



Australian Government

Department of Education, Employment and Workplace Relations

PSPREG601B Manage regulatory 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 management of regulatory compliance - a management role with responsibility for regulatory officers who enforce and promote compliance with legislation. It includes interpreting and advising on enabling and related legislation; developing and implementing strategies to promote long-term voluntary compliance and develop a culture of compliance in the community; and providing strategic advice on compliance matters. In practice, managing regulatory compliance may overlap with other public sector work activities such as managing ethical behaviour; managing diversity, risk, resources; persuading and influencing opinion.

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. Interpret and advise on enabling and related legislation	1.1 Non-routine or <i>complex matters</i> related to enabling and related <i>legislation</i> are resolved or referred in accordance with organisational procedures. 1.2 Advice is provided to clients and staff that is timely, consistent and constructive, and within level of authority. 1.3 Feedback is obtained on client level of understanding, and additional information or explanation is provided to clarify issues. 1.4 Staff understanding of legislation and procedures is monitored and action to address professional development needs is timely and in accordance with organisational procedures.
2. Develop and implement compliance strategies	2.1 <i>Strategies</i> and <i>measures</i> to influence long-term voluntary compliance are identified and implemented to suit the audience and the context. 2.2 Information that is current and promotes the benefits of compliance is provided to clients. 2.3 Strategies are developed in accordance with government and organisational policy and practice. 2.4 Information and strategies are adjusted in response to feedback gathered from a range of stakeholders.
3. Provide strategic advice on compliance matters	3.1 Client/government information requirements are confirmed. 3.2 Advice is provided based on current information and meets the specific needs of clients in its range, depth and form of presentation. 3.3 Presentation standards are maintained in accordance with organisational guidelines. 3.4 Feedback is obtained on how well the advice/information suits its purpose and audience, and is used to recommend further action.

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:

- undertaking planning and information analysis
- engaging in mentoring and coaching
- interpreting complex written materials
- preparing written reports requiring formal structure and language
- providing oral advice to a range of audiences requiring adaptation of style and language
- using active listening and questioning to confirm understanding
- responding to diversity, including gender and disability
- applying occupational health and safety and environment legislation in the context of regulatory compliance management

Knowledge requirements

Look for evidence that confirms knowledge and understanding of:

- enabling legislation
- aspects of common law
- strategic management of regulatory compliance
- equal employment opportunity, equity and diversity principles
- organisational reporting procedures
- public sector policy and legislation including occupational health and safety and environment relating to the management of regulatory 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 must be achieved prior to this unit: *Nil*
- *Co-requisite* units that must be assessed with this unit: *Nil*
- *Co-assessed units* that may be assessed with this unit to increase the efficiency and realism of the assessment process include, but are not limited to:
 - PSPETHC601B Maintain and enhance confidence in public service
 - PSPGOV601B Apply government systems
 - PSPLEGN601B Manage compliance with legislation in the public sector
 - PSPMNGT602B Manage resources
 - PSPMNGT605B Manage diversity
 - PSPMNGT608B Manage risk
 - PSPPOL603A Manage policy implementation
 - PSPREG602B Evaluate regulatory 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)
- management of regulatory compliance in a range of (3 or more) contexts (or occasions over time)

Resources required to carry out assessment

These resources include:

- legislation, policy, procedures and protocols relating to regulatory compliance in the public sector
- enabling legislation
- relevant aspects of common law
- case studies and workplace scenarios to capture the range of situations likely to be encountered when managing regulatory compliance

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 managing regulatory compliance, including coping with difficulties, irregularities and breakdowns in routine

- management of regulatory 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
- 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.

Complex matters may include:

- conflicting legislation
- unclear or ambiguous guidelines
- use of legal precedents
- regional or national issues
- issues not previously encountered
- 'red herring' issues

Legislation may include:

- enabling legislation, such as that dealing with:
- audit, customs and excise, quarantine, fisheries, agriculture, land management, conservation, coastal management, environmental protection, environment, insurance, legal administration (sheriffs, young offenders), workers compensation, occupational safety and health, workplace relations
- public sector management, financial management
- auditor general
- planning, construction, transport, energy, mining, resource management, communications
- family services, employment, equal employment opportunity and anti-discrimination
- aspects of common law
- contract law
- administrative law
- equal employment opportunity and anti-discrimination law

Strategies may include:

- public education campaigns
- culture change programs
- redesign of organisational documents
- incentive programs
- web site
- help desk
- staff training
- policy changes
- awareness-raising consultations with client groups

Measures may include:

- evaluation criteria against strategic goals/targets/required

policy outcomes

- quantitative, such as:
 - reported injuries/deaths, workers compensation claims and premiums (workplace safety)
 - illegal imports (customs)
 - exotic diseases (quarantine)
 - amount of land affected by salinity (land management)
- qualitative, such as:
 - client satisfaction (relevant to all regulatory areas)

Unit Sector(s)

Not applicable.

Competency field

Regulatory.