



**Australian Government**

# **RIIGOV501E Identify, implement and maintain legal compliance requirements**

**Release: 1**

## RIIGOV501E Identify, implement and maintain legal compliance requirements

### 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 | <ul style="list-style-type: none"><li>1.1 Obtain, interpret and confirm work requirements</li><li>1.2 Access, interpret and apply documentation required to identify, implement and maintain legal compliance requirements</li><li>1.3 Communicate provisions of legislation and code of practice as required according to workplace procedures</li><li>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</li><li>1.5 Evaluate work practices and amend to meet compliance requirements according to workplace procedures</li><li>1.6 Maintain the standards of compliance procedures according to workplace procedures</li><li>1.7 Confirm actions and the implications of non-compliance to others according to workplace procedures</li></ul> |

| 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<br>2.2 Identify, review and report on legal compliance requirements<br>2.3 Periodically review resourcing of legal compliance and communicate to relevant personnel as required<br>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<br>3.2 Evaluate and confirm compliance information to all relevant personnel<br>3.3 Identify implications of non-compliance according to workplace procedures<br>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<br>4.2 Monitor and report compliance training measures to relevant personnel<br>4.3 Implement compliance training programs in consultation with relevant personnel according to workplace procedures<br>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    | <ul style="list-style-type: none"> <li>Applies problem solving processes to identify risks, evaluate options and determine solutions</li> </ul>                          |
| Writing            | <ul style="list-style-type: none"> <li>Prepares specific information that complies with a range of regulatory requirements, using sector-specific terminology</li> </ul> |
| Oral communication | <ul style="list-style-type: none"> <li>Conveys information and requirements clearly, and listens carefully</li> </ul>                                                    |
| Reading            | <ul style="list-style-type: none"> <li>Identifies and interprets relevant information from workplace procedures, documentation, legislation and regulations</li> </ul>   |

## 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>