



Australian Government

RIIGOV601E Establish, maintain and develop a statutory compliance management system

Release: 1

RIIGOV601E Establish, maintain and develop a statutory compliance management system

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 establish, maintain and develop a statutory compliance management system in the resources and infrastructure industries.

It applies to those who work in management roles. They are generally responsible for the outcomes of others and contribute to the development of solutions to non-routine problems.

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. Plan, establish and maintain compliance management framework	1.1 Obtain, interpret and confirm work requirements 1.2 Access, interpret and apply documentation required to establish, maintain and develop a statutory compliance management system 1.3 Communicate the development of policies and objectives with relevant personnel according to workplace procedures 1.4 Establish and implement the framework for the statutory compliance management system according to workplace procedures 1.5 Determine the scope of proposed compliance requirements and integrate into all relevant job descriptions and procedures according to workplace procedures 1.6 Communicate the consultation process and information on the statutory compliance system and procedures to relevant personnel 1.7 Prepare the plan for the development of compliance requirements according to workplace procedures 1.8 Identify and maintain resources required to support the plan and gain

ELEMENT	PERFORMANCE CRITERIA
	approval for the statutory compliance management system
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 according to workplace procedures 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 according to workplace procedures 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 action according to workplace procedures 2.6 Identify and report inadequacies in resource allocation for the implementation of compliance requirements to relevant personnel
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 the draft compliance requirements to a sample of relevant stakeholders according to workplace procedures 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 according to workplace procedures 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

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

SKILL	DESCRIPTION
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 and regulations
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 RIIGOV601D Establish, maintain and develop a statutory compliance management system.

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 RIIGOV601E Establish, maintain and develop a statutory compliance management system

Modification History

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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:

- establish, maintain and develop a statutory compliance management system on at least two occasions, 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
 - 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.

During the above, the candidate must:

- locate and apply relevant legislation, documentation, policies and procedures and confirm that the work activity is compliant
- implement 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
- work 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
- 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 establish, maintain and develop a statutory compliance management system
- key policies, procedures and documentation required to establish, maintain and develop a statutory compliance management, 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
 - records and reports
- principles and techniques for audit and rectification
- 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.

Assessment Conditions

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

- include access to:
 - personal protective equipment
 - equipment related to establish, maintain and develop a statutory compliance management
 - 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	

Industry sector	AQF indicator level***	Required assessor or industry subject matter expert experience
	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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