



Australian Government

RIIGOV401D Apply, monitor and report on compliance systems

Release: 2

RIIGOV401D Apply, monitor and report on compliance systems

Modification History

Release	Comment
1	This unit replaces RIIGOV401B Apply, monitor and report on compliance systems
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.

Application

This unit describes a participant's skills and knowledge required to apply, monitor and report on compliance systems in the Resources and Infrastructure Industries.

This unit is appropriate for those working in a supervisory role where compliance needs to be managed.

No licensing, legislative or certification requirements apply to this unit at the time of publication.

Elements and Performance Criteria

1 Identify, share and implement regulation and business requirements	1.1 Access, interpret and apply regulatory and business documentation, and ensure the work activity is compliant 1.2 Provide verbal and written regulatory and business requirement information using language, style and format which is easily understood by others 1.3 Clarify implications of noncompliance to the business and regulation requirements to others
2 Plan and implement systems to meet regulation and business requirements	2.1 Work with others to plan systems of work that ensures compliance 2.2 Implement planned systems of work and ensure compliance 2.3 Maintain and promote the standards of systems of work and adjust performance to comply 2.4 Identify and support training needs of others in carrying out systems of work

	2.5 Maintain the legal obligations of the business when carrying out systems of work
3 Monitor, revise and report performance to ensure legal and contractual compliance	3.1 Identify, revise and report actual and potential problems to supervisors 3.2 Manage work activities and ensure legal and contractual compliance 3.3 Submit written 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 3.5 Maintain systems, written and verbal records and reporting procedures
4 Investigate, report and action non-compliance	4.1 Investigate noncompliance to regulation and business requirements 4.2 Collaborate with others to identify options and solve problems that remedy noncompliance 4.3 Select and implement options that resolve noncompliance 4.4 Implement training and adjust work practice to support others to effectively carry out systems of work 4.5 Review and monitor behaviour and work practice once training has concluded 4.6 Maintain individual written records where noncompliance has been substantiated

Foundation Skills

Foundation skills essential to performance are explicit in the performance criteria of this unit. Further information is available in the Resources and Infrastructure Industry Training Package Companion Volume.

Unit Mapping Information

RIIGOV401B Apply, monitor and report on compliance systems

Links

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

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

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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 completion of applying, monitoring and reporting on compliance systems that safely, effectively and efficiently meets all of the required outcomes on more than 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

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

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
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		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

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