



Australian Government

DEFCPL007 Implement and manage technical regulatory framework compliance

Release: 1

DEF CPL007 Implement and manage technical regulatory framework compliance

Modification History

Release 1. This is the first release of this unit of competency in the DEF Defence Training Package.

Application

This unit specifies the skills and knowledge required to implement, manage and monitor the range of external and internal technical regulatory framework compliance requirements and obligations that must be fulfilled by an organisation.

It includes clarifying the scope and level of technical regulatory framework activities by identifying, documenting and communicating compliance requirements. It also includes implementing and monitoring implementation of the technical compliance management system.

This unit applies to technical regulatory framework specialists working within the materiel logistics area of Defence but is applicable to all individuals who work in this field.

The skills and knowledge described in this unit must be applied within the legislative, regulatory and policy environment in which they are carried out. Organisational policies and procedures must be consulted and adhered to.

Persons undertaking this unit work independently or as part of a team under direct and/or indirect supervision, use discretion and judgement, and take responsibility for the quality of their outputs.

No licensing, legislative or certification requirements apply to this unit at the time of publication.

Pre-requisite Unit

Not applicable

Competency Field

Compliance

Unit Sector

Not applicable.

Elements and Performance Criteria

ELEMENTS

Elements describe the essential outcomes.

PERFORMANCE CRITERIA

Performance criteria describe the performance needed to demonstrate achievement of the element.

1 Clarify scope and level of technical regulatory framework activities

- 1.1 Identify and review a range of technical regulatory framework operational components and relevant business arrangements of the organisation
- 1.2 Analyse technical regulatory framework operations and relevant business arrangements of the organisation and identify functions, products and services that may be subject to compliance requirements
- 1.3 Develop and document a plan for determining relevant compliance requirements
- 1.4 Obtain plan approval from relevant internal authority

2 Identify compliance requirements

- 2.1 Carry out source search of information on internal and external compliance requirements using appropriate search resources
- 2.2 Search compliant requirements across relevant jurisdictional laws and regulations, and industry and organisational codes and standards and identify related compliance requirements
- 2.3 Gather and progressively review information about relevant compliance requirements in terms of relevance to identified organisational operations, services and products
- 2.4 Discuss and clarify ambiguities, uncertainties and problems experienced with relevant internal or external stakeholders
- 2.5 Identify, analyse and prioritise relevant compliance requirements in terms of critical implications for the organisation, and risks and consequences of possible breaches

3 Document and communicate compliance requirements

- 3.1 Organise and document outcomes of identification and interpretation activities in specified information management systems
- 3.2 Obtain approval for specified information management systems documentation from appropriate internal

		authority
	3.3	Prepare reports of relevant compliance requirements and assessed implications and communicate to relevant personnel performing specific compliance management functions
4	Implement technical compliance management system	
	4.1	Confirm components of planned technical compliance management system, and clarify proposed implementation structures and procedures
	4.2	Clarify budgetary arrangements for implementing planned technical compliance management system
	4.3	Develop implementation plan and schedule for compliance management systems in collaboration with managers and operational requirements
	4.4	Acquire and assign resources for approved technical regulatory framework compliance management system
	4.5	Ensure all relevant stakeholders are informed of their roles and responsibilities within planned technical regulatory framework compliance management system
	4.6	Implement compliance management system in accordance with organisational plan
5	Monitor implementation of technical compliance management system	
	5.1	Determine agreed criteria for operation of technical compliance management system
	5.2	Review feedback and performance indicators on operation of technical compliance management system in terms of agreed criteria
	5.3	Identify problems in operation of technical compliance management system, in particular any breach of compliance requirements, and take appropriate action to address
	5.4	Report identified breaches in compliance through established reporting systems

Foundation Skills

Foundation skills essential to performance are explicit in the performance criteria of this unit of

competency.

Range of Conditions

Range is restricted to essential operating conditions and any other variables essential to the work environment.

Non-essential conditions may be found in the Companion Volume Implementation Guide.

Unit Mapping Information

This unit replaces and is equivalent to DEFCM309A Implement and manage technical regulatory framework compliance.

Links

Companion Volume implementation guides are found in VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=6bdbab1e-11ed-4bc9-9cba-9e1a55d4e4a9>

Assessment Requirements for DEFCPL007 Implement and manage technical regulatory framework compliance

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Performance Evidence

Evidence required to demonstrate competence in this unit must be relevant to and satisfy all of the requirements of the elements and performance criteria on at least one occasion and include:

- analysing data and information
- applying, monitoring and reporting relevant implementation processes
- applying relevant operational policies and procedures
- clarifying scope and level of technical regulatory framework activities
- consulting with and negotiating with relevant groups and individuals
- documenting and communicating compliance requirements
- identifying compliance requirements
- identifying, interpreting and analysing risk assessment requirements relevant to technical regulatory framework
- implementing technical compliance management system
- interpreting organisational role relevant to technical regulatory framework compliance management plans
- monitoring implementation of technical compliance management system.

Knowledge Evidence

Evidence required to demonstrate competence in this unit must be relevant to and satisfy all of the requirements of the elements and performance criteria and include knowledge of:

- breach management policies and processes including:
 - identification
 - classification
 - investigation
 - rectification
 - reporting breaches in compliance requirements
- compliance related management information systems
- continuous improvement processes for compliance including monitoring, evaluation and review
- documentation of compliance requirements
- elements of the technical regulatory framework compliance management systems

- liaison procedures with relevant internal and external personnel on compliance related matters
- processes for internal and external promulgation of information on compliance requirements and compliance program management system
- quantitative and qualitative data analysis techniques relevant to compliance related research
- relevant operational policies and procedures, and compliance standards
- relevant technical regulatory framework compliance management
- reporting processes and procedures on compliance management including:
 - breaches
 - rectification action
- research methods and techniques suitable for compliance related research projects
- sources of data relevant to compliance research
- specification of compliance management functions, accountabilities and responsibilities under a technical regulatory framework
- techniques and performance indicators for monitoring operation of a compliance program/management system.

Assessment Conditions

As a minimum, assessors must satisfy applicable regulatory requirements, which include requirements in the Standards for Registered Training Organisations current at the time of assessment.

As a minimum, assessment must satisfy applicable regulatory requirements, which include requirements in the Standards for Registered Training Organisations current at the time of assessment.

Assessment processes and techniques must be appropriate to the language, literacy and numeracy requirements of the work being performed and the needs of the candidate.

Assessment must occur in workplace operational situations. Where this is not appropriate, assessment must occur in simulated workplace operational situations that reflect workplace conditions.

Resources for assessment must include access to:

- a range of relevant exercises, case studies and/or other simulations
- relevant and appropriate materials, computer, software, legislation, guidelines, procedures and protocols relating to technical regulatory framework currently used in industry
- applicable documentation including workplace procedures, regulations, codes of practice and operation manuals.

Links

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