



Australian Government

RIIGOV501E Identify, implement and maintain legal compliance requirements

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 identify, implement and maintain legal compliance requirements in the resources and infrastructure industries.

It applies to those working in management roles. They generally work in teams and have some responsibility for the outcomes of others.

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. Provide information about the scope of compliance procedures	1.1 Obtain, interpret and confirm work requirements 1.2 Access, interpret and apply documentation required to identify, implement and maintain legal compliance requirements 1.3 Communicate provisions of legislation and code of practice as required according to workplace procedures 1.4 Communicate written compliance information on the policies, procedures, programs and business arrangements for the organisation within the legal compliance context to relevant personnel 1.5 Evaluate work practices and amend to meet compliance requirements according to workplace procedures 1.6 Maintain the standards of compliance procedures according to workplace procedures 1.7 Confirm actions and the implications of non-compliance to others according to workplace procedures

ELEMENT	PERFORMANCE CRITERIA
2. Implement and monitor management of compliance	2.1 Implement and monitor legal compliance management systems and procedures to maximise compliance opportunities 2.2 Identify, review and report on legal compliance requirements 2.3 Periodically review resourcing of legal compliance and communicate to relevant personnel as required 2.4 Confirm information is stored and reviewed appropriately according to workplace procedures
3. Implement, monitor and prioritise compliance requirements	3.1 Collect and review information on legal compliance and report any existing or potential noncompliance issues to relevant personnel according to workplace procedures 3.2 Evaluate and confirm compliance information to all relevant personnel 3.3 Identify implications of non-compliance according to workplace procedures 3.4 Determine and implement appropriate measures to prevent or minimise reoccurrence of non-compliance
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 confirm compliance according to workplace procedures 4.2 Monitor and report compliance training measures to relevant personnel 4.3 Implement compliance training programs in consultation with relevant personnel according to workplace procedures 4.4 Identify and report in writing inadequacies as required in existing compliance measures and resource allocation to relevant personnel

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
Problem solving	Applies problem solving processes to identify risks, evaluate options and determine solutions
Writing	Prepares specific information that complies with a range of regulatory requirements, using sector-specific terminology
Oral communication	Conveys information and requirements clearly, and listens carefully
Reading	Identifies and interprets relevant information from workplace procedures, documentation, legislation and regulations

Unit Mapping Information

Supersedes and is equivalent to RIIGOV501D Identify, implement and maintain legal compliance requirements.

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 RIIGOV501E Identify, implement and maintain legal compliance requirements

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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:

- identify, implement and maintain legal compliance requirements on at least two occasions, including:
 - organising and reviewing 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 and legal requirements.

During the above, the candidate must:

- locate and apply relevant legislation, documentation, policies and procedures and confirm that the work activity is compliant
- implement the requirements, procedures and techniques for identifying, implementing and maintaining legal compliance
- 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
- 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 legislation required to identify, implement and maintain legal compliance requirements
- key policies, procedures and documentation required to identify, implement and maintain legal compliance requirements, including:
 - environmental compliance
 - insurance requirements
 - contractual rights and responsibilities
 - record-keeping and reporting
 - improvement processes for compliance
 - relevant Australian and international standards
 - relevant organisation policies and procedures
 - rights and responsibilities of contracts, individuals and business
- principles and techniques for grievances and complaints
- principles and techniques for identifying relevant hazards and emergencies
- techniques for coordinating and communicating job activities with others
- design and management of training.

Assessment Conditions

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

- include access to:
 - personal protective equipment
 - equipment related to identify, implement and maintain legal compliance requirements
 - 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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