



Australian Government

Department of Education, Employment and Workplace Relations

PSPREG602B Evaluate 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 evaluation of compliance outcomes, and review of regulatory policies, procedures and legislation to improve compliance outcomes. This is typically performed by a manager with responsibility for regulatory officers who enforce and promote compliance with the organisation's enabling legislation (such as customs, quarantine, workplace safety, equal employment opportunity, agriculture, environmental protection, etc). It includes developing compliance measures/targets, evaluating the extent of compliance, reviewing procedures and guidelines to improve compliance, and contributing to new legislation or the review of existing legislation.

In practice, evaluation of regulatory compliance may overlap with other public sector work activities such as managing ethical behaviour and compliance with public sector legislation, managing diversity, risk, resources.

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. Develop compliance measures/targets	1.1 Compliance <i>measures</i> are developed that are valid, reliable, sufficient and both time and cost effective. 1.2 Realistic measures/targets are developed underpinned by current information.
2. Evaluate extent of compliance	2.1 Analysis of compliance data is valid and conclusions are unbiased and supported by evidence. 2.2 Interpretation of comparative data over time is valid and reliable and outcomes are recorded in accordance with <i>legislative and policy</i> requirements. 2.3 Compliance outcomes are reported in accordance with organisational and legislative requirements.
3. Review procedures and guidelines to improve compliance	3.1 A variety of sources of information representing the breadth of possible <i>stakeholders</i> is drawn on to ensure review is comprehensive. 3.2 Possible reasons for not meeting targets/performance indicators are identified and recommendations are made to improve long-term voluntary compliance. 3.3 Adjustments of strategies and plans are made to address review recommendations in accordance with government policy requirements and resource constraints.
4. Contribute to new legislation or review of existing legislation	4.1 Input is provided that supports government policy directions and relies on current information with supporting reasons and data analysis. 4.2 Resource implications of legislative recommendations are made within government policy requirements.

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 information analysis
- interpreting complex written and numerical materials
- preparing written reporting requiring formal structure and language
- responding to diversity, including gender and disability
- applying occupational health and safety and environment legislation in the context of regulatory compliance

Knowledge requirements

Look for evidence that confirms knowledge and understanding of:

- enabling legislation
- government policies
- principles of evaluation
- equal employment opportunity, equity and diversity principles
- public sector policy and legislation including occupational health and safety and environment relating to the evaluation 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
 - PSPMNGT611A Manage evaluations
 - PSPPOL603A Manage policy implementation
 - PSPREG601B Manage 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)
- evaluation of regulatory compliance in a range of (2 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
- relevant aspects of common law
- case studies and workplace scenarios to capture the range of situations likely to be encountered when evaluating 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 evaluating regulatory compliance, including coping with difficulties, irregularities and breakdowns in routine

- evaluation of regulatory compliance in a range of (2 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.

Measures may include:

- evaluation against strategic goals/targets/major outcomes
- level of prosecutions, cautions or warnings
- number of people accessing organisational publications about compliance requirements
- outcomes, such as:
 - reported injuries/deaths, workers compensation claims and premiums (relevant to workplace safety)
 - illegal imports (relevant to customs)
 - exotic diseases (relevant to quarantine)
 - amount of land affected by salinity (relevant to land management)
- qualitative, such as:
 - client satisfaction (relevant to all regulatory areas)

Legislation and policy 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
- government policy

Stakeholders may include:

- government
- Minister
- public

- staff
- victims
- offenders/alleged offenders

Unit Sector(s)

Not applicable.

Competency field

Regulatory.