



**Australian Government**

**Department of Education, Employment and Workplace Relations**

# **RIIGOV401B Apply, monitor and report on compliance systems**

**Release: 1**

## **RIIGOV401B Apply, monitor and report on compliance systems**

### **Modification History**

Not applicable.

### **Unit Descriptor**

This unit covers applying, monitoring and reporting on compliance systems in the resources and infrastructure industries. It includes identifying, sharing, planning and implementing legislation, codes, standards and business requirements; and monitoring, revising and reporting performance to ensure legal and contractual compliance. Licensing, legislative, regulatory and certification requirements that apply to this unit can vary between states, territories, and industry sectors. Relevant information must be sourced prior to application of the unit.

### **Application of the Unit**

This unit is appropriate for those working in a supervisory role or as a technical specialist, at worksites within:

- Civil construction
- Coal mining
- Drilling
- Extractive industries
- Metalliferous mining

### **Licensing/Regulatory Information**

Refer to Unit Descriptor.

### **Pre-Requisites**

Not applicable.

### **Employability Skills Information**

This unit contains employability skills.

## Elements and Performance Criteria Pre-Content

<p>Elements describe the essential outcomes of a unit of competency.</p>	<p>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.</p>
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## Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Identify, share and implement legislation, codes, standards and business requirements	1.1. Access, interpret and apply <b><i>compliance documentation</i></b> relevant to the work activity including <b><i>workplace legal compliance</i></b> 1.2. Provide information in a language, style and format which is understood by colleagues 1.3. Clarify implications of non-compliance to all in the workplace
2. Plan and implement legislation, codes, standards and business requirements	2.1. Plan systems of work with colleagues to ensure compliance with <b><i>legislation, codes, standards and business requirements</i></b> 2.2. Implement systems of work with work colleagues to ensure compliance with legislation, codes, standards and business requirements 2.3. Identify and support training needs of colleagues while managing the <b><i>legal rights and responsibilities of the enterprise</i></b> in which they work
3. Monitor, revise and report performance to ensure legal and contractual compliance	3.1. Identify, revise and report actual and potential problems promptly to ensure legal and contractual compliance within the workplace 3.2. Manage activities to ensure maximum legal and contractual compliance resulting in the protection of business interests 3.3. Submit 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 members of the workplace 3.5. Maintain systems, records and reporting procedures
4. Investigate and report non-compliance	4.1. Investigate and deal with non-compliance according to legislative requirements and enterprise policies and procedures 4.2. Identify training needs and support the training of colleagues in the acquisition of competencies to meet legal requirements

	and the associated standards 4.3. Implement training programs and workplace practices to ensure that non-compliance is not repeated
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## Required Skills and Knowledge

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

### Required skills

Specific skills are required to achieve the performance criteria of this unit, particularly for its application in the various circumstances in which this unit may be used. This includes the ability to carry out the following as required to apply, monitor and report on compliance systems:

- apply legislative, organisation and site requirements to compliance systems
- display effective communication skills to report, consult and negotiate processes that satisfy legal requirements
- display time management skills to prioritise tasks and meet targets
- provide coaching and mentoring support
- identify and clearly communicate key compliance issues

### Required knowledge

Specific knowledge is required to achieve the performance criteria of this unit, particularly for its application in the various circumstances in which this unit may be used. This includes knowledge of the following as required to apply, monitor and report on compliance systems:

- national, state/territory and local government legislative requirements affecting business operation, especially in regard to:
  - anti-discrimination
  - relevant OHS requirements
  - environmental issues
  - EEO
  - industrial relations
- business registration and licensing requirements
- legal rights and obligations of alternative ownership structures
- 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
- award and enterprise agreements, where required
- industrial law relevant to 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

## 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>	
<p><b>Overview of assessment</b></p>	
<p><b>Critical aspects for assessment and evidence required to demonstrate competency in this unit</b></p>	<p>The evidence required to demonstrate competency in this unit must be relevant to worksite operations and satisfy all of the requirements of the performance criteria, required skills and knowledge and the range statement of this unit and include evidence of the following:</p> <ul style="list-style-type: none"> <li>• knowledge of the requirements, procedures and instructions for applying, monitoring and reporting on compliance systems</li> <li>• implementation of requirements, procedures and techniques for the safe, effective and efficient completion of compliance system requirements</li> <li>• working with others to plan, prepare and conduct compliance system requirements</li> <li>• evidence of the consistent successful application, monitoring and reporting on compliance systems</li> </ul>
<p><b>Context of and specific resources for assessment</b></p>	<ul style="list-style-type: none"> <li>• This unit must be assessed in the context of the 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 workplace performance, including task skills, task management skills, contingency management skills and job role environment skills.</li> <li>• Assessment of this competency requires typical resources normally used in a resources and infrastructure sector environment. Selection and use of resources for particular worksites may differ due to the site circumstances.</li> <li>• The assessment environment should not disadvantage the participant. For example, language, literacy and numeracy demands of assessment should not be greater than those required on the job.</li> <li>• Customisation of assessment and delivery</li> </ul>

	<p>environment must sensitively accommodate cultural diversity.</p> <ul style="list-style-type: none"> <li>• Aboriginal people and other people from a non English speaking background may have second language issues.</li> <li>• Where applicable, physical resources should include equipment modified for people with disabilities. Access must be provided to appropriate learning and/or assessment support when required.</li> </ul>
<b>Method of assessment</b>	<p>This unit may be assessed in a holistic way with other units of competency. The assessment strategy for this unit must verify required knowledge and skill and practical application using more than one of the following assessment methods:</p> <ul style="list-style-type: none"> <li>• written and/or oral assessment of the candidate's required knowledge</li> <li>• observed, documented and/or first hand testimonial evidence of the candidate's: <ul style="list-style-type: none"> <li>• implementation of appropriate requirement, procedures and techniques for the safe, effective and efficient achievement of required outcomes</li> <li>• consistent achievement of required outcomes</li> </ul> </li> <li>• first hand testimonial evidence of the candidate's: <ul style="list-style-type: none"> <li>• working with others to undertake and complete the application, monitoring and reporting on compliance systems</li> <li>• provision of clear and timely instruction and supervision in the application, monitoring and reporting on compliance systems</li> </ul> </li> </ul>
<b>Guidance information for assessment</b>	<p>Consult the SkillsDMC User Guide for further information on assessment including access and equity issues.</p>



## 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><b>Compliance documentation</b> may include:</p>	<ul style="list-style-type: none"> <li>• legislative, organisation and site requirements and procedures</li> <li>• manufacturer's guidelines and specifications</li> <li>• Australian standards</li> <li>• legislation, codes, standards and business requirements relevant to the creation and maintenance of workplace legal compliance</li> <li>• Employment and Workplace Relations legislation</li> <li>• Equal Employment Opportunity and Disability Discrimination legislation</li> </ul>
<p><b>Workplace legal compliance</b> may include:</p>	<ul style="list-style-type: none"> <li>• requirements for the maintenance and confidentiality of records of non-compliance</li> <li>• requirements for the maintenance of records of breaches</li> <li>• provision of information and training</li> <li>• regulations and code of practice relating to hazards present in work area</li> <li>• site/work/groups representatives and committees</li> <li>• issue resolution</li> </ul>
<p><b>Legislation, codes, standards and business requirements</b> may include:</p>	<ul style="list-style-type: none"> <li>• OHS</li> <li>• business registration</li> <li>• taxation</li> <li>• legal</li> <li>• insurance</li> <li>• environmental</li> <li>• business structure</li> </ul>
<p><b>Legal rights and responsibilities of the enterprise</b> may include:</p>	<ul style="list-style-type: none"> <li>• marketing the business in accordance with consumer legislation</li> <li>• operating the business with a duty of care (Law of Torts)</li> <li>• obligations imposed by choice of business structure</li> </ul>

## **Unit Sector(s)**

Governance and Compliance

## **Competency field**

Refer to Unit Sector(s).

## **Co-requisite units**

Not applicable.