



Australian Government

Department of Education, Employment and Workplace Relations

RIIGOV601A Establish, maintain and develop a statutory compliance management system

Release: 1

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Modification History

Not applicable.

Unit Descriptor

This unit covers the establishment, maintenance and development of a statutory compliance management system in the resources and infrastructure industries. It includes planning, establishing, maintaining, monitoring and reviewing a compliance management system, consultation and audit procedures, feedback procedures and auditing systems. 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 management or supervisory role 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
<p>1. Plan, establish and maintain compliance management framework</p>	<p>1.1. Access, interpret and apply compliance documentation relevant to the work activity</p> <p>1.2. Document the collaborative development of policies and objectives with relevant personnel that express the organisation's commitment to statutory compliance management</p> <p>1.3. Establish and implement the framework for the statutory compliance management system</p> <p>1.4. Determine the scope of proposed compliance requirements in consultation with relevant personnel and resources and integrate statutory compliance to all relevant job descriptions and procedures</p> <p>1.5. Document the consultation process and explain information on the statutory compliance system and procedures ensuring this information is readily accessible to all relevant stakeholders</p> <p>1.6. Prepare plan for the development of compliance requirements</p> <p>1.7. Identify and maintain resources required to support the plan and gain approval for the statutory compliance management system plan from relevant personnel</p>
<p>2. Establish and monitor consultation and audit procedures with relevant stakeholders</p>	<p>2.1. Identify relevant stakeholders and develop and document system procedures to maximise opportunities for implementation of compliance</p> <p>2.2. Consult with relevant stakeholders and monitor reports on compliance requirements and audit procedures to maximise opportunities for identifying existing and potential non-compliance</p> <p>2.3. Summarise the findings from consultation with relevant stakeholders and develop procedures for monitoring, reviewing and auditing in a supportive environment</p> <p>2.4. Monitor existing compliance measures in the initial draft report and submit to the development team for consideration ensuring amendments maintain opportunities for regular audits and</p>

	<p>reporting</p> <p>2.5. Complete and retain statutory compliance documentation for review and any necessary relevant action</p> <p>2.6. Identify and report inadequacies in resource allocation for the implementation of compliance requirements in accordance with the organisation and relevant legislative requirements</p>
<p>3. Establish and monitor procedures for obtaining feedback on statutory compliance procedures</p>	<p>3.1. Establish measures to maximise compliance by validating processes in collaboration with a sample of relevant stakeholders in accordance with established project methodology</p> <p>3.2. Disseminate to a sample of relevant stakeholders the draft compliance requirements</p> <p>3.3. Collate, interpret and analyse feedback received on the draft compliance requirements and use it to develop a system procedures for ongoing treatment of compliance by integrating compliance requirements within general systems of work and procedures</p> <p>3.4. Summarise, organise and monitor outcomes of the feedback process in preparation for the editing of the draft compliance requirements to be adopted throughout the area of managerial responsibility</p> <p>3.5. Incorporate system procedures in consultation with <i>authorised personnel</i> from within the organisation and from appropriate statutory bodies when reviewing the documentation and presentation of compliance requirements</p>
<p>4. Establish, maintain and review a statutory compliance auditing system</p>	<p>4.1. Establish and monitor the system for keeping statutory compliance records that allow identification of compliance patterns</p> <p>4.2. Assess the effectiveness of the statutory compliance system according to organisational aims and <i>legislation, codes and national standards</i> relevant to the workplace</p> <p>4.3. Apply auditing procedures in a supportive environment to maximise compliance with legislation, codes and national standards</p>

	relevant to the workplace
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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 establish, maintain and develop a statutory compliance management system:

- apply legislative, organisation and site requirements and procedures for a statutory compliance management system
- research to:
 - conduct compliance literature and web searches
 - conduct surveys to obtain input and feedback on compliance requirements
 - analyse and organise collected information
- provide feedback on compliance requirements using appropriate techniques
- apply project management skills to:
 - develop project plans
 - manage other personnel involved in the project
 - manage time
 - manage finances
- read, interpret and apply:
 - compliance legislation
 - technical compliance related information
 - compliance rules
 - compliance procedures
 - compliance regulations
- develop and maintain compliance procedures and policies
- facilitate and document compliance management planning
- maintain compliance records and documents
- monitor and decide on changes to compliance processes
- provide leadership and guidance for compliance group activities
- provide coaching and mentoring support
- actively encourage the free exchange of compliance information
- display advanced negotiation skills

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 establish, maintain and develop a statutory compliance management system:

- organisation's compliance policies, goals and objectives
- legislative compliance requirements
- action planning methods
- human resource management processes
- method of identifying appropriate compliance action based on cost, safety, and welfare issues
- compliance work procedure/instruction writing
- reporting and recording compliance procedures
- worksite compliance operating procedures
- hazard identification processes
- risk assessment processes
- risk treatment processes
- compliance documentation methods
- project methodology aimed at the development and creation of compliance requirements either as part of broader regulations, license requirements, or internal standards, code of practice, procedures and policies
- sources of data relevant to compliance requirements
- relevant Australian and international standards including:
 - AS 3806: Compliance Programs
 - AS 4269: Complaints Handling
 - A/NZS 4360: Risk Management
 - AS ISO 15489: Records Management
- specification of compliance management function
- compliance accountabilities and responsibilities within the organisation
- compliance related management information systems
- breach compliance management policies and processes
- compliance reporting procedures
- corporate induction and training processes related to compliance management
- continuous improvement processes for compliance including strategies for development of a positive compliance culture within the organisation
- relevant organisational policies and procedures such as compliance plans and policies in various areas and organisational standards for operations and ethics

Evidence Guide

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.

Overview of assessment	
Critical aspects for assessment and evidence required to demonstrate competency in this unit	<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"> • knowledge of the requirements, procedures and instructions for establishing, maintaining and developing a statutory compliance management system • implementation of procedures and techniques for the safe, effective and efficient development of a statutory compliance management system • the identification of the relevant information and scope of the work required to meet the required outcomes • the identification of viable options and the selection of a statutory compliance management system that best meet the required outcomes • working with other to undertake and complete the establishment, maintenance and development of a statutory compliance management system • consistent successful establishment, maintenance and development of a statutory compliance management system
Context of and specific resources for assessment	<ul style="list-style-type: none"> • 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. • Assessment of this competency requires typical

	<p>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.</p> <ul style="list-style-type: none">• 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.• Customisation of assessment and delivery environment should sensitively accommodate cultural diversity.• Aboriginal people and other people from a non English speaking background may have second language issues.• 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.
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<p>Method of assessment</p>	<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"> • written and/or oral assessment of the candidate's required knowledge to apply in undertaking of the establishment, maintenance and development of a statutory compliance management system • observed, documented and/or first hand testimonial evidence of the candidate's: <ul style="list-style-type: none"> • implementation of appropriate requirement, procedures and techniques for the safe, effective and efficient achievement of required outcomes • identification of the relevant information and scope of the work required to meet the required outcomes • identification of viable options and the selection of a statutory compliance management system that best meet the required outcomes • consistent achievement of required outcomes • first hand testimonial evidence of the candidate's: <ul style="list-style-type: none"> • working with others to undertake and complete the establishment, maintenance and development of a statutory compliance management system • provision of clear and timely required support and advice on the statutory compliance management system
<p>Guidance information for assessment</p>	<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>Compliance documentation may include:</p>	<ul style="list-style-type: none"> • legislative, organisation and site requirements and procedures • manufacturer's guidelines and specifications • Australian standards • Employment and workplace relations legislation • Equal Employment Opportunity and Disability Discrimination legislation
<p>Statutory compliance may include:</p>	<ul style="list-style-type: none"> • trade practices • weights and measures • waterways • workers compensation • work cover • planning • assessment • local government • dangerous goods • minerals and extractive industry licensing • navigation • Mines Act • Common Law • development of training policies/programs to aid compliance • maintenance of all records regarding compliance incidents • information sharing • regulations and code of practice relating to compliance • site representatives and committees • issue resolution
<p>Compliance requirements may include:</p>	<ul style="list-style-type: none"> • cross-industry, industry-specific and internal organisational compliance requirements • appropriate training for those who have responsibilities within the statutory compliance management system

	<ul style="list-style-type: none">• interim solutions when a permanent measure is not immediately practical when treating a non-compliance• procedures for issue resolution• external authorities such as state, national and/or international:<ul style="list-style-type: none">• regulatory authorities• licensing authorities• professional associations and institutes• government departments• standards authorities• educational institutions and organisations• internal authorities of an organisation such as:<ul style="list-style-type: none">• chief executive officer• senior managers• compliance manager• internal audit manager• quality control manager
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<p>Consultation may include:</p>	<ul style="list-style-type: none"> • regulatory authorities • project managers • employees • community • customers • tenderers • suppliers • contractors
<p>Resources may include:</p>	<ul style="list-style-type: none"> • people • finance • buildings • facilities • technology • information
<p>Statutory compliance system may include:</p>	<ul style="list-style-type: none"> • establishing, maintaining and developing the management system's framework and participative arrangements • procedures for identifying non-compliance, treating compliance and controlling statutory compliance • organisational procedures for statutory compliance • statutory compliance records system • evaluation of the system and related policies • procedures, standards or code of practice and programs • policies, programs and records
<p>Relevant stakeholders may include:</p>	<ul style="list-style-type: none"> • chief executive officer • board of directors • senior management team • frontline managers • compliance management team • compliance specialists at the management level • compliance specialists at the operational level • representatives of relevant authorities with an interest in the compliance requirements • chief executives and managers in organisations with an interest in the compliance requirements being developed • representatives of professional associations and institutes relevant to the compliance requirements being developed • legal and business advisors and consultants

	with expertise and interest in compliance requirements and related management systems
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<p>Plan may include:</p>	<ul style="list-style-type: none"> • details of the objectives and deliverables • methodology • timelines and milestones • costs • personnel required who may be consulted during the course of the project activities
<p>Project methodology may include:</p>	<ul style="list-style-type: none"> • literature searches including web searches • environmental scans • interviews, focus groups, questionnaires • desk analysis • validation interviews • workshops • surveys
<p>System procedures may include:</p>	<ul style="list-style-type: none"> • identification of hazards • risk identification • risk assessment • risk treatment • interim solutions • dealing with unplanned incidents and events • consultation • communication • monitoring • review • record keeping • reporting • training
<p>Development team may include:</p>	<ul style="list-style-type: none"> • project manager • team members • steering or advisory committee • reference panels • internal and external consultants and advisors
<p>Authorised personnel may include:</p>	<ul style="list-style-type: none"> • project manager • project steering committee • chief executive officer • manager • nominated representative of a regulatory authority • nominated representative of a statutory standards authority • nominated representative of a professional association or institutes • nominated representative of an educational

	institution or organisation
<p>Legislation, codes and national standards relevant to the workplace may include:</p>	<ul style="list-style-type: none"> • award and enterprise agreements and relevant industrial instruments • relevant legislation from all levels of government that affects business operation, especially in regard to: <ul style="list-style-type: none"> • OHS • environmental issues • equal opportunity • industrial relations • anti-discrimination • relevant industry code of practice • AS 3806: Compliance Programs • AS 4269: Complaints Handling • A/NZS 4360: Risk Management • AS ISO 15489: Records Management

Unit Sector(s)

Governance and Compliance

Competency field

Refer to Unit Sector(s).

Co-requisite units

Not applicable.