



Australian Government

RIIGOV501D Identify, implement and maintain legal compliance requirements

Release: 3

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Modification History

Release	Comment
1	This unit replaces RIIGOV501A Identify, implement and maintain legal compliance requirements
2	Inserted Modification History Performance Criteria was revised to make information more explicit and detailed.
3	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 identify, implement and maintain legal compliance in the Resources and Infrastructure Industries.

This unit is appropriate for those working in a legal compliance management or supervisory roles.

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

Elements and Performance Criteria

1. Provide information about the scope of compliance procedures	1.1 Access, interpret and apply regulatory and business documentation, and ensure the work activity is compliant 1.2 Verbally explain relevant provisions of legislation and code of practice and how they impact on business arrangements 1.3 Provide written compliance information to others on the organisation's policies, procedures, programs and business arrangements within the legal compliance context 1.4 Evaluate work practices and amend to meet compliance requirements 1.5 Maintain the standards of compliance procedures
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	1.6 Clarify actions and the implication of noncompliance to others
2. Implement and monitor management of compliance	2.1 Implement and monitor legal compliance management systems and procedures to maximise compliance opportunities 2.2 Search for, identify, review and report on legal compliance requirements regularly 2.3 Periodically review resourcing of legal compliance and informing appropriate parties promptly 2.4 Ensure everyone has the opportunity to contribute to compliance issues 2.5 Ensure information is stored and reviewed appropriately
3. Implement, monitor and prioritise compliance requirements	3.1 Collect and review information on legal compliance and report any existing or potential noncompliance issues 3.2 Evaluate and clarify compliance information to all relevant personnel 3.3 Identify implications of noncompliance 3.4 Group legal compliance requirements into critical, important and incidental classifications 3.5 Prioritise appropriate measures and implement to prevent or minimise reoccurrence of noncompliance
4. Implement, monitor and document procedures and training for compliance	4.1 Identify, implement, monitor and provide documentation on training needs and workplace procedures to ensure compliance 4.2 Monitor and report compliance training measures to relevant personnel 4.3 Implement compliance training programs in consultation with relevant personnel 4.4 Identify and report in writing inadequacies in existing compliance measures and resource allocation to management

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

RIIGOV501A Identify, implement and maintain legal compliance requirements

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 RIIGOV501D Identify, implement and maintain legal compliance requirements

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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
- works collaboratively to undertake and complete the identification, implementation and maintenance of legal compliance requirements through:
 - explains complex compliance information to others
 - provides coaching and mentoring to others that encourage compliance
 - performance manages others when noncompliance is identified
- demonstrates completion of identifying, implementing and maintaining legal compliance requirements that safely, effectively and efficiently meets all of the required outcomes on more than one (1) occasion including:
 - organising and review information on compliance requirements
 - applying legislative, business and site requirements and procedures for identification, implementation and maintenance of legal compliance requirements
 - maintaining legal and business compliance procedures and policies
 - using effective consultative mechanisms to negotiate compliance processes and procedures appropriate to statutory/legal requirements

Knowledge Evidence

The candidate must demonstrate knowledge of identify, implement and maintain legal compliance through:

- rights and responsibilities of contracts, individuals business
- environmental compliance
- insurance requirements
- contractual rights and responsibilities
- record-keeping and reporting
- grievances and complaints equitably and consistently
- continuous improvement processes for compliance
- relevant Australian and international standards
- relevant organisation policies and procedures

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 subject matter expert
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		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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