Australian Government

Department of Education, Employment and Workplace Relations

PSPREG402C Promote client compliance

Revision Number: 3

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Modification History

Release	TP Version	Comments
3	PSP12V1	Unit descriptor edited.
2	PSP04V4.2.	Layout adjusted. No changes to content.
1	PSP04V4.1	Primary release.

Unit Descriptor

This unit covers provision of information, encouragement and advice by personnel in regulatory/compliance/law enforcement roles in one-to-one and group situations to raise awareness, encourage understanding and improve compliance with legislative requirements and/or standards. It includes advising and assisting clients to comply with legislation or standards, and implementing communication strategies to improve compliance.

In practice, promoting client compliance may overlap with other generalist or specialist public sector work activities, such as providing client service, acting ethically, exercising regulatory powers, assessing compliance, acting on non-compliance.

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

Application of the Unit

Not applicable.

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Not applicable.

Employability Skills Information

This unit contains employability skills.

Elements and Performance Criteria Pre-Content

Elements are the essential outcomes of the unit of competency.	Together, performance criteria specify the requirements for competent performance. Text in **bold italics** is explained in the Range Statement following.

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. **Advise and assist clients to comply with legislation or standards**	1.1 ***Client*** needs, expectations, ***attitudes***, and current level of knowledge are confirmed. 1.2 Risks related to possible confrontations are identified and managed in accordance with organisational risk management and procedures. 1.3 Advice is provided to clients that is current, timely and meets the specific needs of clients in its range, depth and form of presentation. 1.4 Feedback is obtained on clients' levels of understanding and additional information or explanation is used to clarify issues if required. 1.5 ***Information*** is provided to promote the benefits of compliance and the consequences of non-compliance. 1.6 Clients are advised of processes and timelines when interpretation/advice from others is needed for complex matters.
2. **Implement communication strategies to improve compliance**	2.1 ***Communication strategies*** are tailored to the audience and the ***context***. 2.2 ***Presentation standards*** are applied in accordance with organisational guidelines and the needs of clients. 2.3 Community rights and responsibilities and avenues for public redress under ***legislation/standards*** are highlighted when applicable. 2.4 Conflict resolution techniques are used if necessary and safety of self and others is protected in accordance with legislation, policy and procedures. 2.5 Content and presentation of communication strategies are adjusted in response to feedback gathered from a range of clients.

Required Skills and Knowledge

This section describes the essential skills and knowledge and their level, required for this unit.

Skill requirements

Look for evidence that confirms skills in:

- providing advice and discussion involving exchanges of sometimes complex oral information
- working with people - conflict resolution, coaching, problem solving
- delivering presentations tailored to the needs of a range of people from diverse backgrounds
- responding to diversity, including gender and disability
- reading and explaining complex and formal documents such as legislation and their application to clients' situations
- using active listening and questioning strategies to clarify understanding
- using information technology to access relevant legislation and guidelines
- applying occupational health and safety and environment procedures relating to the promotion of client compliance

Knowledge requirements

Look for evidence that confirms knowledge and understanding of:

- relevant legislation, standards, policies and legal precedents
- consequences of non-compliance
- terminology used in legislation and procedures
- organisational procedures, guidelines and protocols
- delivery approaches to address a range of learning styles
- industry knowledge
- equity and diversity principles
- public sector legislation such as occupational health and safety and environment relating to the promotion of client compliance

Evidence Guide

The Evidence Guide specifies the evidence required to demonstrate achievement in the unit of competency as a whole. It must be read in conjunction with the Unit descriptor, Performance Criteria, the Range Statement and the Assessment Guidelines for the Public Sector Training Package.

Units to be assessed together	• *Pre-requisite* units that <u>must</u> be achieved <u>prior</u> to this unit:*Nil*
	 • *Co-requisite* units that <u>must</u> be assessed <u>with</u> this unit:*Nil*
	 • *Co-assessed units* that <u>may</u> be assessed with this unit to increase the efficiency and realism of the assessment process include, but are not limited to:
	  ◦ PSPETHC401A Uphold and support the values and principles of public service
	  ◦ PSPGOV402B Deliver and monitor service to clients
	  ◦ PSPGOV408A Value diversity
	  ◦ PSPGOV422A Apply government processes
	  ◦ PSPLEGN401A Encourage compliance with legislation in the public sector
	  ◦ PSPPOL404A Support policy implementation
	  ◦ PSPREG401C Exercise regulatory powers
	  ◦ PSPREG403B Assess compliance
	  ◦ PSPREG405B Act on non-compliance

Overview of evidence requirements	In addition to integrated demonstration of the elements and their related performance criteria, look for evidence that confirms: • the knowledge requirements of this unit • the skill requirements of this unit • application of the Employability Skills as they relate to this unit (see Employability Summaries in Qualifications Framework) • promotion of client compliance in a range of (3 or more) contexts (or occasions, over time)
Resources required to carry out assessment	These resources include: • legislation, regulations, policy, guidelines and standards • public sector values and codes of conduct • presentation materials and communication techniques to suit diverse audiences • case studies and workplace scenarios to capture the range of compliance situations likely to be encountered
Where and how to assess evidence	Valid assessment of this unit requires: • a workplace environment or one that closely resembles

normal work practice and replicates the range of conditions likely to be encountered when promoting client compliance, including coping with difficulties, irregularities and breakdowns in routine

- promotion of client compliance in a range of (3 or more) contexts (or occasions, over time)

Assessment methods should reflect workplace demands, such as literacy, and the needs of particular groups, such as:

- people with disabilities
- people from culturally and linguistically diverse backgrounds
- Aboriginal and Torres Strait Islander people
- women
- young people
- older people
- people in rural and remote locations

Assessment methods suitable for valid and reliable assessment of this competency may include, but are not limited to, a combination of 2 or more of:

- case studies
- portfolios
- projects
- questioning
- scenarios
- simulation or role plays
- authenticated evidence from the workplace and/or training courses

For consistency of assessment

Evidence must be gathered over time in a range of contexts to ensure the person can achieve the unit outcome and apply the competency in different situations or environments

Range Statement

The Range Statement provides information about the context in which the unit of competency is carried out. The variables cater for differences between States and Territories and the Commonwealth, and between organisations and workplaces. They allow for different work requirements, work practices and knowledge. The Range Statement also provides a focus for assessment. It relates to the unit as a whole. Text in **bold italics** in the Performance Criteria is explained here.

Clients may include:	• individuals • organisations • general public • key stakeholders from industry • industry groups • unions • students • community • specific interest groups • other government agencies
Attitude may include:	• compliant/willing to comply • interested • helpful • negative • aggressive • violent
Information may include:	• verbal advice or explanation • written materials • brochures • videos • electronic media: floppy disk, CD-ROM, email, Internet
Communication strategies may include:	• one-to-one • informal discussion • telephone call • small group discussion/presentation • large group presentation • written paper-based or electronic presentation • teleconference • video-conference
Contexts may include:	• telephone • face-to-face • public forums

	• in the workplace
	• in the field
	• front counter
	• call centres
	• video-conferencing
	• email
	• web site
Presentation standards may include:	• dress
	• punctuality
	• preparedness
	• manner
	• handouts
	• overhead transparencies/slide shows
	• questioning techniques
	• customisation to meet the needs of a diverse workplace
Legislation and standards may include:	• enabling and related legislation
	• public sector standards
	• organisational policy and procedures
	• equal employment opportunity and anti-discrimination law

Unit Sector(s)

Not applicable.

Competency field

Regulatory.