

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 Dallas Adams

Participant signature



Assessor name

Assessor signature

Date

16/05/2021



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

ASSESSOR COMMENTS



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

Answer

- Occupational Health & Safety/Work Health & Safety (OHS/WHs) Requirements
- Environmental Issues
- Equal Employment Opportunities (EEO) And Anti-Discrimination
- Business Registration and Licensing

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

Answer

- Current ticket or certificate of competency
- Licences,
- Permits,
- and Registrations

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

Answer

People who operate plant and heavy equipment and vehicles

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

Answer

They could have private ownership, Be an investor owned and public owner such as cooperatives and mutuals owners.

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

Answer

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

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

Answer

The industrial relations legislation includes the law of equal employment opportunity, disputes resolution in the workplace the procedures surrounding the employee and worker dismissal process.

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

Answer

- Style of presentation and the use of written or graphic format.
- Format of presentation and how the information is going to be best understood and utilised in the presentation

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

Answer

- Speak clearly with a concise tone of projection
- Use terminology relevant to your audience that means something they are familiar with.
- Maintain awareness of your audience and read the crowd
- Actively and critically listen without judgement

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

Answer

- Injuries and accidents.
- Re-scheduling of work or non-completion of tasks.
- Contractual termination.



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.

Answer

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



- b)
- Australian or international standards.
 - Codes of practice.
 - Standards of quality and safety.
 - Designated standards of work.

11. How would you implement a system of work?

Answer

By ensuring that the systems are communicated properly and discussed with all personnel/workers. The systems of work can then be put in place and the necessary steps into place to ensure that work can be conducted and required goals can be met efficiently and safely.



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

Answer

- Skill gap analysis.
- Training requests.
- Issues in the workplace, such as safety issues, quality issues, or morale problems.

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13. What is duty of care?

Answer

The duty of care states that all people must take reasonable care of their own health and safety, as well as the health and safety of others in the workplace.

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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?

Answer

- A)
- Safety
 - Quality
 - Personnel/workers
 - Environment
- B) So that the correct action can be developed and put in place as soon as possible, to maintain compliance and keep people safe from any more harm.

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

Answer

To ensure that the maximum legal and contractual compliance is maintained so in turn creates a protective interest of the business and its people.

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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.

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

Answer All recommendations for improvements are made in a manner that reflects the legislative and organisational requirements for the workplace and its workers.

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

Answer A win-win negotiation outcome.

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

Answer Permission from management and the input of the legal department is required.

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

Answer

- Inputting data in a timely manner.
- Collecting data in a verifiable manner.
- Storing data in a usable manner.
- Ensuring data is accessible.



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

- 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.

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

- Taxation requirements and legislation
- Quality assurance requirements
- Health and safety requirements
- Business management requirements

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

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

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

- 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

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

- a) Coaching.**
- b) Mentoring.**

Answer

- a) Coaching can be given by role play and showing the trainee how the task is done and giving the trainee tasks to complete and assisting their progress
- b) Mentoring is given by experienced personnel who can give guidance and be called on as support systems.



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

Answer

- 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?

Answer

To ensure successful training programs, 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.

