

| FUNCTION | FOUNDATIONAL | INTERMEDIATE | ADEPT | ADVANCED | HIGHLY ADVANCED |
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| REGULATORY BASIS | <p>Understand:</p> <ul style="list-style-type: none"> • role of regulation in implementing agency framework and policy • how regulatory goals are achieved • regulator’s authority and available tools. <p>Under direct supervision, undertake compliance monitoring to facilitate compliance and enforcement responses.</p> | <p>Working knowledge of:</p> <ul style="list-style-type: none"> • how regulation goals are achieved application of regulator’s authority • available tools and their use • intended and unintended impacts of regulation. <p>Under minimum supervision:</p> <ul style="list-style-type: none"> • communicate agency regulatory priorities and compliance expectations • undertake compliance monitoring to facilitate compliance and enforcement responses • implement risk-based regulation through compliance planning and monitoring, triage of notified incidents, complaints or requests for action. | <p>Working independently:</p> <ul style="list-style-type: none"> • apply agency regulatory frameworks including intended and unintended impacts of regulation • identify opportunities to improve communication of agency regulatory priorities and compliance expectations • undertake compliance monitoring to facilitate compliance and enforcement responses, such as suspending or revoking licences • apply appropriate regulatory regime, intervention or approach to influence how characteristics of harm, duty holder and acceptable residual risk are addressed • implement risk-based regulation through compliance planning and monitoring, triage of notified incidents, complaints or requests for action, and allocation of resources for an appropriate response. <p>Superior knowledge of:</p> <ul style="list-style-type: none"> • impact different regulatory approaches and tools can have on future relationships of the regulator with the regulated entity • requirement for co-operative relationships with other regulators to understand and manage risk. | <p>Lead policy and program development and review and monitor:</p> <ul style="list-style-type: none"> • mechanisms (such as Regulatory Impact Statements and Risk Assessment Tools) to identify and quantify impacts of regulation, including regulatory burden and costs to government, regulated community and broader community • agency communication tools to inform stakeholders of agency regulatory priorities and compliance expectations • regulatory approaches to ensure regulation is appropriate and not driving perverse outcomes and behaviours resulting in failure of underlying policy objectives • drivers and motivations of compliant and non-compliant behaviour • different regulatory approaches and tools to achieve desired behavioural change in individuals, organisations and markets. | <p>Evaluate program and policy effectiveness, including:</p> <ul style="list-style-type: none"> • different regulatory approaches and tools to achieve desired behavioural change in individuals, organisations and markets • potential impacts and roles of interest groups, individuals, organisations, and governments in influencing design and impact of regulation • impact of different regulatory approaches and tools on future regulator relationships such as <ul style="list-style-type: none"> › ongoing relationship between regulator and regulated entity › opportunities for regulator to communicate regulatory priorities and compliance expectations › compliance monitoring burden of the regulator. |

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| DEVELOP REGULATORY APPROACH | Understand: <ul style="list-style-type: none"> regulatory issues options for an appropriate response. | Working knowledge of: <ul style="list-style-type: none"> identifying and assessing all regulatory and non-regulatory solutions to issues requirements to follow the Better Practice guidance on stakeholder consultation complementary role stakeholders have in achieving regulatory objectives. Under minimum supervision: <ul style="list-style-type: none"> identify and respond to all stakeholder (including other government entities) needs who are potentially affected by the regulation manage stakeholder expectations appropriately determine and document the intended nature of the regulator's relationship with stakeholders (e.g. information provision, consultation, collaboration) for each stage of the regulatory process, including for non-routine events encourage and take into account stakeholder contributions and demonstrate how stakeholder input has been taken into account in regulatory design. | Working independently: <ul style="list-style-type: none"> identify and justify the case for regulatory intervention, taking into account <ul style="list-style-type: none"> industry and market characteristics and community unique needs of each segment such as small business risks to achieving outcomes interfaces with other government and industry programs stakeholder views how each regulatory instrument may be used to deliver intended outcomes quantifiable impact (including cost benefit) of alternative approaches funding, charging and cost recovery policies measurement of regulatory burden manage the balance between role of regulator as a customer service provider and enforcer (i.e. building relationships while avoiding regulatory capture). | Lead policy and program development and advise teams on preferred regulatory approach, including appropriate legislative and non-legislative structures to achieve policy objectives, outcomes and benefits. Lead implementation of: <ul style="list-style-type: none"> internal and external decision review processes which are as simple as possible for all parties and take a risk-based approach regulatory governance arrangements, where <ul style="list-style-type: none"> recommended regulatory entity has appropriate and sufficient authority to act and legislative permissions and prescriptions are achievable accountability mechanisms support appropriate levels of impartiality, trust, integrity, consistency, expert input and independent decision review good and transparent decision-making is supported objectives of the regime are clearly outlined in supporting legislation and instruments roles and responsibilities are clearly defined. | Evaluate program and policy effectiveness, ensuring the desired regulatory response complies with agency, government and parliamentary requirements. Strategic overview of regulatory approach including: <ul style="list-style-type: none"> prioritising and resolving conflicting steps in the planning stages identifying funding ensuring regulatory response can be implemented, taking into account jurisdiction's legislation, geographic context and stakeholder expectations how compliance will be defined, monitored and enforced designing regulation to impose the minimum burden necessary to achieve underlying policy objectives. |

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| IMPLEMENT REGULATORY APPROACH | Understand agency: <ul style="list-style-type: none"> operational policy processes workflows forms tools required for effective implementation of the regulatory framework. | Working knowledge of agency: <ul style="list-style-type: none"> operational policy processes workflows forms tools required for effective implementation of the regulatory framework. | Superior knowledge of agency: <ul style="list-style-type: none"> operational policy processes workflows forms tools required for effective implementation of the regulatory framework. Working independently: <ul style="list-style-type: none"> develop processes to distinguish between effort /resources required for simple routine matters versus complex matters, to manage risk and deliver timely outcomes ensure appropriate stakeholder input is taken into account in operational design design and implement <ul style="list-style-type: none"> robust, understandable and enforceable conditions for inclusion in registrations, licences or approvals licensing, approval or other types of scheme access control mechanisms based on clear, accessible, understandable and enforceable criteria systems to provide consistent action/ decision making on like matters and build on precedents. | Review and monitor: <ul style="list-style-type: none"> operational policy, processes, workflows, forms and other tools for effective implementation of the regulatory framework. conditions included in registrations, licences or approvals licensing, approval or other types of scheme access control mechanisms systems to provide for consistent action/ decision making on like matters and build on precedents. | Provide resourcing to implement the regulatory approach. Identify and quantify regulatory costs and burden on regulated entities and facilitate policies to minimise impact of regulatory decisions on a regulated entities ability to operate. |

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| MONITOR/REVIEW REGULATION | Understand agency framework for monitoring and assessing regulatory performance. | Working knowledge of agency framework for monitoring and assessing regulatory performance. | Superior knowledge of agency performance framework using program evaluation, independent audits and quality assurance processes as appropriate. Working independently: <ul style="list-style-type: none"> • provide advice to senior management on regulatory reform including: <ul style="list-style-type: none"> › whether a particular regulatory program is achieving its objectives and if these are still a stated priority › potential amendments to the regulation and its operation to improve effectiveness and/ or efficiency • identify opportunities to reduce regulatory burden for government and business and, as required, recommend removal of regulation no longer relevant • regularly monitor and report on regulatory performance using relevant quantitative and qualitative assessments • meet mandatory agency performance reporting requirements. | Review and monitor: <ul style="list-style-type: none"> • ongoing regulatory performance including mapping and monitoring delivery of community benefits from stakeholder and delivery agent input • broader impacts, including business performance of the regulated community to provide confidence the regulatory framework is administered fairly, efficiently and effectively, and flexibly manages risk. Identify opportunities to work co-operatively with other regulatory agencies to reduce the burden to both government and regulated entities. Identify lessons learned in the delivery of a regulatory program. Identify potential application of contemporary and emerging regulatory practices used in other Australian jurisdictions and overseas. | Lead evaluation of: <ul style="list-style-type: none"> • improvements to agency performance framework • outcomes of communication, education and engagement activities and use this information to tailor future strategies • ongoing regulatory programs (including legislation and its delivery) to improve performance in response to outcomes of monitoring, decision reviews and changing regulatory environment, including industry practices and their response to regulatory processes • lessons learned in the delivery of regulatory framework to inform improvements. |

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| PROFESSIONAL DEVELOPMENT AND KNOWLEDGE CONTRIBUTION | Understanding and participate in: <ul style="list-style-type: none"> agency professional development framework on-the-job training to attain appropriate qualifications. | Working knowledge of and participation in: <ul style="list-style-type: none"> on-the-job training, providing advice and feedback, coaching and mentoring attaining appropriate qualifications supporting and contributing to agency organisational culture encouraging knowledge sharing, continuous learning and adaptation to the changing regulatory environment. | Working independently: <ul style="list-style-type: none"> undertake and supervise on-the-job training, providing advice and feedback, coaching and mentoring other regulatory professionals including those in other agencies attain appropriate qualifications implement procedures to support development of less experienced regulatory professionals develop personal leadership and regulatory knowledge, skills and experience, including establishing and maintaining networks with regulatory professionals working in other government areas. | Review and monitor: <ul style="list-style-type: none"> knowledge supporting the profession procedures to recognise importance of more senior and experienced regulatory professionals to support development of less experienced regulatory professionals. Recommend new methods to improve the quality of regulatory outcomes. | Evaluate and develop strategic policies and programs to : <ul style="list-style-type: none"> encourage investment in development of regulatory professionals to im-prove organisational regulatory capability support the agency as a competent, credible and capable regulatory body. |

¹ Based on the Institute of Public Administration Australia (IPAA) Regulatory Professional Capability Guidance