



Australian Government

SITXGLC001 Research and comply with regulatory requirements

Release: 1

SITXGLC001 Research and comply with regulatory requirements

Modification History

Not applicable.

Application

This unit describes the performance outcomes, skills and knowledge required to comply with laws and licensing requirements for specific business operations. It requires the ability to access and interpret regulatory information, determine scope of compliance, and develop, implement and continuously review and update policies and practices for business compliance.

The unit applies to regulatory requirements for day-to-day business operations in all tourism, travel, hospitality and event sectors and to special requirements for one-off events.

It applies to senior personnel who operate independently or with limited guidance from others and who are responsible for making a range of operational business and regulatory compliance decisions.

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

Pre-requisite Unit

Nil

Competency Field

Governance and Legal Compliance

Unit Sector

Cross-Sector

Elements and Performance Criteria

ELEMENTS

Elements describe the essential outcomes.

1. Research information required for legal compliance.

PERFORMANCE CRITERIA

Performance criteria describe the performance needed to demonstrate achievement of the element.

- 1.1. Identify sources of information for compliance with laws and licensing for business operations.
- 1.2. Evaluate areas of business operation and determine scope of compliance requirements.
- 1.3. Access regulatory information relevant to specific

- business operation.
- 1.4. Identify risks, penalties and consequences of non-compliance.
 - 1.5. Assess and act on need for specialist legal advice.
2. Develop and communicate policies and procedures for legal compliance.
 - 2.1. Develop and clearly articulate regulatory policies and procedures in a format readily accessible to all personnel.
 - 2.2. Nominate the roles and responsibilities of personnel for regulatory compliance in policies and procedures.
 - 2.3. Distribute policies, procedures and legal information to personnel at appropriate times.
 - 2.4. Organise information updates for personnel to ensure their knowledge of roles and responsibilities for legal compliance.
 3. Ensure compliance with legal requirements.
 - 3.1. Communicate with regulatory authorities when planning business operations and submit required documentation.
 - 3.2. Maintain business and occupational licences and check contractor compliance to avoid risk to business.
 - 3.3. Continuously evaluate business operations for non-compliance and implement modifications.
 4. Maintain personal and organisational knowledge of regulatory requirements.
 - 4.1. Identify and use a range of opportunities to maintain knowledge of current regulatory requirements.
 - 4.2. Use organisational communication methods to share updated regulatory knowledge.
 - 4.3. Continuously review and distribute plans, policies and procedures for compliance with current laws and licensing requirements.

Foundation Skills

Foundation skills essential to performance in this unit, but not explicit in the performance criteria are listed here, along with a brief context statement.

SKILLS

DESCRIPTION

Reading skills to:

- interpret unfamiliar and complex materials describing regulatory requirements
- research regulatory requirements specifically applicable to the business operation.

Writing skills to:

- write comprehensive yet easily accessible regulatory policies

- and procedures
 - complete complex documentation required by regulatory authorities.
- Oral communication skills to:
- consult with regulatory authorities to determine the scope of compliance requirements.
- Problem-solving skills to:
- evaluate areas of business operation and determine scope of compliance.
- Planning and organising skills to:
- research, establish and regularly monitor all components of a business compliance system.

Unit Mapping Information

SITXGLC501 Research and comply with regulatory requirements

Links

Companion Volume implementation guides are found in VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=68c40a93-e51d-4e0f-bc06-899dff092694>

Assessment Requirements for SITXGLC001 Research and comply with regulatory requirements

Modification History

Not applicable.

Performance Evidence

Evidence of the ability to complete tasks outlined in elements and performance criteria of this unit in the context of the job role, and:

- access and interpret regulatory information and determine the scope of compliance for the operations of a specific tourism, travel, hospitality or events business in relation to at least six different areas of compliance
- develop policies and procedures for legal compliance with each of the above areas of compliance
- integrate into compliance planning activities and documentation:
 - sources of detailed information and advice on regulatory compliance
 - objectives and primary components of a broad range of local, state, territory and commonwealth government laws relevant to the specific to the business operations
 - use of policies and procedures in managing regulatory compliance.

Knowledge Evidence

Demonstrated knowledge required to complete the tasks outlined in elements and performance criteria of this unit:

- legal responsibilities and liabilities of managers and directors in varying business structures
- sources of information and advice on regulatory compliance:
 - local, state, territory or commonwealth government departments or regulatory agencies
 - industry associations
 - plain English documentation that explains the operational requirements of legislation
 - computer data
 - the internet
 - discussions with experienced industry personnel
 - industry:
 - accreditation operators
 - associations and organisations
 - developers of codes of conduct or ethics
 - journals
 - seminars
 - lawyers

- networking with:
 - colleagues
 - suppliers
- libraries
- media
- personal observations and experience
- reference books
- training courses
- unions
- functions and general operating procedures of regulatory authorities of particular relevance to the tourism, hospitality and events industries
- methods of receiving updated information on laws and licensing requirements
- use of policies and procedures in managing regulatory compliance
- formats for and inclusions in policies and procedures
- objectives and primary components of local, state, territory and commonwealth government laws to which all types of businesses must comply and that cover:
 - anti-discrimination, especially provisions for equal employment opportunity (EEO) and harassment
 - Australian Consumer Law (ACL) especially provisions for refunds, exchanges and cancellations, terms and conditions of quotations and consumer contracts
 - contracts
 - employer superannuation contributions
 - environmental protection especially provisions for environmental hazard identification, use of minimal impact practices and reporting of incidents
 - Fair Work Act 2009, especially provisions for National Employment Standards (NES)
 - local community protection, especially provisions for land management and access and protecting the lifestyle of neighbouring residents
 - taxation
 - workplace relations
 - public liability and duty of care
 - work health and safety
 - workers' compensation, especially provisions for injury reporting and occupational rehabilitation
- objectives and primary components of laws, codes, standards and licensing requirements that impact on specific operators in the tourism, hospitality and event industries; chosen to be applicable to the individual's context:
 - Copyright Act 1968
 - Criminal Code Act 1995 as it relates to child sex offences outside Australia
 - European Economic Directive of Foreign Travel
 - food safety
 - Food Standards Australia New Zealand Act 1991

- liquor licensing, especially as it relates to the responsible service of alcohol
- Privacy Act 1988
- Queensland Tourism Services Act 2003
- Residential Tenancy Act
- responsible conduct of gaming regulation
- for each relevant law, code, standard and licensing requirement, the depth of knowledge must cover:
 - key practices that are prohibited by the law
 - auditing and inspection regimes
 - main consequences of non-compliance
 - need to apply for and maintain business or occupational licensing and associated mandatory training and certification requirements
 - requirements for record keeping and acceptable record keeping mechanisms
 - statutory reporting requirements for businesses
 - key business insurances required
 - adherence to mandatory codes of conduct enshrined in legislation
 - requirements to develop and implement plans, policies, codes of conduct or incorporate certain business practices
 - rights and responsibilities of employees and employers
 - other specific action that must be taken for legal compliance
- opportunities to maintain knowledge of regulatory requirements:
 - discussions with experienced industry personnel
 - networking with colleagues and/or suppliers
 - participating in industry accreditation schemes
 - participating in industry seminars
 - membership of professional industry associations
 - participating in training courses
 - subscribing to regulatory newsletters.

Assessment Conditions

Skills must be demonstrated in an operational tourism, travel, hospitality or events business operation for which a tailored set of regulatory requirements can be researched and compliance management implemented. This can be:

- an industry workplace
- a simulated industry environment.

Assessment must ensure access to:

- computers, software programs, printers and communication technology used to administer regulatory requirements
- current legislation

- current plain English regulatory documents distributed by government regulators
- codes of practice and standards issued by regulatory authorities
- regulatory information and business management manuals issued by industry associations or commercial publishers
- current commercial policies and procedures used to manage regulatory issues
- sources of specialist legal advice:
 - compliance consultants
 - industry associations
 - lawyers
 - local, state, territory or commonwealth government departments or regulatory agencies.

Assessors must satisfy the Standards for Registered Training Organisations' requirements for assessors.

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