



Australian Government

Assessment Requirements for RIIGOV401E Apply, monitor and report on compliance systems

Release: 1

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Modification History

Release	Comments
Release 1	This version first released with RII Resources and Infrastructure Industry Training Package Version 5.0.

Performance Evidence

The candidate must demonstrate the ability to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including evidence of the ability to:

- apply, monitor and report on compliance systems on at least two occasions, including:
 - identifying monitoring and reporting requirements of relevant compliance system
 - routinely reviewing work practices to identify and define problems related to systems of work
 - adjusting systems of work to minimise risk, increase productivity and meets contractual obligations
 - prioritising work practices to meet contractual and compliance obligations
 - providing coaching, information and support to others to maintain the compliance obligations
 - identifying 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 non-compliance

During the above, the candidate must:

- locate and apply relevant documentation, policies and procedures and confirm that the work activity is compliant
- implement the requirements, procedures and techniques for applying, monitoring and reporting on compliance systems
- organise work tasks and apply diagnostic, problem solving and decision making techniques
- communicate clearly and concisely with others to receive and clarify work instructions.

Knowledge Evidence

The candidate must be able to demonstrate knowledge to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including knowledge of:

- key policies, procedures and documentation required to apply, monitor and report on compliance systems, including:
 - 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 and instruction writing in compliance with legal requirements and company policy
 - training needs and coaching practices to support staff adherence to compliance systems
- principles and techniques for identifying relevant hazards and emergencies
- techniques for coordinating and communicating job activities with others.

Assessment Conditions

Mandatory conditions for assessment of this unit are stipulated below. The assessment must:

- include access to:
 - personal protective equipment
 - equipment related to applying, monitoring and reporting on compliance systems
 - relevant documentation
- be conducted in a safe environment; and,
- be assessed in the context of this sector's work environment; and,
- be assessed in compliance with relevant legislation/regulation and using policies, procedures and processes directly related to the industry sector for which it is being assessed; and,
- confirm consistent performance can be applied in a range of relevant workplace circumstances.

Where personal safety or environmental damage are limiting factors, assessment may occur in a simulated work 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.

Assessor requirements

Assessors must be able to clearly demonstrate current and relevant industry knowledge and experience to satisfy the mandatory regulatory standards as set out in the Standards for Registered Training Organisations (RTOs) 2015/Australian Quality Training Framework mandatory requirements for assessors current at the time of assessment and any relevant licensing and certification requirements. This includes:

- vocational competencies at least to the level being delivered and assessed
- current industry skills directly relevant to the training and assessment being provided
- current knowledge and skills in vocational training and learning that informs their training and assessment
- formal relevant qualifications in training and assessment
- having knowledge of and/or experience using the latest techniques and processes
- possessing the required level of RII training product knowledge
- having an understanding and knowledge of legislation and regulations relevant to the industry and to employment and workplaces
- demonstrating the performance evidence, and knowledge evidence outlined in this unit of competency, and
- the minimum years of current** work experience after competency has been obtained as specified below in an industry sector relevant to the outcomes of the unit.

It is also acceptable for the appropriately qualified assessor to work with an industry expert to conduct assessment together and for the industry expert to be involved in the assessment judgement. The industry expert must have current industry skills directly relevant to the training and assessment being provided. This means the industry subject matter expert must demonstrate skills and knowledge from the minimum years of current work experience after competency has been obtained as specified below, including time spent in roles related to the unit being assessed:

Industry sector	AQF indicator level***	Required assessor or industry subject matter expert experience
Drilling, Metalliferous Mining, Coal Mining, Extractive (Quarrying) and Civil Infrastructure	1	1 year
	2	2 years
Drilling, Coal Mining, Extractive (Quarrying), Metalliferous Mining and Civil Infrastructure	3-6	3 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.	

*Guidance on simulated environments has been stipulated in the Companion Volume Implementation Guide located on VETNet.

**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 a minimum number of site assessments as determined by the relevant industry sector, across various locations.

*** While a unit of competency does not have an AQF level, where a unit is being delivered outside of a qualification the first numeric character in the unit code should be considered as the AQF indicator level for assessment purposes.

Links

Companion Volume implementation guides is found on VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=88a61002-9a21-4386-aaf8-69c76e675272>