



# Regulatory Compliance User Manual

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# Contents

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Welcome .....	5
Log into the portal .....	6
Logging in.....	5
Forgotten password .....	7-8
Review your obligations .....	9-11
Filtering content .....	11
Assign authorities and responsibilities .....	12-13
Take 'point in time' snapshots .....	14
Respond to alerts and updates .....	14

## Document Control

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03/04/2018	1.0	Mary Wong	
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# Welcome

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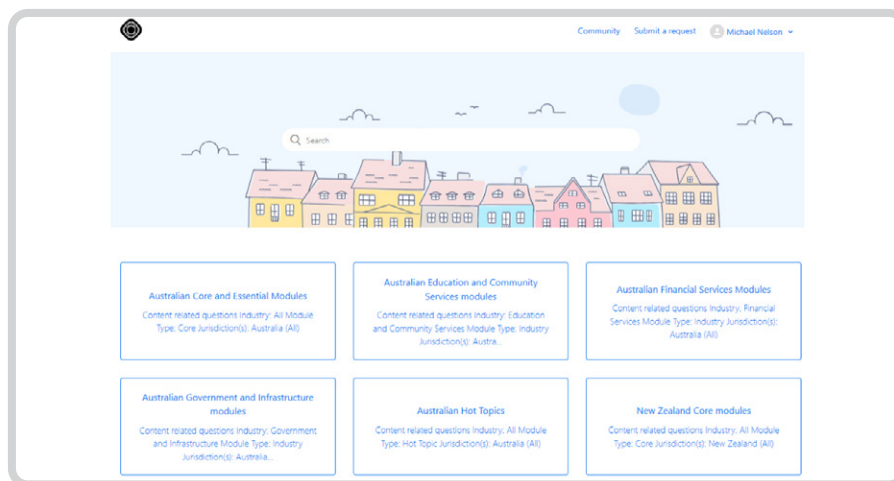
Welcome to the LexisNexis® Regulatory Compliance portal, the secure online legal obligations register solution that combines regulatory content with technology to empower you to take control of your compliance obligations.

This user manual will show you how to:

- Log in to the portal
- Review your obligations
- Assign authorities and responsibilities
- Take 'point in time' snapshots
- Respond to alerts and updates

If you have any queries about the Regulatory Compliance Portal, or about other LexisNexis products and services, please:

- contact your relationship manager;
- email [compliance@lexisnexis.com.au](mailto:compliance@lexisnexis.com.au); or
- visit our Regulatory Compliance community website, <https://compliance.community.lexisnexis.com.au>.



The portal is hosted by an ISO 27001 certified provider, disaster recovery is in Australia and is active-active within an RTO of less than 24 hours.

Customer data can only be accessed by authorised users and each user can set or reset their password. LexisNexis can only make subscription changes, at your request, and at no time access your organisation's data.

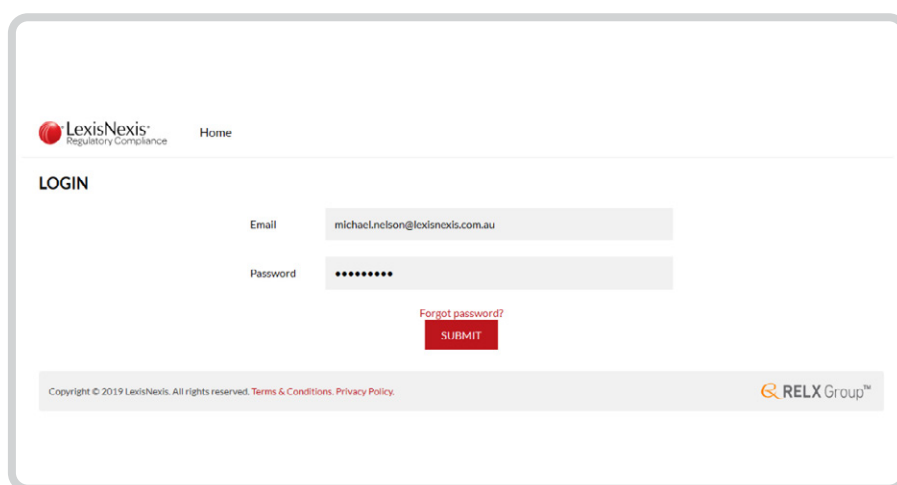
# Log into the portal

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## Logging in

To log into the portal, open a browser and go to: <https://compliance.portal.lexisnexis.com.au/login>

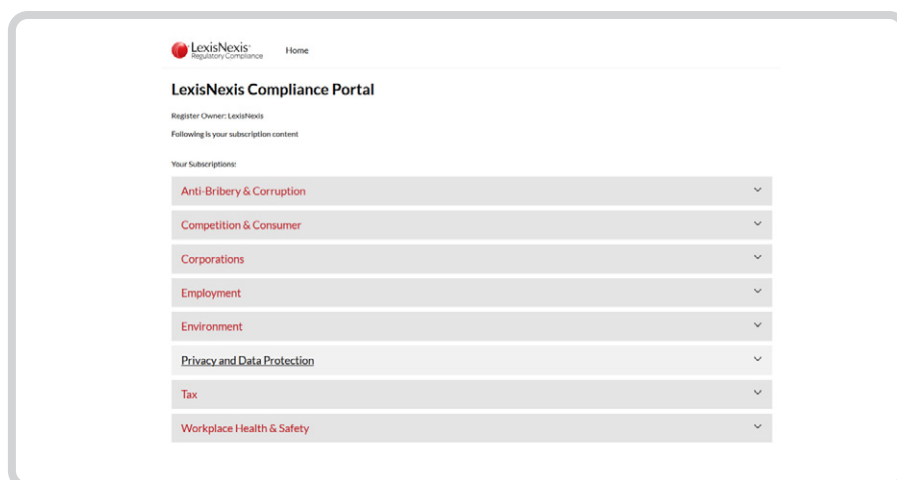
You will then see a screen like this:



The screenshot shows the LexisNexis Regulatory Compliance LOGIN page. At the top left is the LexisNexis logo and 'Regulatory Compliance' text. To the right is a 'Home' link. Below this is a 'LOGIN' section with two input fields: 'Email' containing 'michael.nelson@lexisnexis.com.au' and 'Password' containing a masked password '\*\*\*\*\*'. Below the password field is a 'Forgot password?' link and a red 'SUBMIT' button. At the bottom of the page, there is a copyright notice: 'Copyright © 2019 LexisNexis. All rights reserved. Terms & Conditions. Privacy Policy.' and the RELX Group logo.

Enter your email and password and click '**SUBMIT**'.

You now have access to the portal.

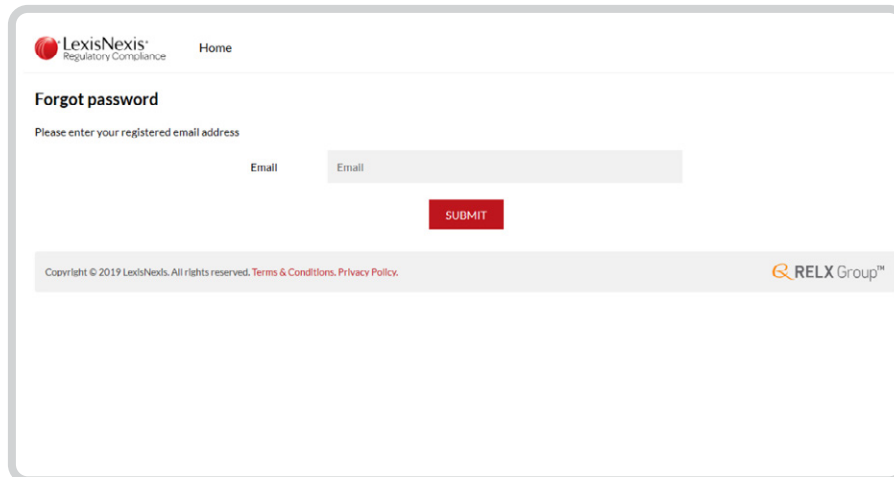


The screenshot shows the LexisNexis Compliance Portal dashboard. At the top left is the LexisNexis logo and 'Regulatory Compliance' text. To the right is a 'Home' link. Below this is the 'LexisNexis Compliance Portal' title. Underneath, it says 'Register Owner: LexisNexis' and 'Following is your subscription content'. A section titled 'Your Subscriptions:' contains a list of subscription categories, each with a dropdown arrow: 'Anti-Bribery & Corruption', 'Competition & Consumer', 'Corporations', 'Employment', 'Environment', 'Privacy and Data Protection', 'Tax', and 'Workplace Health & Safety'.

# Forgotten password

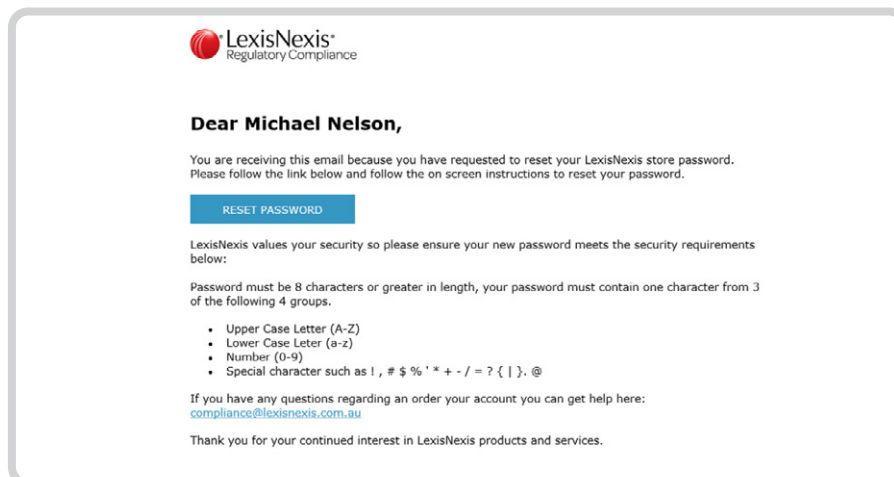
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If you have forgotten your password, click on the 'Forgot password?' link, and then enter your email address into the text box.



The screenshot shows the LexisNexis Regulatory Compliance website. At the top, there is a navigation bar with the LexisNexis logo and a 'Home' link. Below this, the main heading is 'Forgot password'. Underneath, it says 'Please enter your registered email address'. There is a text input field labeled 'Email' and a red 'SUBMIT' button. At the bottom of the page, there is a footer with copyright information: 'Copyright © 2019 LexisNexis. All rights reserved. Terms & Conditions. Privacy Policy.' and the RELX Group logo.

You will receive an email that contains a link to the 'reset password' page, and instructions on how to construct a secure password

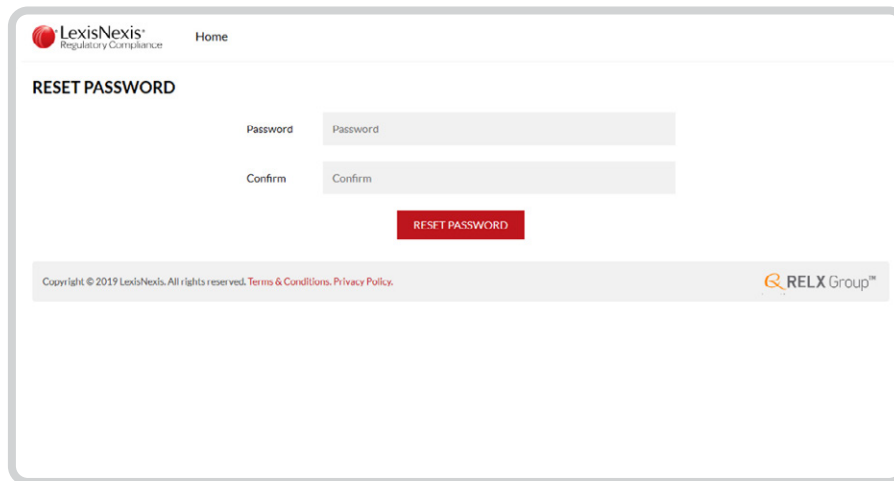


The screenshot shows an email from LexisNexis Regulatory Compliance. The email is addressed to 'Dear Michael Nelson,'. It states: 'You are receiving this email because you have requested to reset your LexisNexis store password. Please follow the link below and follow the on screen instructions to reset your password.' Below this text is a blue button labeled 'RESET PASSWORD'. The email then lists security requirements for the new password: 'LexisNexis values your security so please ensure your new password meets the security requirements below: Password must be 8 characters or greater in length, your password must contain one character from 3 of the following 4 groups.' The groups are: Upper Case Letter (A-Z), Lower Case Letter (a-z), Number (0-9), and Special character such as !, #, \$, %, ', \*, +, -, /, =, ?, {, |, }, ., @. At the bottom, it provides a contact email: 'If you have any questions regarding an order your account you can get help here: [compliance@lexisnexis.com.au](mailto:compliance@lexisnexis.com.au)' and a closing statement: 'Thank you for your continued interest in LexisNexis products and services.'

# Forgotten password

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Enter your new password into the text box



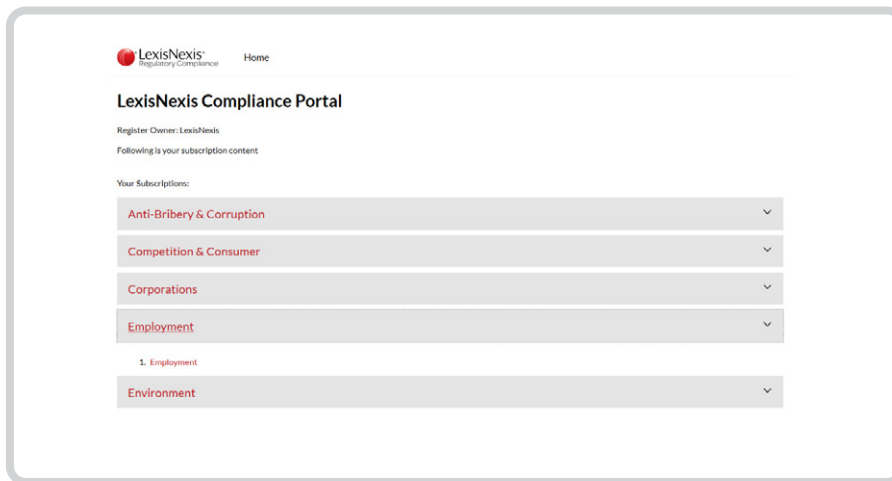
The screenshot shows a web form titled "RESET PASSWORD" within the LexisNexis Regulatory Compliance interface. The form includes two input fields: "Password" and "Confirm", each with a corresponding label. Below these fields is a red button labeled "RESET PASSWORD". At the bottom of the form, there is a footer containing copyright information: "Copyright © 2019 LexisNexis. All rights reserved. [Terms & Conditions](#). [Privacy Policy](#)." and the RELX Group logo.

If you have entered a compliant password, a message will appear in the bottom right of the screen confirming you have updated your password and you will also receive an email confirming this.

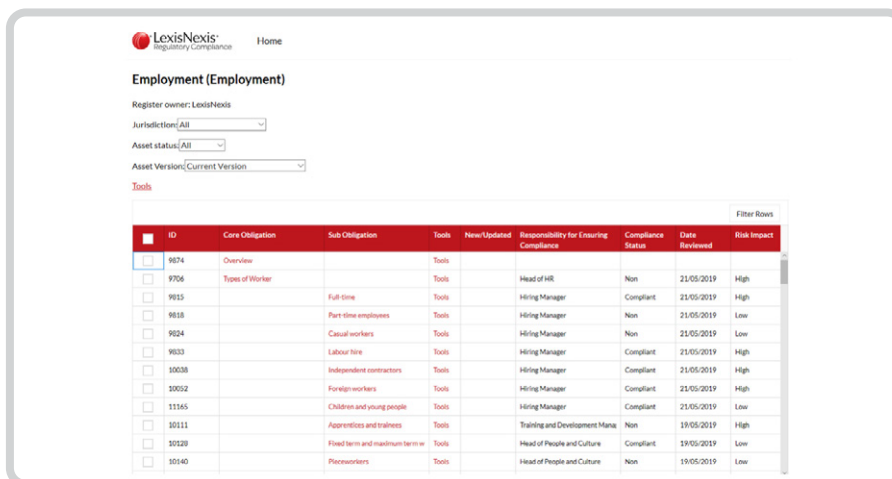
If you have NOT entered a compliant password, a message will appear in the bottom right of the screen setting out the problem.

# Review your obligations

Click on the module you would like to review:



You will then see the contents of the module, including core obligations, sub-obligations and tools set out as follows:

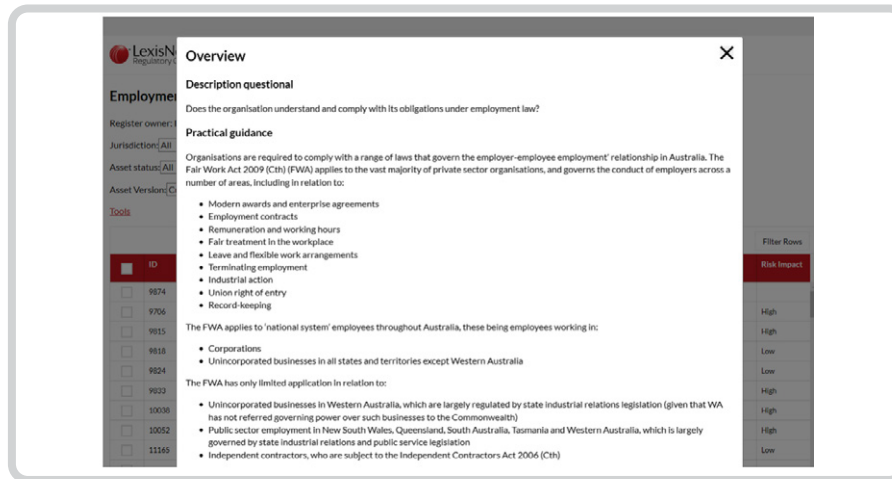


To review the contents of the core obligations, sub-obligations and tools, simply click on the red link.

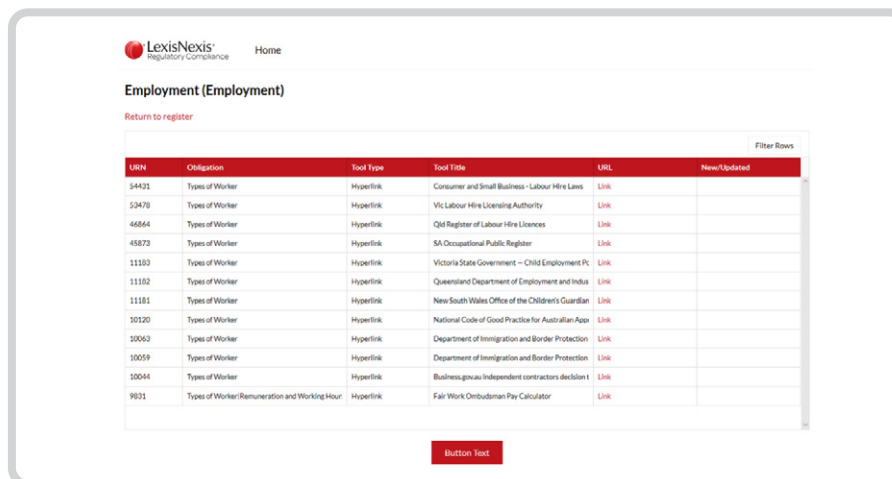


# Review your obligations

If you have selected an obligation, it will appear as a pop-up:

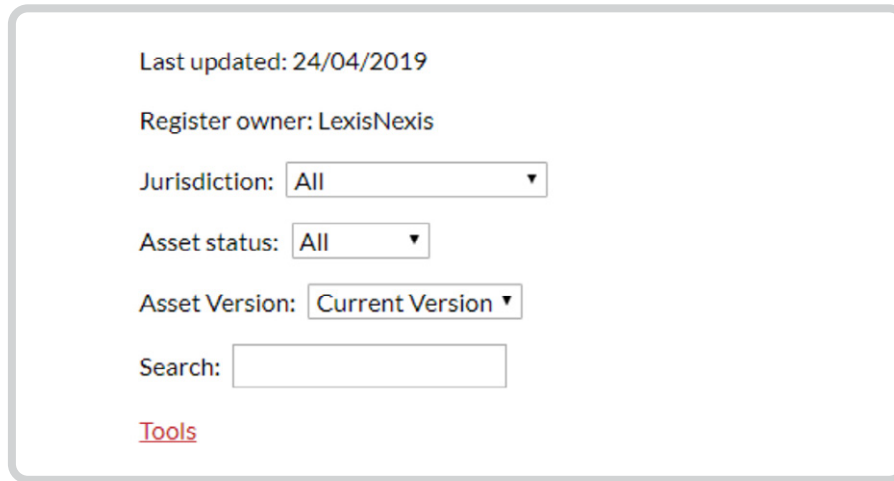


If you have selected tools, they will appear in a new window, with links to the relevant documentation:



# Review your obligations

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The screenshot shows a web interface for reviewing obligations. It includes the following elements:

- Last updated: 24/04/2019
- Register owner: LexisNexis
- Jurisdiction: All (dropdown menu)
- Asset status: All (dropdown menu)
- Asset Version: Current Version (dropdown menu)
- Search: (text input field)
- [Tools](#) (link)

## Filtering content

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The content of the register can be filtered by:

- **Jurisdiction:** every obligation has one or more application jurisdictions, and the portal will only show those obligations that are in the selected jurisdiction;
- **Asset status:** you can toggle between Active, Archived or All obligations. When there is a change in the law that renders an obligation redundant, it is archived, and reflected as such in the New/Updated column.
- **Filter rows:** when you click on Filter rows, you can filter across the columns within the register;
- **Asset version:** you can choose between the current or previous versions, sorted in descending order;
- **Export as CSV:** you can choose to export the version on display as a .csv file.

# Assign authorities and responsibilities

The user can now edit any of the following columns from the selected obligations:

- Responsibility for Ensuring Compliance
- Compliance Status
- Date Reviewed
- Risk Impact
- Risk Likelihood
- Control Action

To edit an obligation, first select it by clicking on the box next to the obligation's ID number.

LexisNexis® Regulatory Compliance Home

**Employment (Employment)**

Register owner: LexisNexis

Jurisdiction: All

Asset status: All

Asset Version: Current Version

Tools

ID	Core Obligation	Sub Obligation	Tools	New/Updated	Responsibility for Ensuring	Compliance Status	Date Reviewed	Risk Impact	Risk Likelihood	Control Action
9874	Types of Worker	Full-time	Tools		Head of HR	Non	21/05/2019	High	High	https://www.lexisnexus.com/...
9706	Part-time employees		Tools		Hiring Manager	Compliant	21/05/2019	High	Low	Monthly HR Re
9706	Casual workers		Tools		Hiring Manager	Non	21/05/2019	Low	Low	Monthly HR Re
9706	Labour hire		Tools		Hiring Manager	Compliant	21/05/2019	High	High	Monthly HR Re

At the bottom of the page, two buttons will appear:

9948

Information provided to ne

Tools

9952

The Employment Cor

Tools

9956

Formation

Tools

9961

Terms

Tools

9968

Employer obligations

Tools

Export as CSV

Acquire Lock

Release Lock

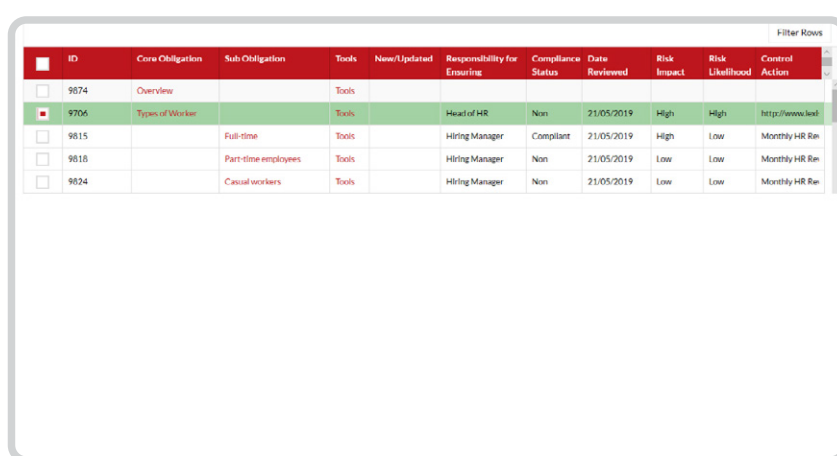
# Assign authorities and responsibilities

To edit the selected obligation, click Acquire Lock. To prevent users overriding each other, the register has a locking function that means that while an obligation is locked, only the user who has acquired it can edit it.

Once they have released it, it then becomes available for other users to edit.

A user can acquire up to four locks at any one time.

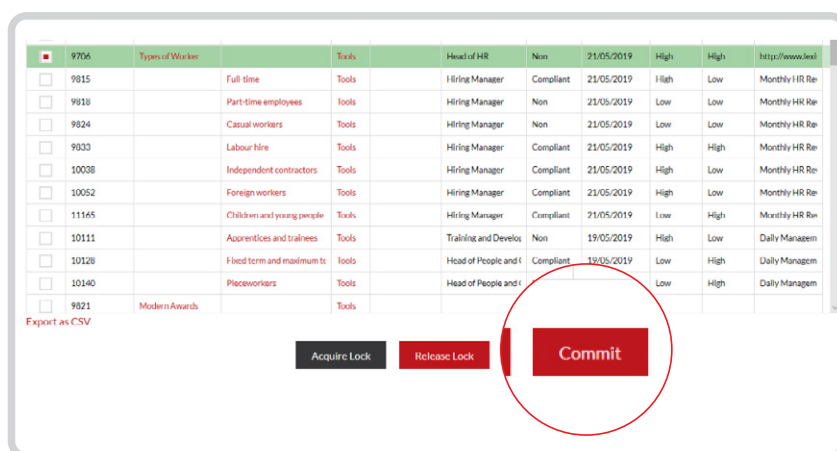
Once the lock has been acquired, the obligation is highlighted in green, and the obligation is now ready to be edited. The 'Commit' button will also appear at the bottom of the page.



	ID	Core Obligation	Sub Obligation	Tools	New/Updated	Responsibility for Ensuring	Compliance Status	Date Reviewed	Risk Impact	Risk Likelihood	Control Action
<input type="checkbox"/>	9874	Overview		Tools							
<input checked="" type="checkbox"/>	9706	Types of Worker		Tools		Head of HR	Non	21/05/2019	High	High	<a href="http://www.lexi">http://www.lexi</a>
<input type="checkbox"/>	9815		Full-time	Tools		Hiring Manager	Compliant	21/05/2019	High	Low	Monthly HR Re
<input type="checkbox"/>	9818		Part-time employees	Tools		Hiring Manager	Non	21/05/2019	Low	Low	Monthly HR Re
<input type="checkbox"/>	9824		Casual workers	Tools		Hiring Manager	Non	21/05/2019	Low	Low	Monthly HR Re

Once the necessary editing has been completed, click the Commit button to save the changes. Otherwise, click the Release Lock to abandon the changes you have made.

The lock will release automatically after an hour, after which any uncommitted changes will be lost.



<input checked="" type="checkbox"/>	9706	Types of Worker		Tools		Head of HR	Non	21/05/2019	High	High	<a href="http://www.lexi">http://www.lexi</a>
<input type="checkbox"/>	9815		Full-time	Tools		Hiring Manager	Compliant	21/05/2019	High	Low	Monthly HR Re
<input type="checkbox"/>	9818		Part-time employees	Tools		Hiring Manager	Non	21/05/2019	Low	Low	Monthly HR Re
<input type="checkbox"/>	9824		Casual workers	Tools		Hiring Manager	Non	21/05/2019	Low	Low	Monthly HR Re
<input type="checkbox"/>	9830		Labour hire	Tools		Hiring Manager	Compliant	21/05/2019	High	High	Monthly HR Re
<input type="checkbox"/>	10038		Independent contractors	Tools		Hiring Manager	Compliant	21/05/2019	High	Low	Monthly HR Re
<input type="checkbox"/>	10052		Foreign workers	Tools		Hiring Manager	Compliant	21/05/2019	High	Low	Monthly HR Re
<input type="checkbox"/>	11145		Children and young people	Tools		Hiring Manager	Compliant	21/05/2019	Low	High	Monthly HR Re
<input type="checkbox"/>	10111		Apprentices and trainees	Tools		Training and Develop	Non	19/05/2019	High	Low	Daily Managem
<input type="checkbox"/>	10128		Fixed term and maximum te	Tools		Head of People and t	Compliant	19/05/2019	Low	High	Daily Managem
<input type="checkbox"/>	10140		Pieceworkers	Tools		Head of People and t			Low	High	Daily Managem
<input type="checkbox"/>	9821	Modern Awards		Tools							

Export as CSV

Acquire Lock Release Lock **Commit**

Your organisation will also have a number of super users who are able to manually release locked obligations.

# Take 'point in time' snapshots

Super users can also lock down the whole register by clicking on 'Commit as a new version'. This creates a timestamped, archived version, which can then be referred to by clicking on the Asset version drop down.

**Employment (Employment)**

Register owner: LexisNexis

Jurisdiction: All

Asset status: All

Asset Version: **Current Version**

Tools

ID	Timestamp	Obligation	Tools	New/Updated	Responsibility for Ensuring	Compliance Status	Date Reviewed	Risk Impact	Risk Likelihood	Control Action
9879	19 September 2019 10:01:53		Tools		Head of HR	Non	21/05/2019	High	High	http://www.lexisnexis.com
9815	18 September 2019 10:42:26	Full-time	Tools		Hiring Manager	Compliant	21/05/2019	High	Low	Monthly HR Rep
9818	17 September 2019 11:38:19	Part time employees	Tools		Hiring Manager	Non	21/05/2019	Low	Low	Monthly HR Rep
9824	16 September 2019 16:00:26	Casual workers	Tools		Hiring Manager	Non	21/05/2019	Low	Low	Monthly HR Rep

Filter Rows

# Respond to alerts and updates

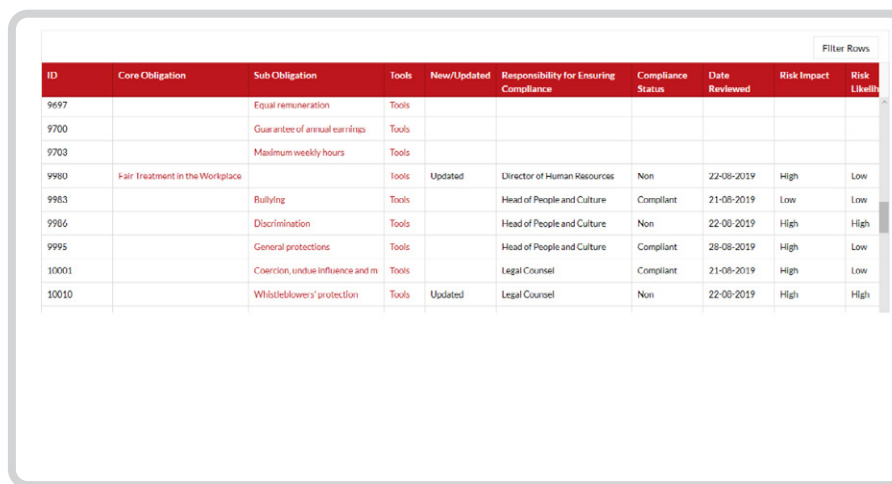
The obligations contained in the register are updated to reflect changes in legislation.

To highlight these changes, the relevant obligations are flagged as:

Updated: where obligations remain on foot, but aspects have been amended;

New: where legislative or similar changes have been made and a new obligation has been created;

Archived: where there is a change in the law that renders an obligation redundant, it is archived.



The screenshot shows a table with 10 columns: ID, Core Obligation, Sub Obligation, Tools, New/Updated, Responsibility for Ensuring Compliance, Compliance Status, Date Reviewed, Risk Impact, and Risk Likelihood. A 'Filter Rows' button is in the top right. The table contains 10 rows of data, with some rows having a red background for the 'Sub Obligation' column.

ID	Core Obligation	Sub Obligation	Tools	New/Updated	Responsibility for Ensuring Compliance	Compliance Status	Date Reviewed	Risk Impact	Risk Likelihood
9697		Equal remuneration	Tools						
9700		Guarantee of annual earnings	Tools						
9703		Maximum weekly hours	Tools						
9980	Fair Treatment in the Workplace		Tools	Updated	Director of Human Resources	Non	22-08-2019	High	Low
9983		Bullying	Tools		Head of People and Culture	Compliant	21-08-2019	Low	Low
9986		Discrimination	Tools		Head of People and Culture	Non	22-08-2019	High	High
9995		General protections	Tools		Head of People and Culture	Compliant	28-08-2019	High	Low
10001		Coercion, undue influence and m	Tools		Legal Counsel	Compliant	21-08-2019	High	Low
10010		Whistleblowers' protection	Tools	Updated	Legal Counsel	Non	22-08-2019	High	High



### **About LexisNexis® Regulatory Compliance**

LexisNexis Regulatory Compliance is a legal obligations register and alerting solution that combines regulatory content with technology to empower you to take control of your compliance obligations.

We use Australia's leading legal and industry experts to provide a practical, plain English interpretation of all the relevant legislative and regulatory materials, so you don't have to.

Content is updated daily, so you will always access obligations which reflect the current legislative framework — saving you significant costs and / or research time.

All content is supported with flexible technology options designed to meet your existing and future needs.

LexisNexis Regulatory Compliance makes your compliance journey fast and seamless.

### **About LexisNexis®**

LexisNexis is part of RELX Group, a world-leading provider of information and analytics for professional and business customers across industries. LexisNexis helps customers to achieve their goals in more than 175 countries, across six continents, with over 10,000 employees.