



Australian Government

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.

Application

This unit describes the skills and knowledge required to apply, monitor and report on compliance systems in the resources and infrastructure industries.

It applies to individuals who work in supervisory roles. They generally contribute to compliance processes by undertaking a varied range of activities as defined in written procedures. They typically work in a structured and familiar work environment.

Licensing, legislative and certification requirements may apply to this unit and can vary between states, territories and industry sectors. Users must check requirements with relevant body before applying the unit.

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
1. Identify, communicate and implement regulation and workplace requirements	1.1 Obtain, interpret and confirm work requirements 1.2 Access, interpret and apply documentation required to monitor and report on compliance systems 1.3 Communicate verbal and written regulatory and workplace requirements according to workplace procedures
2. Plan and implement systems to meet regulation and workplace requirements	2.1 Plan systems of work with others and confirm compliance according to workplace procedures 2.2 Confirm compliance during the implementation of planned systems of work 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

ELEMENT	PERFORMANCE CRITERIA
	systems of work
3. Monitor, revise and report performance to confirm legal and contractual compliance	3.1 Identify and report performance problems to relevant personnel 3.2 Confirm the work activities meet legal and contractual compliance requirements 3.3 Submit written recommendations on potential improvements according to job 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 according to job requirements
4. Investigate, report and action non-compliance	4.1 Investigate non-compliance to regulation and workplace procedures 4.2 Communicate with others to identify and solve instances of non-compliance 4.3 Implement training to relevant personnel and adjust work practices as required 4.4 Maintain individual written records when non-compliance has occurred

Foundation Skills

This section describes those language, literacy, numeracy and employment skills that are essential to performance but not explicit in the performance criteria.

SKILL	DESCRIPTION
Reading	Identifies and interprets information from workplace procedures, policies, documentation and systems
Writing	Produces workplace reports, including workplace resourcing and work health and safety records, using appropriate vocabulary, grammatical structures and conventions
Oral communication	- Presents information or assistance using industry specific vocabulary - Uses listening and questioning to confirm understanding
Self-management	Monitors and minimises own exposure to worksite risks and hazards during activities
Problem solving	Identifies a range of factors that impact on a decision, including own values and principles, the needs, power, values, beliefs and assumptions of stakeholders

Unit Mapping Information

Supersedes and is equivalent to RIIGOV401D Apply, monitor and report on compliance systems.

Links

Companion Volume implementation guides is found on VETNet -

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

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

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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.

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