



Australian Government

RIIGOV601D Establish, maintain and develop a statutory compliance management system

Release: 2

RIIGOV601D Establish, maintain and develop a statutory compliance management system

Modification History

Release	Comment
1	This unit replaces RIIGOV601A Establish, maintain and develop a statutory compliance management system
2	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 Establish, maintain and develop a statutory compliance management systems in the Resources and Infrastructure Industries.

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

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

Elements and Performance Criteria

1. Plan, establish and maintain compliance management framework	1.1 Access, interpret and apply documentation and ensure the work activity is compliant 1.2 Document in writing the collaborative development of policies and objectives with relevant personnel that express the organisation's commitment to statutory compliance management 1.3 Establish and implement the framework for the statutory compliance management system 1.4 Determine the scope of proposed compliance requirements, in consultation with relevant personnel and resources, and integrate into all relevant job descriptions and procedures 1.5 Document the consultation process and explain information on the statutory compliance system and procedures, ensuring this information is readily accessible, to all relevant stakeholders
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	1.6 Prepare plan for the development of compliance requirements 1.7 Identify and maintain resources required to support the plan and gain approval for the statutory compliance management system plan from relevant personnel
2. Establish and monitor consultation and audit procedures with relevant stakeholders	2.1 Identify relevant stakeholders and develop and document system procedures for implementation of compliance 2.2 Consult with relevant stakeholders and monitor reports on compliance requirements and audit procedures for identifying existing and potential non-compliance 2.3 Summarise the findings in writing from consultation with relevant stakeholders and develop procedures for monitoring, reviewing and auditing in a supportive environment 2.4 Monitor existing compliance measures in the initial draft report and submit to the development team for consideration, ensuring amendments maintain opportunities for regular audits and reporting 2.5 Complete and retain statutory compliance documentation for review and any necessary relevant action 2.6 Identify and report inadequacies in resource allocation for the implementation of compliance requirements
3. Establish and monitor procedures for obtaining feedback on statutory compliance procedures	3.1 Establish measures to maximise compliance by validating processes in collaboration with a sample of relevant stakeholders in accordance with established project methodology 3.2 Disseminate to a sample of relevant stakeholders the draft compliance requirements 3.3 Collate, interpret and analyse feedback received on the draft compliance requirements and use it to develop a system of procedures for ongoing treatment of compliance by integrating compliance requirements within general systems of work and procedures 3.4 Summarise, organise and monitor outcomes of the feedback process in preparation for the editing of the draft compliance requirements to be adopted throughout the area of managerial responsibility 3.5 Incorporate system procedures in consultation with authorised personnel and statutory bodies when reviewing the documentation and presentation of compliance requirements
4. Establish, maintain and review a statutory compliance auditing system	4.1 Establish and monitor the system for keeping statutory compliance written records that allow identification of compliance patterns 4.2 Assess the effectiveness of the statutory compliance system according to organisational aims, legislation, codes and national

	standards
	4.3 Apply auditing procedures in a supportive environment to maximise compliance with legislation, codes and national standards

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

RIIGOV601A Establish, maintain and develop a statutory compliance management system

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 RIIGOV601D Establish, maintain and develop a statutory compliance management system

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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
- implements of procedures and techniques for the safe, effective and efficient development of a statutory compliance management system including:
 - develop and maintain compliance procedures and policies
 - managing project finances
 - conducting research to:
 - conduct compliance literature and web searches
 - conduct surveys to obtain input and feedback on compliance requirements
 - analyse and organise collected information
- works effectively with other to undertake and complete the establishment, maintenance and development of a statutory compliance management system including:
 - providing leadership and guidance for compliance group activities
 - providing coaching and mentoring support
 - providing feedback on compliance requirements using appropriate techniques
- demonstrates completion of establishing, maintaining and developing a statutory compliance management system that safely, effectively and efficiently meets all of the required outcomes on more than one (1) occasion including:
 - identifying viable options and the selection of a statutory compliance management system that best meet the required outcomes
 - establishing and monitoring consultation and audit procedures

- reading, interpreting and applying:
 - relevant compliance legislation
 - relevant technical compliance related information
 - relevant compliance records and reporting procedures
- establishing, monitoring and maintaining procedures for obtaining feedback on statutory compliance procedures
- auditing the compliance management system
- reporting on audit and review outcomes compliance management system and providing recommendations for improvement

Knowledge Evidence

The candidate must demonstrate knowledge of establish, maintain and develop a statutory compliance management system through:

- ensuring the rights and responsibilities of contracts, individuals business
- environmental compliance
- insurance requirements
- identifying contractual rights and responsibilities
- record-keeping and reporting
- handling grievances and complaints equitably and consistently
- maintaining continuous improvement processes for compliance
- knowledge of 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 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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