

RIIGOV401D APPLY, MONITOR AND REPORT ON COMPLIANCE SYSTEMS

THEORY EXAM INSTRUCTIONS

- This exam will occur under standard assessment conditions.
 - An oral examination may be allowed under certain circumstances. Answers will be documented and FT003 (Oral examination declaration form) must be completed.
- Participants must provide enough detail in their responses to demonstrate their knowledge and skills.
- Please fill in the details below providing your name, signature and date of assessment.
 - Your signature acknowledges that this is your own work.
 If a participant initially answers a question incorrectly but modifies their response, they must follow the instructions below:
 - If a participant changes their response in writing, they must put their initials next to the written change.
 - If a participant changes their response verbally, this must be noted on the exam paper by the assessor.

Participant name _____

Participant signature _____

Assessor name _____

Assessor signature _____

Date _____

Number of questions	Number of questions answered correctly	Satisfactory?	
27		Yes	No

1. List four (4) categories of compliance documentation that may apply to your workplace.

- Legislative requirements.
- Organisational policies and procedures.
- Site-specific policies and procedures.
- Australian guidelines and specifications.
- Australian Standards.
- Manufacturer's guidelines and specifications.
- Training records.

2. What are four (4) legislative requirements that could affect business operations?

- Occupational Health & Safety/Work Health & Safety (OHS/WHS) requirements.
- Environmental protection requirements.
- Equal Employment Opportunity (EEO), anti-discrimination and disability discrimination.
- Business registration and licensing.
- Rights and obligations of alternative ownership structures.
- Industrial relations, including awards and enterprise agreements.
- Legislation relevant to the creation and maintenance of workplace legal compliance.

3. Who may be required to have licenses, permits or registration?

Licences, permits, and registrations are required for personnel/workers who may have to perform high risk work or use certain plant or substances.

4. What types of alternative ownership structures could your business have?

They can include private ownership, investor owned and public ownership, such as co-operatives and mutuals.

5. List the three (3) areas that an enterprise agreement may cover.

- Employment conditions.
- Rates of pay.
- Consultative processes and dispute resolution procedures.

6. What are the three (3) things you must be familiar with in relation to recruitment and dismissal of employees/workers?

- Equal employment opportunity.
- Dispute resolution in the workplace.
- Employee/worker resignation and dismissal procedures.

7. What are two (2) things to consider when determining how compliance information must be presented to members of the workplace?

- Language – appropriate to both the information and the audience.
- Style of presentation – for documents, use of written or graphic format.
- Format of presentation – how the information is going to be best understood and utilised.
- Legal and contractual obligations for information presentation – privacy, confidentiality, documentation requirements.

8. List four (4) communication skills that you must be able to apply in order to relate to all members of the workplace.

- Speak clearly and concisely.
- Use terminology relevant to the audience.
- Maintain awareness of your audience.
- Actively and critically listen.
- Apply questioning and effectively answer questions.
- Maintain positive and confident body language and gestures.

9. List three (3) implications of non-compliance that will need to be understood by all members of the workplace.

- Injuries and accidents.
- Re-scheduling of work or non-completion of tasks.
- Contractual termination.
- Financial implications for the workplace.
- Legal implications for the workplace.

10. When planning systems of work:

- a) What does it mean to plan the systems of work to be used?
- b) List four (4) areas you will commonly need to comply with when planning systems of work.

a) Plan out what you are going to do, the order in which you will do it, and the methods used to achieve your goals.

b) Answer may include:

- OHS/WHS legislation and regulations.
- Codes of practice.
- Australian or international standards.
- Standards of quality and safety.
- Designated standards of work.
- Business registration and structuring requirements.
- Taxation requirements (as necessary).
- Insurance requirements.
- Environmental protection requirements.

11. How would you implement a system of work?

By putting the necessary steps into place to ensure that work can be conducted and required goals can be met.

12. List three (3) ways you can identify the training needs of workers.

- Skill gap analysis.
- Training requests.
- Issues in the workplace, such as safety issues, quality issues, or morale problems.
- Repeated breaches in compliance with policies or procedures.
- Injuries and accidents.

13. What is duty of care?

All people must take reasonable care of their own health and safety, as well as the health and safety of others in the workplace.

14. Identify and report problems:

- a) List four (4) aspects of the workplace that could be impacted by potential or actual problems.
- b) Why is it important to promptly report any actual or potential problems that you identify?

a) Answer may include:

- Safety.
- Quality.
- Personnel/workers.
- Environment.
- Work completion.
- Schedules.

b) This is so that corrective action can be developed and implemented as soon as possible, to maintain compliance.

15. Why must all activities conducted in the workplace be managed and monitored?

To ensure maximum legal and contractual compliance which will in turn protect the interests of the business.

16. List four (4) time management skills you will need to manage activities in the workplace.

- Setting goals or targets.
- Planning and organising activities.
- Prioritising activities.
- Scheduling timelines.
- Allocating and delegating tasks.
- Monitoring progress and making adjustments.

17. When might recommendations for improvements to compliance need to be made?

Recommendations for improvements will need to be made whenever non-compliance is identified in an individual, a work process or a system of work. You may also identify ways to improve currently effective work processes and work systems that could have the potential to become non-compliant.

18. When negotiating a procurement contract, what is the most desirable outcome?

A win-win outcome, so each party gets at least part of what they outlined in their negotiation plan.

19. Who must you seek permission from in order to create or terminate a legal contract?

Management and the legal department.

20. What are four (4) of the tasks that may be required when managing documentation?

- Identifying the records that must be completed for specific work tasks, and generally in the workplace.
- Inputting data in a timely manner.
- Collecting data in a verifiable manner.
- Storing data in a usable manner.
- Ensuring data is accessible.
- Following all reporting procedures.
- Supporting colleagues in the maintenance of records and reports.

21. List four (4) considerations when writing procedures and instructions.

- The procedures should be based on the policies of the workplace.
- Instructions should flow on from policies and procedures.
- Follow the standard format for the workplace.
- Provide specific step-by-step directions.
- Include what needs to be done, when, by who, and what records are to be kept.
- Write clearly and directly, in plain English.
- Include written and pictorial information if required, e.g. flow charts.

22. Which documents will ensure that all records and book keeping meet the minimum financial and legal requirements?

Your workplace policies and procedures.

23. List four (4) aspects of taxation legislation and requirements that you will need to understand if you are involved in book keeping.

- Income tax.
- Business or company taxes.
- Fringe benefit taxes.
- Goods and services tax.
- State taxes.
- Federal taxes.

24. List three (3) reasons why non-compliance may occur in the workplace.

- Lack of knowledge of the procedures.
- Lack of resources to follow the procedures.
- The procedures not reflecting current practices in the field.
- Insufficient commitment to safety or compliance from the individual or the organisation.

25. How can the following training and support methods be used to assist workers to develop the required competencies?

- a) Experienced staff can use their experience and skills to assist the individual/team to improve their skills and provide the correct procedures as required.
- b) Mentoring encourages the learner/s to observe and be guided by more experienced personnel/workers. They can then ask questions, perform tasks and be provided with immediate feedback.

26. What are the differences between formal and informal training?

Formal training results in certification or accreditation. This training is recognised outside of your workplace and will benefit you when you change organisations.

Informal training can include internal methods such as coaching and mentoring. Informal training does not result in certification or accreditation.

27. How will you ensure training programs are successful?

You will need to plan the programs, with defined goals and key indicators of success. Once you have implemented a training program, you will need to monitor and evaluate the program to ensure that it is meeting the defined expectations.