational contracts on operating systems and services and seeks legal advice where appropriate reviews current organisational systems to determine areas of operation that do not comply with laws and legal requirements, and documents and reports findings to appropriate personnel in a timely manner makes recommendations to better promote compliance and supports staff in implementing policies and procedures that promote compliance with laws and legal requirements anticipates problems or constraints that may affect the organisation's ability to comply with legal and contractual obligations and incorporates them into a contingency plan.
Context of and specific resources for assessment	<p>Assessment must ensure implementation and monitoring of recommendations in consultation with staff, and participation in organisational compliance reviews that are of sufficient breadth to demonstrate competency and consistency of performance.</p> <p>Assessment must also ensure access to:</p> <ul style="list-style-type: none"> sources of information about legal and contractual obligations current organisational policies, procedures and operational work systems sources of legal advice and associated documentation resources, staff and documentation required for the review of organisational systems.
Method of assessment	<p>A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:</p> <ul style="list-style-type: none"> observation of interacting with staff as part of the

EVIDENCE GUIDE	
	<p>review process</p> <ul style="list-style-type: none"> • oral and or written questioning to assess knowledge of relevant legislation and its impact on the specific sport and recreation organisation • portfolio showing evidence of review outcomes and actions • third-party reports from a supervisor detailing work performance. <p>Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended for example:</p> <ul style="list-style-type: none"> • SISXRSK502A Manage organisational risks.
Guidance information for assessment	

Range Statement

RANGE STATEMENT	
<p>The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. Bold italicised wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.</p>	
<p>Sources may include:</p>	<ul style="list-style-type: none"> • reference books • media • industry and or employer associations • industry journals • internet • clients and suppliers • legal experts.
<p>Laws and legal information may include:</p>	<ul style="list-style-type: none"> • company • taxation • contract • insurance and superannuation • consumer protection and trade practices • licensing

RANGE STATEMENT	
	<ul style="list-style-type: none"> • industrial relations • equal opportunity • anti-discrimination • privacy.
<i>Implications</i> may include:	<ul style="list-style-type: none"> • delivery of services • safety • employment • privacy • constitutional structure • contracts • funding accountability.
<i>Appropriate personnel</i> may include:	<ul style="list-style-type: none"> • managers • supervisors • board members • colleagues • local government.
<i>Types of contracts</i> may include:	<ul style="list-style-type: none"> • funding • sponsorships • employment • service and or supply of goods and services • preferred providers • licences • trademarks • transfers • franchises.
<i>Organisational policies and procedures</i> may include:	<ul style="list-style-type: none"> • legislative requirements • contract establishment and management • business compliance and management reporting • monitoring and reviewing procedures.
<i>Implementation strategies</i> may include:	<ul style="list-style-type: none"> • staff training • organisational communication strategies • information sessions and updates.
<i>Required actions</i> may include:	<ul style="list-style-type: none"> • modifying current policies and procedures • developing new policies and procedures • modifying current implementation strategies • developing new implementation strategies.

Unit Sector(s)

Unit sector	Cross-Sector
--------------------	--------------

Co-requisite units

Co-requisite units		

Competency field

Competency field	
-------------------------	--