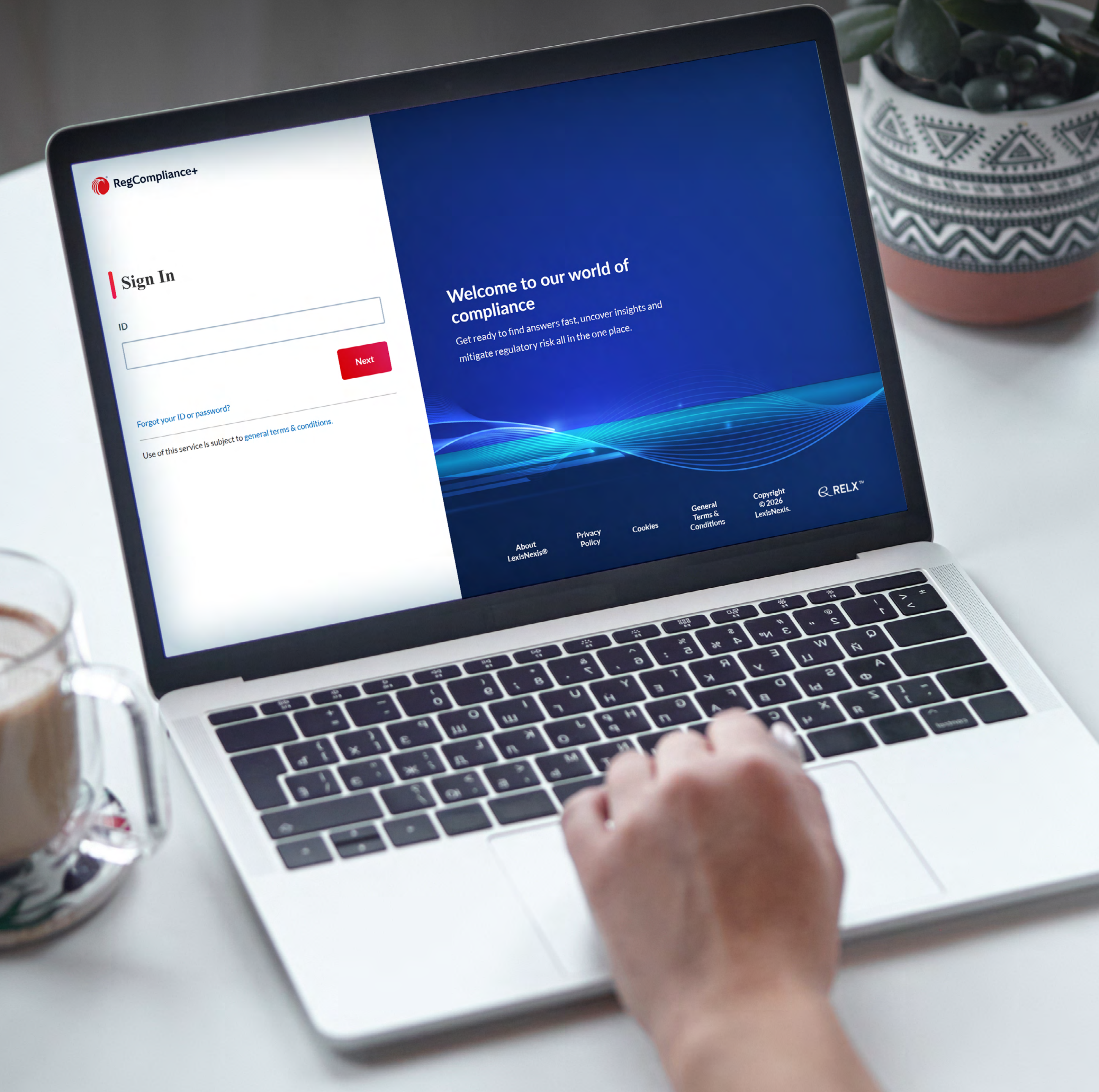
LexisNexis®
Regulatory Compliance

RegCompliance+ User Guide



Contents

Welcome

Welcome to LexisNexis® RegCompliance+, a smarter, faster, and more intuitive approach to regulatory compliance.

RegCompliance+ is an AI-enabled regulatory compliance solution that integrates authoritative compliance content with our generative AI assistant, Protégé™. It provides structured compliance registers and regulatory alerts designed to help Governance, Risk and Compliance (GRC) professionals identify obligations, monitor regulatory change and manage compliance effectively.

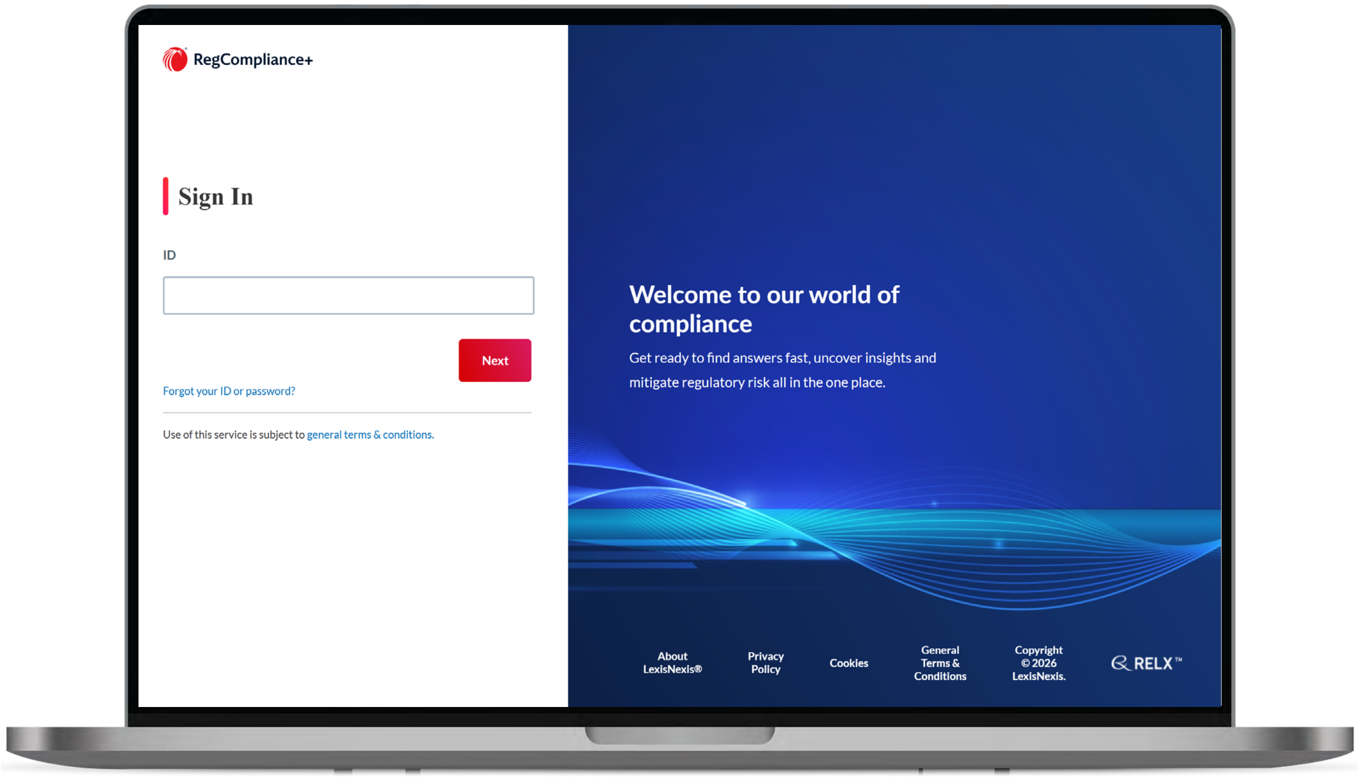
This user guide will show you how to:

- Sign in to the platform
- Review and manage obligations
- Monitor and manage alerts
- Search and filter obligations and alerts
- Use Protégé
- Export data

If you have any queries about the platform, or about other LexisNexis products and services, please contact your Relationship Manager or email compliance@lexisnexis.com.au.

Sign In to RegCompliance+

Signing In



If you are a new user, you will receive an email from notifications@lexisnexis.com.au with activation instructions.

If you already use another LexisNexis product, you can use your existing Sign In ID and password to access RegCompliance+.

To access the platform, open your browser and go to LexisNexis RegCompliance+ (plus.lexis.com/rc)

> *Sign In ID*: Enter your Sign In ID, found in your Welcome Email, then click **Next**
> *Password*: Click on the Activate your account' link, to set up your password. If you already use other LexisNexis products – like Lexis+® – use your existing password.

Once signed in, you will have access to the platform.

Verifying Sign In ID / Changing Password

If you need to verify your Sign In ID or if you have forgotten / need to change your password, follow these steps:

Click on “Forgot your ID or password?” link.

Forgotten Sign In ID
Type your email address in the provided text box and press Submit. You will receive an email with your LexisNexis Sign In ID.

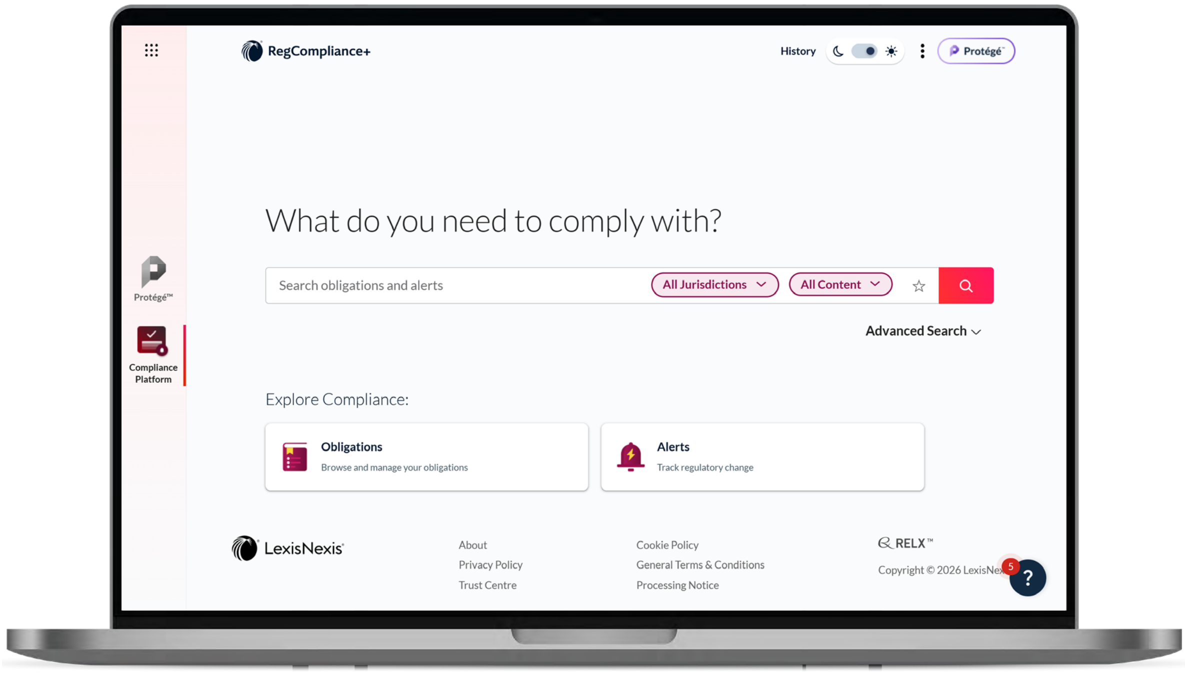
Forgotten password
Follow the following steps:

- Enter your Sign In ID and press Submit.
- Enter your email address in the text box, then press Continue.
- You will receive an email with a temporary one-time pass code.
- Enter the code on the Let's Verify It's You page and press Verify Code.
- On the reset password page, enter your new password in both the "Password" and "Confirm Password" text boxes. The requirements for a valid password are set out on this page.
- Press Reset Password to create / change your password or Back to Sign In to return to the Sign In page.

Landing Page

After signing in, you will arrive at the landing page. From here, you can:

- Access your Obligations Register, Library and Dashboard
- Access your Alerts Tracker, Library and Dashboard
- Use the search function
- Launch Protégé
- Access support resources



You can link to other products in your LexisNexis suite using the Product Switcher at top left of the screen.

Click on the Protégé icon in the Experience Dock on the left of the screen to begin using Protégé.

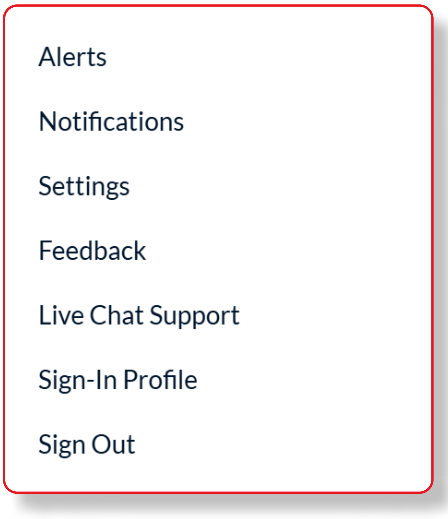
The search bar allows you to search your content, using high level filters like jurisdiction and content type (alert / obligation), as well as a link to the Advanced Search Form.

Click on the **Obligations** tile to explore the obligation registers and tools in your subscription, and click on the **Alerts** tile to view the Alert Tracker, where you can monitor and review regulatory change.

At the bottom right of the landing page is the Help Desk, with links to resources such as news and training materials.

The landing page also has, at the top right of the page, resources including:

- History, which contains links to your previous Protégé conversations, searches, and viewed documents;
- Dark/light mode toggle;
- Settings, email alert notifications and tailored search alerts (the 'three dots' menu) (see Search Alerts and Create Email Notifications for more information); and
- Protégé pop-out window.



User Types

There are three different user types in the RegCompliance+ platform:

- Admin
- Editor
- Viewer

An Admin can:

- Save a new compliance version
- Track obligations
- Assign owners
- Edit compliance data
- Configure email alerts
- Use Protégé
- Export data (.csv`)
- Export dashboard reports
- Access previous compliance versions

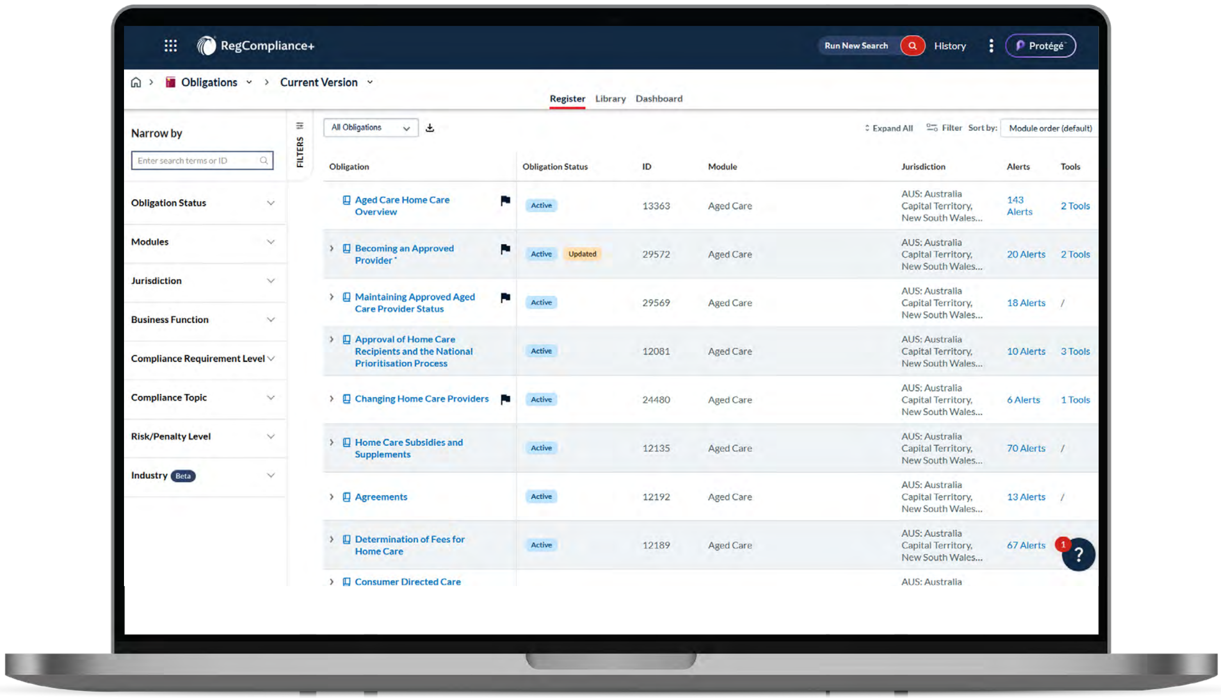
An Editor can do all of the above, except for 'Save a new compliance version'.

A Viewer can do all of the above, except for:

- Save a new compliance version
- Track obligations
- Edit compliance data

Obligations Register

Register View

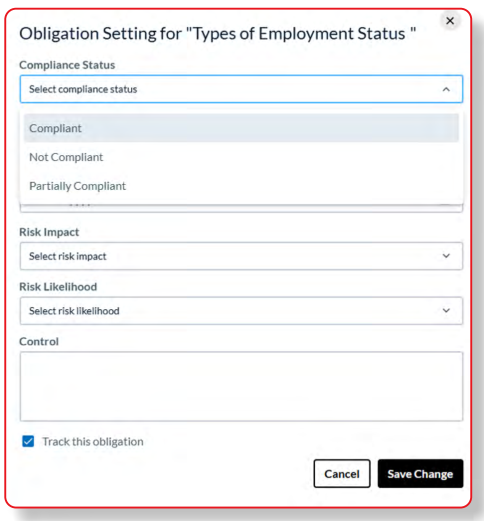


The Register view is the default obligation view. It shows:

- » core and sub-obligations, and their status (i.e. active or archived) and their unique identifying numbers;
- » in which module the obligation can be found;
- » the jurisdiction/s in which this obligation is relevant; and
- » associated alerts and tools.

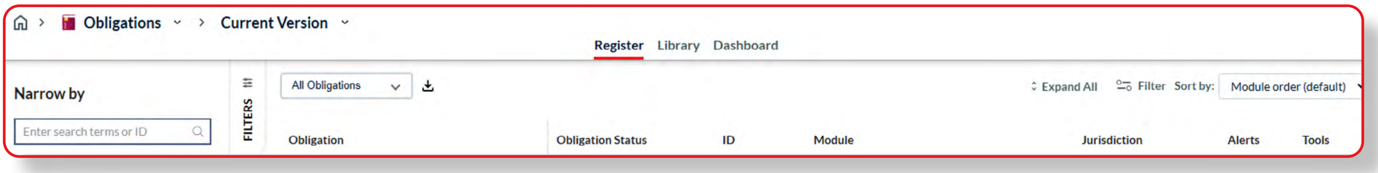
By moving your mouse over the obligation name, you activate the tracking option, where you can flag an obligation as relevant to your organisation. You can filter to only tracked obligations using the dropdown menu to toggle between All Obligations and Tracked Obligations.

The Register view also contains editable Compliance Management data fields, which allow you to nominate Compliance Status, Owner, Date Reviewed, Risk Impact, Risk Likelihood and Control.



On the left-hand side there is a filter bar, where you can narrow the viewable obligations by:

- Keyword/s
- Obligation Status (i.e. active or archived)
- Module/s
- Jurisdiction
- Business Function
- Compliance Level Requirement
- Compliance Topic
- Risk / Penalty Level
- Industry.

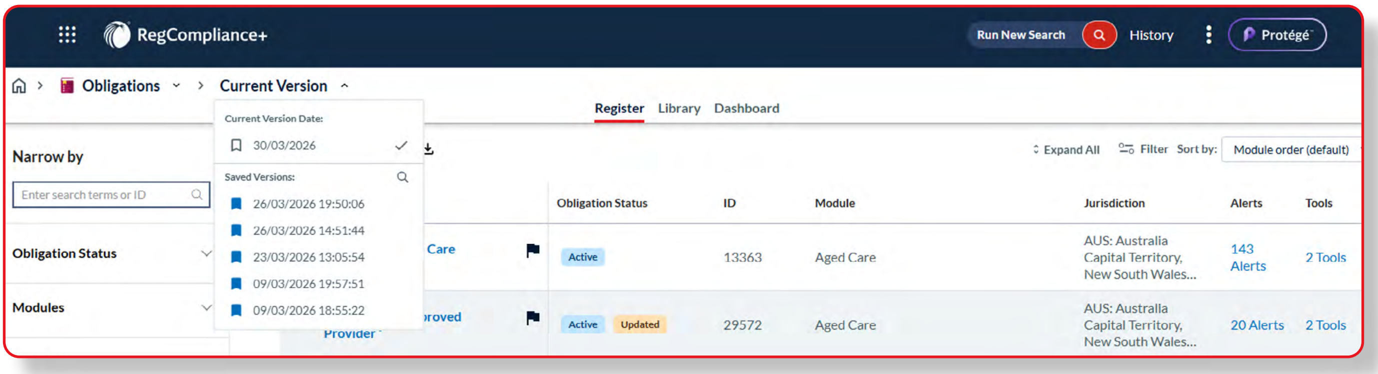


The action bar above the Register allows you to:

- Toggle between All and Tracked Obligations
- Filter by editable Compliance Management data
- Download obligations in csv format
- Expand and Collapse all Sub-Obligations
- Adjust sort order

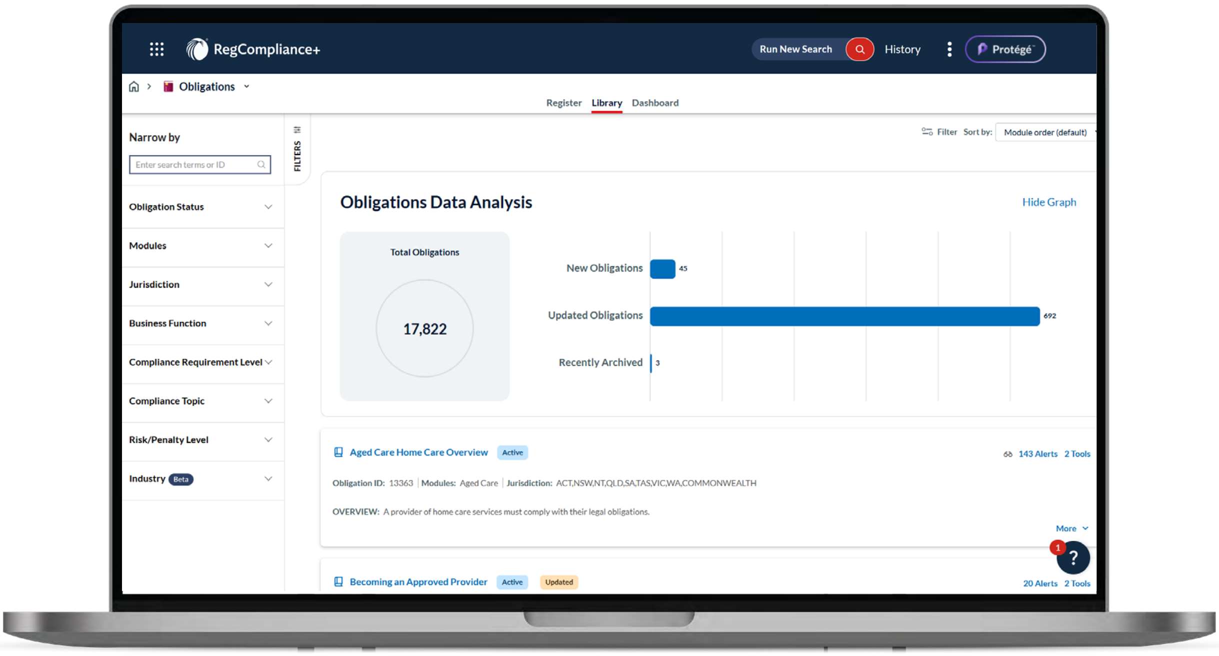
In addition to the Register view, there are two other alternative views of your Obligations: the Library View and the Dashboard View.

Compliance Version



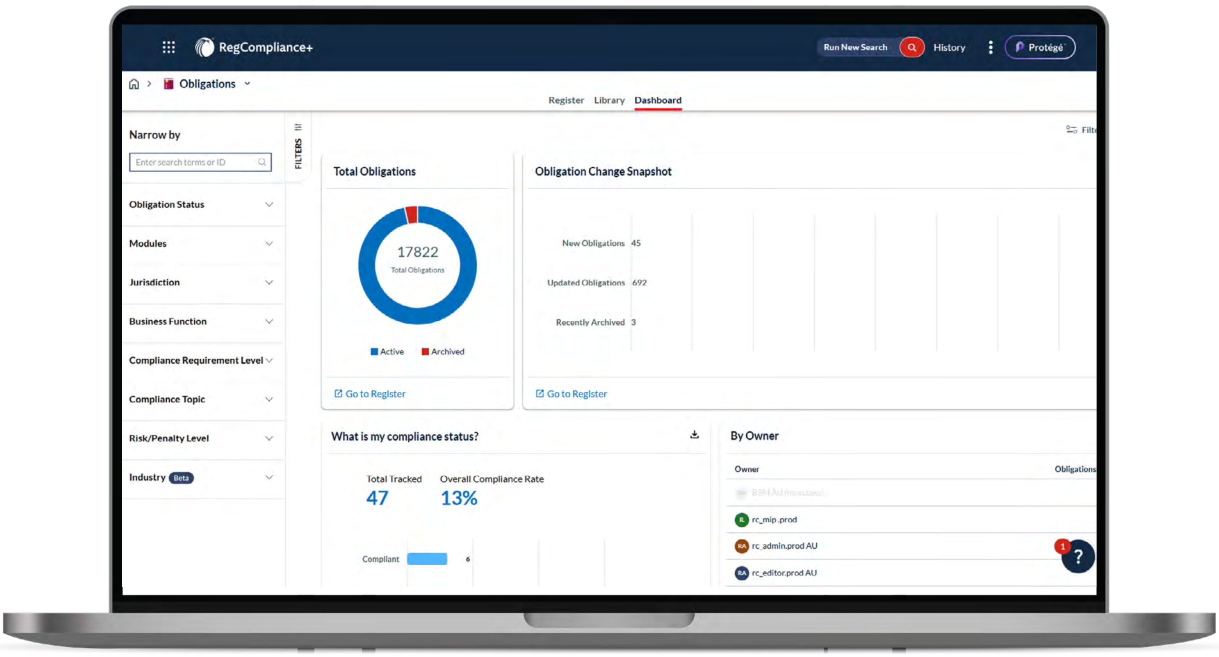
The Compliance Version function allows Admin users to save a snapshot of compliance management data at a point in time. This enables organisations to track their compliance management data, supporting governance, audit readiness, and internal reporting.

Library View



The **Library view** displays your obligations grouped by recent activity (new, updated, or archived within the past month). Each obligation is shown with its status, unique ID, module, jurisdiction, and links to related alerts and tools.

Dashboard View

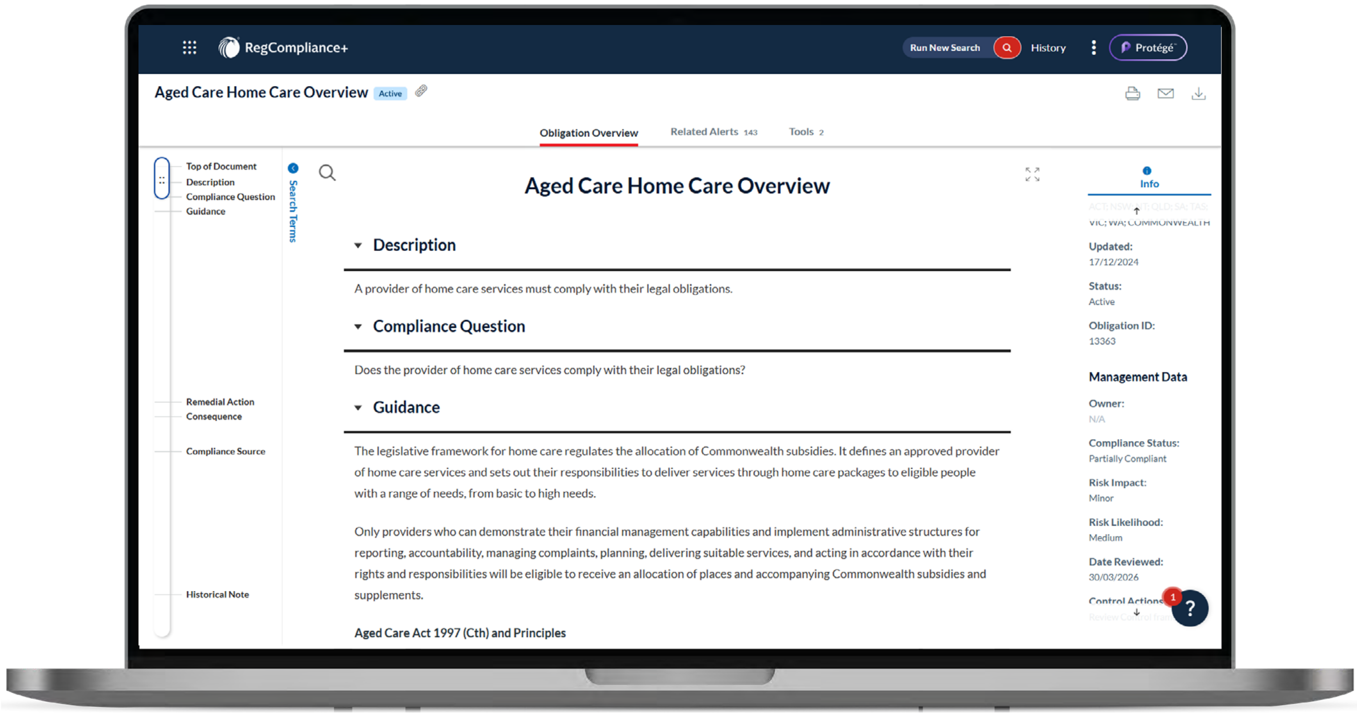


The **Dashboard view** provides an overview of your obligations, showing total count of obligations, overall compliance status of tracked obligations, and obligations grouped by owner. You can apply the same left-hand side content filters used in the Register and Library views to refine the information displayed.

You can download a PDF of the Compliance Status bar chart for recording and sharing purposes.

Obligation Content

If you click on an obligation, it will take you to the following view in a new tab in your browser.



At the top of the obligation, there are three tabs: the Obligation Overview, Related Alerts and Tools.

Each obligation contains the following fields:

- **Sub-Obligations:** each Core obligation has a list of its related sub-obligations, except for the Overview Obligation in each topic. This field doesn't appear in sub obligations
- **Description:** the short description of the obligation posed as a statement
- **Compliance Question:** the short description of the obligation posed as a question
- **Guidance:** what an organisation should do to be compliant with this obligation
- **Remedial Action:** how the organisation is required to behave to remain compliant with this obligation
- **Consequence:** the potential consequences of being found to be in breach of an obligation
- **Compliance Source:** the range of legislation and ancillary materials from which the guidance, remedial action and consequences are drawn
- **Definition:** where, in specific instances, particular words or expressions are required to be more closely defined
- **Historical Notes:** where changes made to a particular obligation are summarised

On the left-hand side of the page are the obligation's page anchors.

The Info bar contains meta data related to the selected obligation:

- **Module:** where the obligation is found
- **Jurisdiction:** where this obligation is applicable
- **Updated:** when the obligation was most recently updated
- **Obligation Status** [Active | Archived]
- **Obligation ID:** the unique identifying number for this obligation

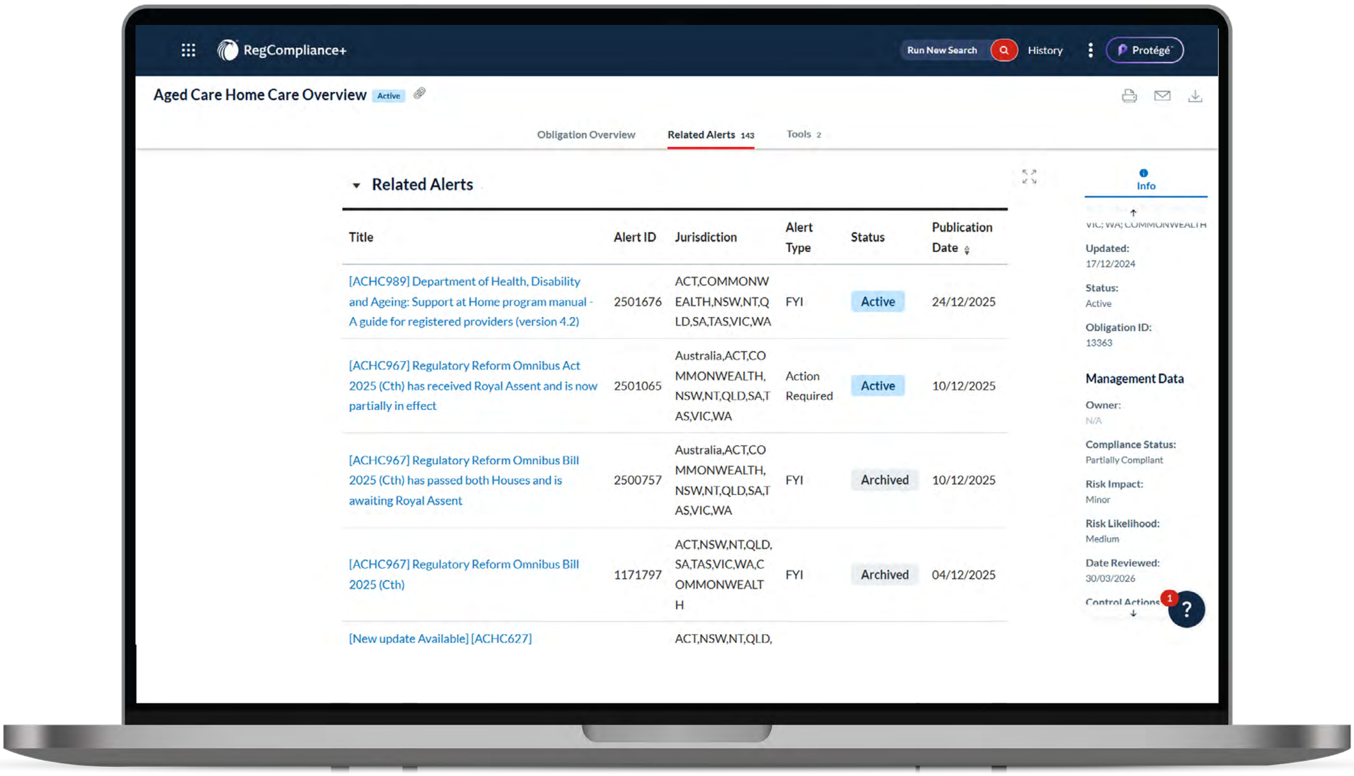
The Info bar also contains compliance management data showing user-entered content from the editable fields for the selected obligation:

» Owner
» Compliance Status
» Risk Impact
» Risk Likelihood
» Date Reviewed
» Control Actions

At the top right-hand side of the page, there are icons that allow you to print the obligation, email it, or download it in a variety of formats.

To access the Alerts, or Tools related to this obligation, click over to the 'Related Alerts' or 'Tools' tab next to the 'Obligation Overview'.

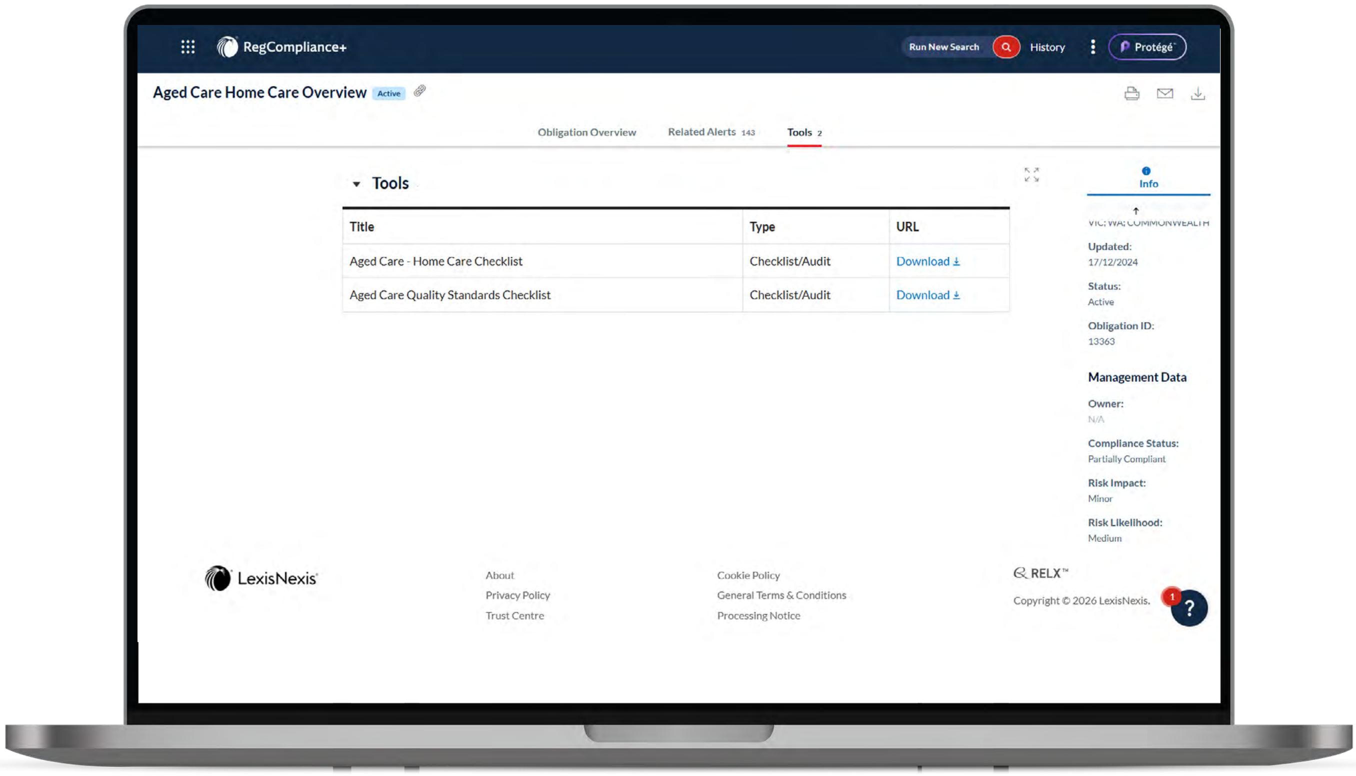
Related Alerts



The Related Alerts tab allows you view alerts relating to this obligation, and allows you to access the alerts by clicking on their title, as well as viewing their:

» Alert ID;
» relevant jurisdiction;
» alert type;
» alert status; and
» publication date.

Tools



Tools in the platform are a set of external links to a range of material, including checklists, reference materials, forms, etc. either hosted by LexisNexis, if we have created the document, or by a range of government departments, agencies, peak bodies or regulators. They are included to assist you in better actioning the information we provide in the obligation registers.

Alerts Register

Alerts are a key component of the RegCompliance+ solution. They keep you up to date with regulatory developments that may affect your obligations.

FYI Alerts

These information-only alerts provide advance information on potential changes that will impact an obligation.

Advance notice of changes as part of the legislative process is received via an FYI alert at five stages:

- Consultation Paper or Exposure Draft released;
- Bill/Amendment introduced;
- Bill/Amendment passed;
- Upon Royal Assent (if commencing at a future date); and
- Upon Commencement or Proclamation (if commencing at a future date).

FYI alerts also cover general regulatory developments – this includes regulatory announcements, guidance and information material that may be relevant to the organisation's compliance requirements.

FYI alerts allow organisations to start planning for future changes, in advance of requirements taking effect at a future date. Consultation papers allow your organisation to provide input into the future of compliance activity by key regulators.

Action Required Alerts

Each time regulatory compliance requirements have changed or legislative changes have commenced and you must take action in order to properly respond, an action required alert is issued.

If a legislative amendment commences in stages, then each individual stage will result in a separate action required alert, as long as the stage is relevant to the module. It is important to note that not every Action Required alert results in an update to the related obligation/s, as the action you need to take may relate to the way you treat an obligation as an organisation (i.e. updating processes, policies etc.).

To determine whether a response is warranted, and the nature of the response, it is important to review the 'impact field' in each alert.

News Alerts

News alerts are reserved for monthly module summaries as well as yearly penalty unit updates. While updates to obligations occur on a continuous basis, the material changes to a given module will be flagged in the accompanying monthly News alert.

This will detail new / updated / archived obligations and list, where appropriate, the corresponding Action Required alerts. Not every update to an obligation is prompted by an Action Required alert but will nonetheless be reflected in the monthly News alert.

While News alerts offer a summary of material changes to the content, attention should also be paid to FYI and Action Required alerts for a comprehensive view.

Alert Fields

Each FYI, Action Required and News alert contains the following fields:

- **Title:** Details the subject matter being alerted on, and contains a unique alpha-numeric code for subject matter. This alpha-numeric code is retained as further updates to the legislation / regulation are announced.
- **Impact Rating:** an AI-generated impact level (i.e. Minor, Moderate, Significant) and includes a short rationale describing the reason for the rating.

» **Related Obligations List:** Obligations relevant to the content of the alert. Most alerts link to at least one core and related sub obligation/s.
» **Effective Dates:** The date/s the change/s is set to commence (if known) and other relevant dates. May be single date or staggered.
» **Description:** A summary of the content of the compliance source, setting out the details of the change
» **Compliance Source:** Link provided to the primary source/s that inform the change.
» **Impact on Obligation:** A call to action on how to respond to the changes flagged in the alert. The Info tab contains meta data related to the selected alert.
» **Editorial note:** The alpha-numeric code of the same alert sent to other relevant modules, where appropriate.

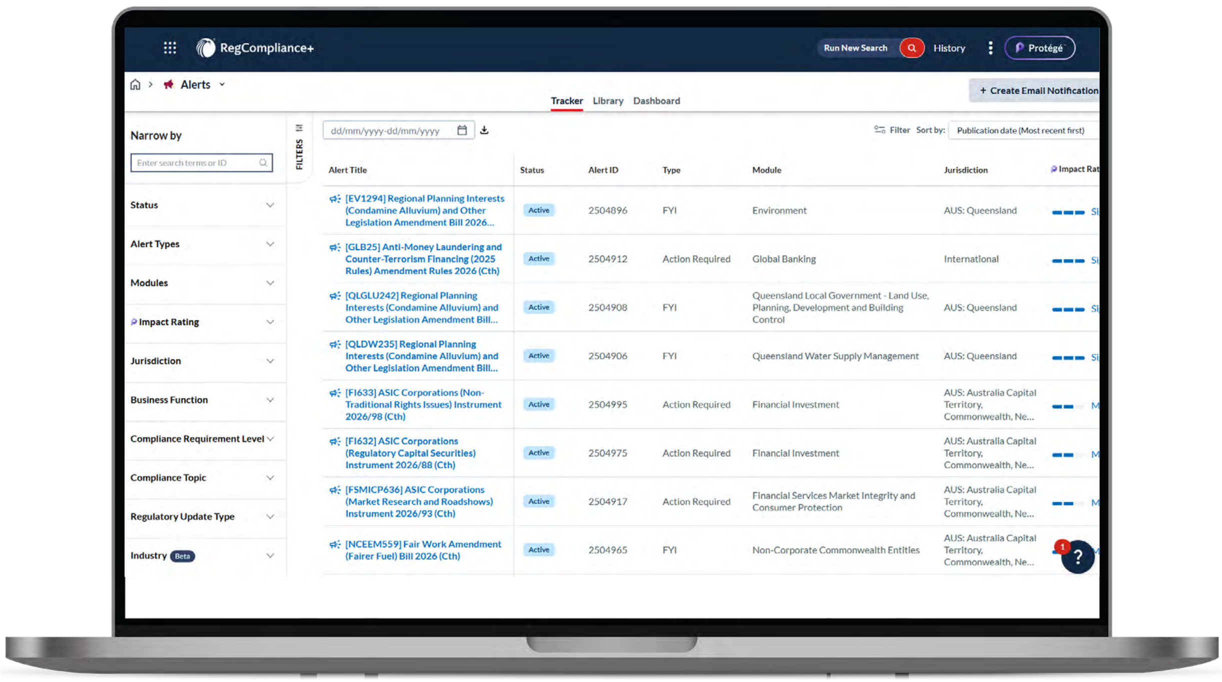
The Info tab contains the following fields:

» **Module:** which module this alert relates to
» **Status:** [Active | Archived]
» **Publication Date:** when this alert was published
» **Alert Type:** FYI, Action Required or News
» **Jurisdiction:** where this alert is applicable
» **Alert ID:** the unique identifying number for this alert

The Info bar also contains compliance management data showing user-added content from the editable fields for the selected alert:

» Owner
» Risk Level

Tracker View



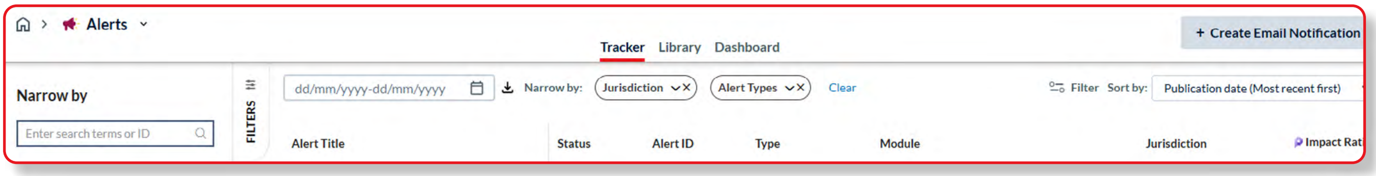
The Tracker is the default view for the alerts in your subscription.

The Tracker view displaying the alert's alphanumeric code and the title of the compliance source, and is linked to the full detail of the alert itself. The Tracker view also shows:

» Status (i.e. active or archived)
» Alert ID
» Alert Type
» Module
» Jurisdiction
» Impact Rating
» Effective Date
» Publication Date
» Editable Compliance Management fields (Owner, Risk Level)

On the left-hand side there is a filter bar, where you can narrow the viewable alerts by:

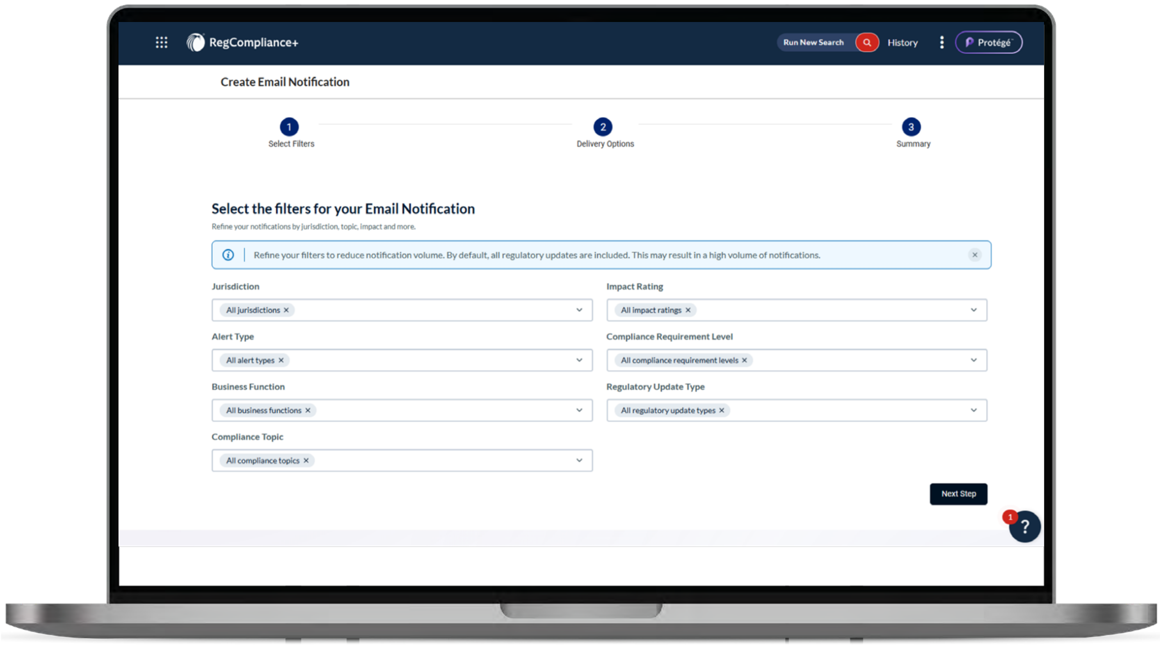
- » Key word/s
- » Alert status (i.e. active or archived)
- » Alert Type
- » Module/s and topic/s
- » Impact Rating.
- » Jurisdiction
- » Business Function
- » Compliance Level Requirement
- » Compliance Topic
- » Regulatory Update Type
- » Industry



Above the alerts there is an action bar, where you can:

- » Click the 'Home' icon to return to the landing page
- » Toggle between Obligations and Alerts
- » Add a date range for the alerts you're looking for, including quick searches for last 30, 14 and 7 days
- » Download your alerts as a .csv file
- » See which filters are active
- » Filter by content in the 'Owner' and 'Risk Level' editable fields
- » Change the sort order

Create Email Notification



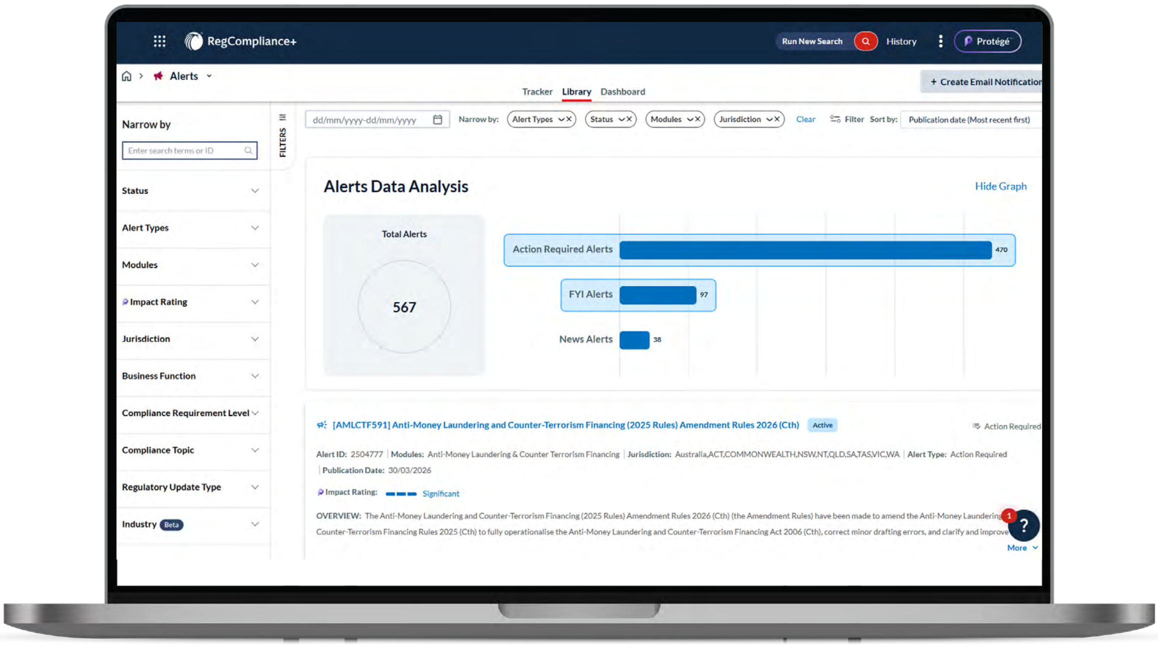
The 'Create Email Notification' function allows users to create customised email alerts for regulatory updates, based on specific filters including:

- » Jurisdiction
- » Compliance topic
- » Business function
- » Impact rating
- » Update type

The email notification can then be further tailored through a variety of delivery options.

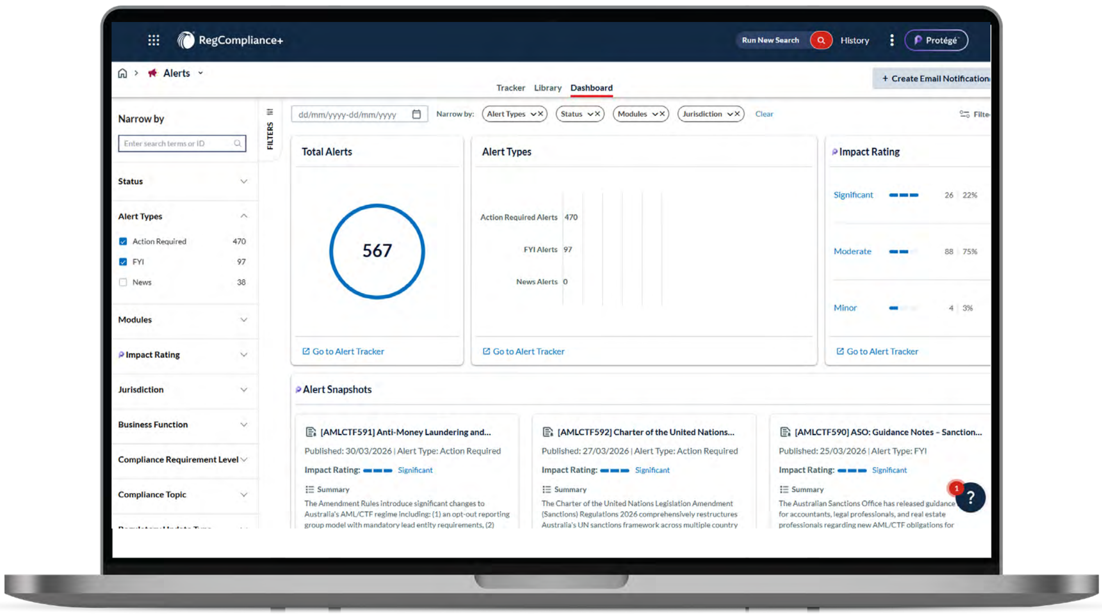
This allows compliance teams to reduce alert noise by tailoring regulatory update notifications to specific jurisdictions, topics, and other criteria, supporting more focused regulatory change monitoring.

Library View



The Library view presents the alerts, sorted by alert type: Action Required, FYI and News, and offers an overview of each alert, including alert ID, source module, jurisdiction, alert type, publication date and impact rating. The 'glasses' icon indicates that the alert has been recently viewed.

Dashboard View

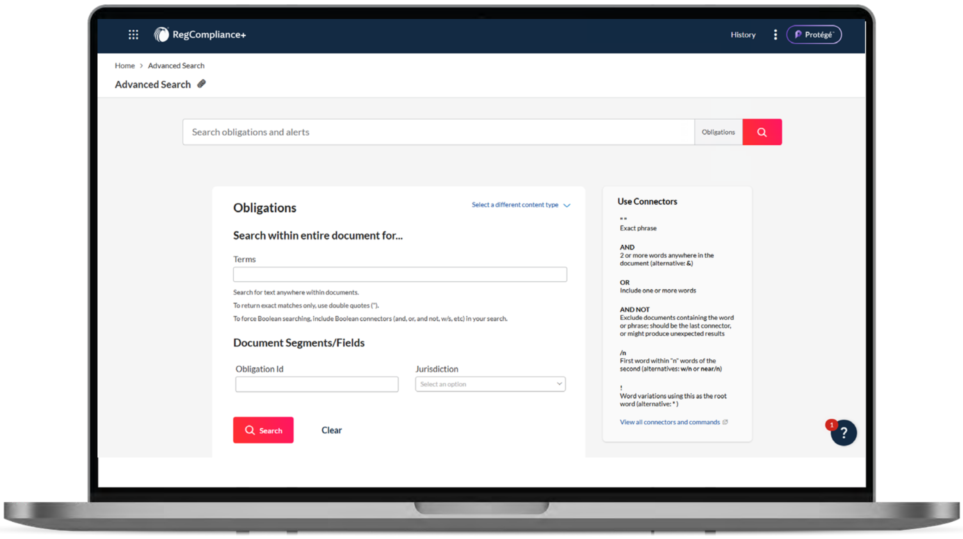


The Dashboard view shows your alerts, sorted by alert type and impact rating, as well as alert snapshots, showing summaries of the alert's effect, its effective date/s and suggested actions.

Searching

The platform's landing page features a search bar which allows you to search your content, with high level filters like jurisdiction and content type (alert / obligation), as well as a link to advanced search capability.

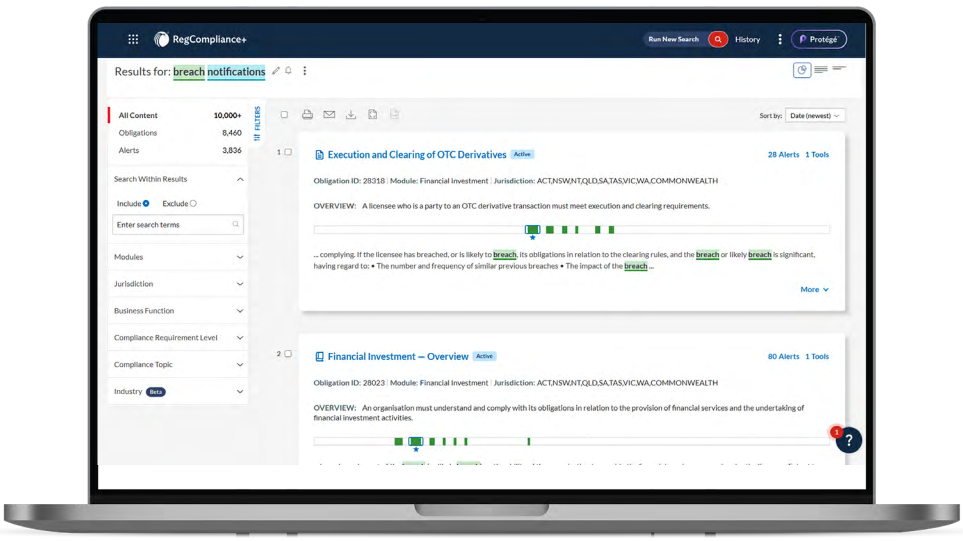
Advanced Search



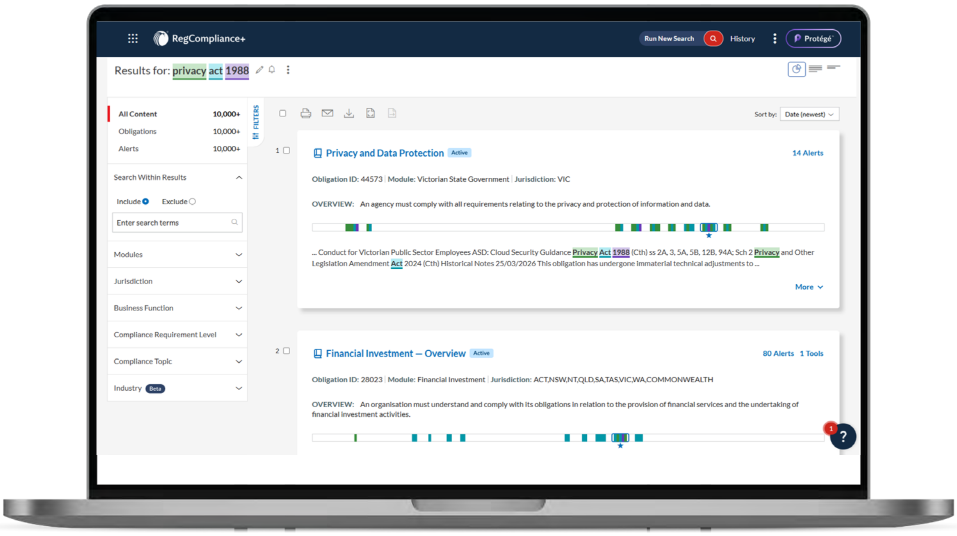
The Advanced Search page allows you to search your obligations, or your alerts using terms and connectors or an obligation / alert by its ID number, with additional filtering by jurisdiction. There are examples of terms and connectors given on the Advanced Search page, but to see all of the available functionality, click on the 'View all connectors and commands' link.

Search Results

Graphical View

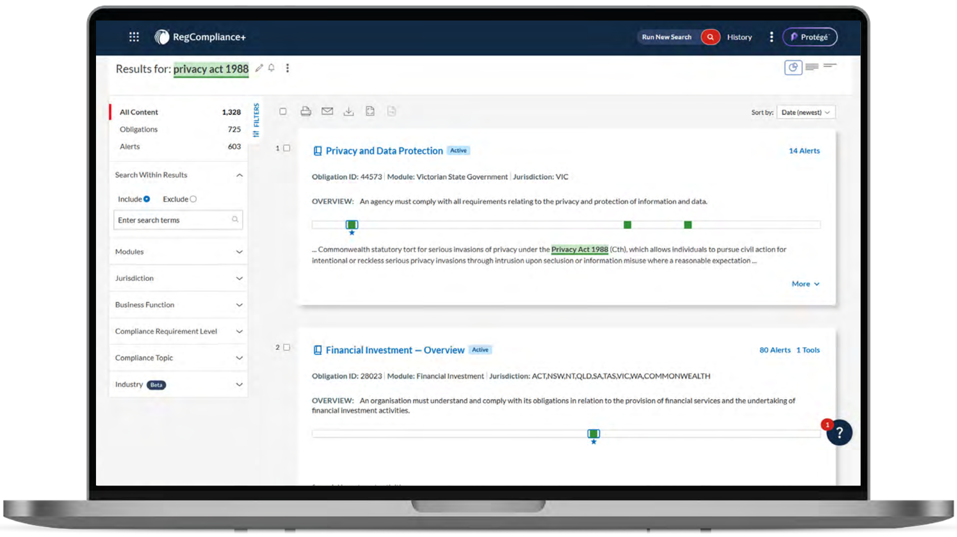


The Graphical View is the default view of your search results. It shows your search term at the top left, next to an edit function (the pen icon) where you can amend your search term.



The Graphical View colour codes each of your search terms within your search results, in the default 'natural language' search, allowing you to see where each particular term in the search results appears. If you switch from 'natural language' to using 'terms and connectors (click on the three-dot menu item next to the bell icon and select 'Run search as terms and connectors') it will aggregate the distinct search terms into one search string.

For example if you search for 'Privacy Act 1988' using natural language, your results will show three search terms, 'privacy', 'act' and '1988', whereas if you use terms and connectors, it will only show instances where the phrase 'privacy act 1988' appears.



You can continue to refine your search using the menu functionality on the left-hand side, by using:

- Key Words
- Modules
- Jurisdiction
- Business Function
- Compliance Level Requirement
- Compliance Topic
- Industry

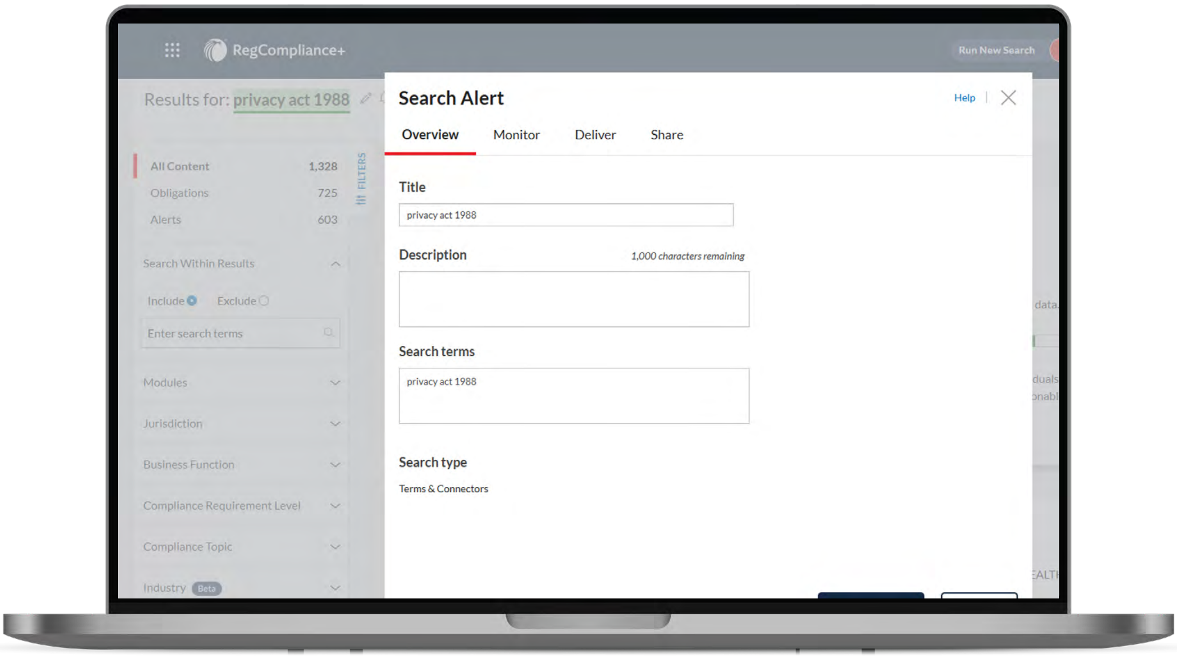
and sort them by Relevance, Date (newest) and Date (oldest).

Once you've achieved what you were looking for, you can download these search results, or print them or email them, using the respective icons above your search results.

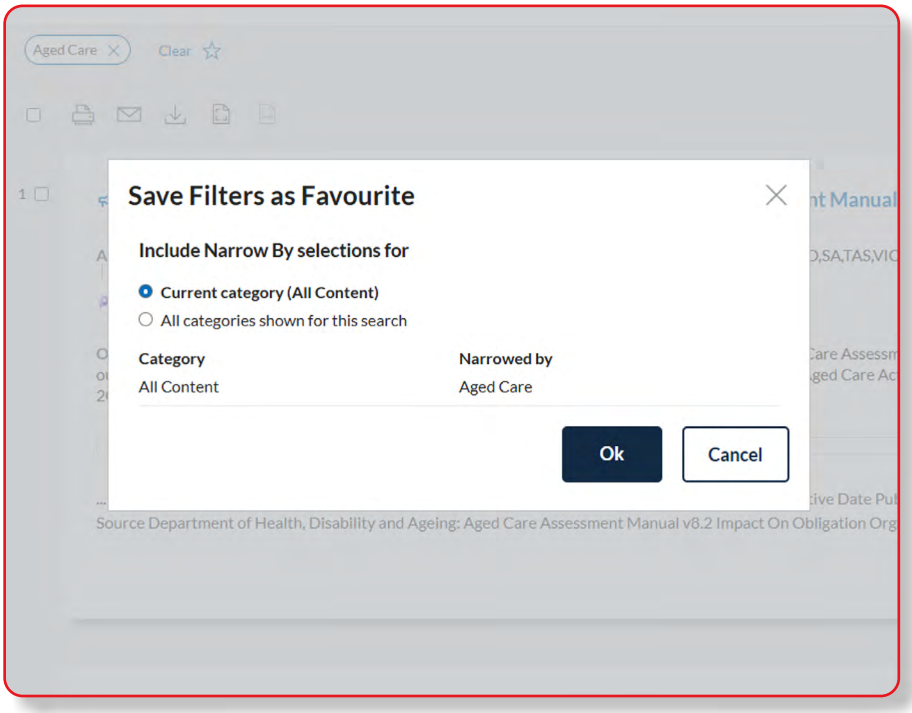
Search alerts

By clicking on the bell icon, you can create a 'search alert' of this search term.

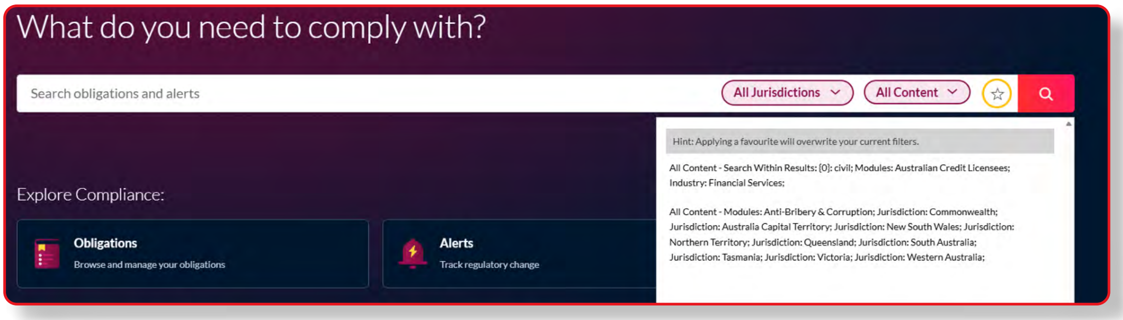
Here you can set up a 'search alert' that will notify you, and other users if required, of any obligations or alerts that include the relevant search term as soon as they are published.



Favourite search results



You will also see a star icon appear next to the filters you have added. By clicking on the star, you can 'favourite' this combination of filters.



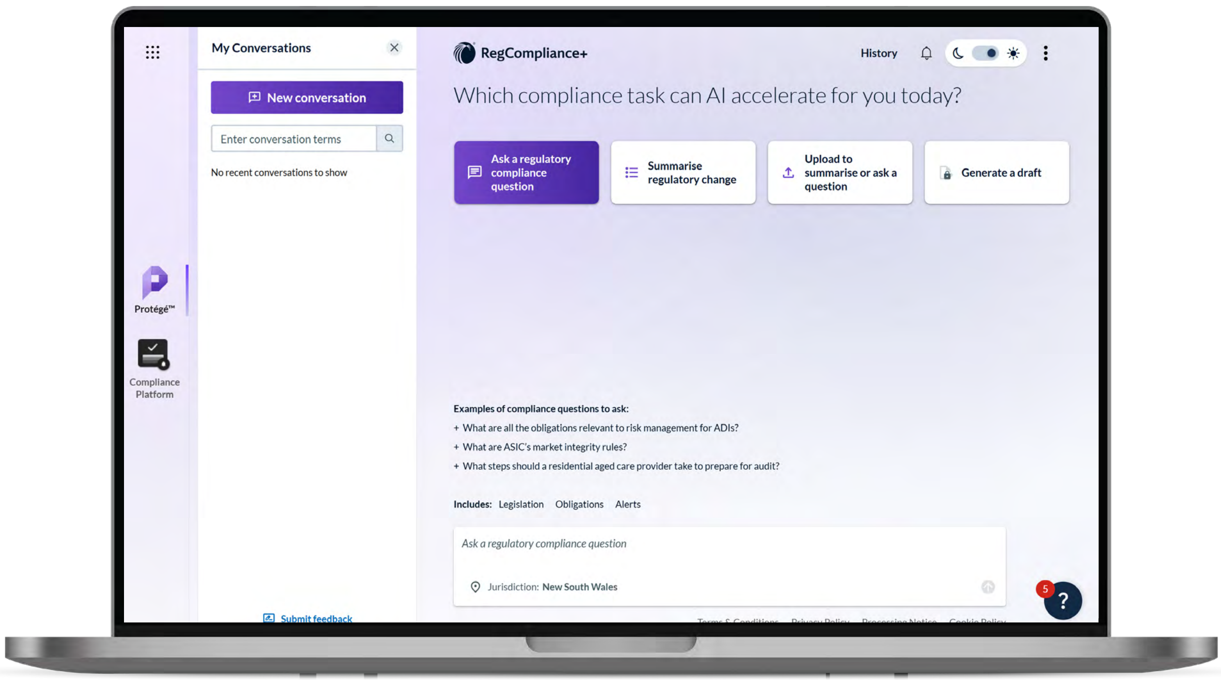
You can also create a link to these results by clicking on the three-dot menu item next to the bell icon and selecting 'link to this page'.

When you conduct a new search, by clicking on the star icon you can select from your favourited search parameters.

Other
At the bottom of the page, you can access additional search results, and the 'items per page' drop down.

Protégé

LexisNexis Protégé™ is our next-generation AI assistant designed for risk and compliance professionals. Protégé is built specifically for regulatory work and is not designed to address other use cases.



My Conversations

Under the My Conversations banner is a searchable list of the history of conversations you have had with Protégé, broken down by recency.

To the right of My Conversations are four buttons which provide the following functionality:

Ask a Regulatory Compliance Question

This task is used to pose a question to Protégé, relying on data in the obligations and the alerts, and filterable by jurisdiction. After the initial response has loaded, you can continue the conversation by asking further questions, but if you want to explore a new topic, make sure you start a new conversation.

This function helps you to ask regulatory compliance questions in plain language and get quick answers surfaced from trusted content. This cuts down manual research time and generates answers faster.

Regulatory Update Summary

Protégé can also summarise large-scale regulatory updates from the alerts in our registers.
The Regulatory Update Summary allows you to get across voluminous regulatory updates and turn them into plain language highlights, within a defined time period, if necessary, along with suggested actions. This saves time reading alerts and ensures you can grasp the key changes quickly.

Document Upload and Summarisation

You can upload your own, or a third party, document or policy, or paste text from such a document. Protégé will generate a summary or answer specific questions related to the uploaded content. This feature makes large or complex documents instantly usable, cutting down time to insights.

Generate Draft

Draft helps you to accelerate compliance workflows by translating regulatory requirements into operational documentation. Draft means you can create high-quality initial drafts of policies, procedures and processes based on regulatory and legislative content, tailored to your needs and jurisdiction.

Exporting Your Data

Once you have your results, export them via print, email, download or create a printer-friendly view.

Help

As noted above, the 'Help' button on the top menu takes you to the LexisNexis Community Portal.

There you will be able to review a variety of resources around the LexisNexis RegCompliance+ platform, including training videos, FAQs, checklists, whitepapers etc. If you have any queries around content or our product delivery, you will also be able to lodge a ticket using the 'submit a request' feature.

To arrange a log-in to the Community Portal please contact your Relationship Manager.

Further Queries

If you have any queries about the LexisNexis RegCompliance+ platform, or about other LexisNexis products and services, please contact your Relationship Manager or email compliance@lexisnexis.com.au.

About LexisNexis Regulatory Compliance

LexisNexis Regulatory Compliance helps you forge a clear path to compliance.

With LexisNexis content know-how at the core, our compliance registers, alerts, and information-driven solutions make compliance uncomplicated for GRC professionals across the globe.

Find relevant obligations faster with jargon-free registers that are aligned to your business processes.

Stay up to date with near-real time alerts delivered straight to you when you may be impacted by regulatory change.

Explore your compliance obligations under a particular regulator, or a particular compliance source, with SourceData.

Engage with the wider compliance community and LexisNexis experts through the Community Portal, our self-support platform.

Access comprehensive, current LexisNexis content that meets your unique needs, with eight core modules relevant to all businesses, and over 90 industry-specific modules.

Authored by leading legal and industry experts, and supported by flexible technology that works the way you do, LexisNexis Regulatory Compliance gives you peace of mind while saving time, and money.

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.

LexisNexis Regulatory Compliance →

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