



**Australian Government**

**Assessment Requirements for  
RIIGOV401D Apply, monitor and report  
on compliance systems**

Release: 1

## **Assessment Requirements for RIIGOV401D Apply, monitor and report on compliance systems**

### **Modification History**

Not applicable.

## 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
- demonstrates consistent and timely completion of apply, monitor and report on compliance systems that safely, effectively and efficiently meets the required outcomes on a minimum of one (1) occasion including:
  - routinely reviewing work practice to identify and define problems to systems of work
  - adjusting systems of work to minimise risk, increase productivity and meets contractual obligations
  - prioritising others and work practice to meet contractual and compliance obligations
  - providing coaching, information and support to others to maintain the standards compliance
  - establishing training programs for others to improve or develop practice for systems of work
  - providing verbal feedback to others in carrying out their work practice
  - establishing performance management programs for others who are struggling to meet compliance
  - maintaining written records and reports for system of work activity, contract obligations, personnel and noncompliance
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## Knowledge Evidence

The candidate must demonstrate knowledge of apply, monitor and report on compliance systems through:

- relevant taxation and related legislative requirements and legal rights and responsibilities related to the business
- bookkeeping and record keeping procedures to meet minimum financial and legal requirements
- industrial law relevant to performance management, recruitment and dismissal of employees
- creation and termination of relevant legal contracts
- duty of care imposed by the Law of Torts
- work procedure/instruction writing in compliance with legal requirements and company policy
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## 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 using Resources and Infrastructure Industry sector specific policies, procedures, processes and operational manuals; and,
- assessor requirements differ between sectors as follows:
  - when assessing this unit in the context of the **Drilling** sector:
    - an assessor must demonstrate the performance evidence, and knowledge evidence as outlined in this Unit of Competency, and through five (5) years of work in the Industry sector; or,
    - where a co-assessment or partnership arrangement exists between a qualified assessor and an Industry technical expert, the Industry technical expert can hold the unit being assessed, and/or demonstrate equivalency of skills and knowledge at the unit level. An Industry technical expert must also demonstrate a minimum of three (3) years of continuous work in the Industry sector, with the preceding one (1) year in the unit they are co-assessing; or,
  - when assessing this unit in the context of the **Metalliferous Mining** sector:
    - an assessor must demonstrate the skills and knowledge of this unit through five (5) years of current and continuous work with the Industry sector and must hold the TAE Assessor Skill Set or equivalent; or,
  - when assessing this unit in the context of the **Coal Mining** sector:
    - an assessor must demonstrate the skills and knowledge of this unit through twelve (12) month work experience in an Industry relevant to the skills being assessed within the last three (3) years; and,
    - where the assessor does not have current experience a co-assessment or partnership arrangement needs to exist between the qualified assessor and an Industry technical expert/ subject matter expert. The Industry technical expert/subject matter expert must demonstrate competency in the unit being assessed, and be currently working in the sector with a minimum of twelve (12) months' work experience within the last three (3) years; or,
  - when assessing this unit in the context of the **Extractive** sector
    - an assessor must demonstrate the skills and knowledge of this unit through five (5) years' work experience in the Industry sector; and,
    - where the assessor does not have current experience a co-assessment or partnership arrangement needs to exist between the qualified assessor and an Industry technical expert/ subject matter expert. The Industry technical expert/subject matter expert must hold the unit being assessed and be currently working in the sector with a minimum of two (2) years' of current work experience; or,
  - when assessing this unit in the context of the **Civil Construction** sector
    - an assessor must demonstrate the skills and knowledge of this unit through five (5) years' work experience in the Industry sector; and,

- where the assessor does not have current experience a co-assessment or partnership arrangement needs to exist between the qualified assessor and an Industry technical expert/ subject matter expert. The Industry technical expert/subject matter expert must hold the unit being assessed and be currently working in the sector with a minimum of two (2) years' of current work experience.
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## **Links**

SkillsDMC RII Companion Volumes - <http://www.skillsdmc.com.au/>