



Australian Government

DEFCPL008 Plan and establish technical regulatory framework compliant management systems

Release: 1

DEFCPL008 Plan and establish technical regulatory framework compliant management systems

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 plan and establish an appropriate technical regulatory framework compliant management system to enable an organisation to fulfil its obligations and responsibilities under applicable technical compliance requirements.

It includes determining, identifying and selecting applicable compliance requirements. It also includes planning, documenting and implementing required a compliant management system.

This unit is intended to ensure that compliance is an integral part of normal business operations.

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

Typically, these persons 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.

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.

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

PERFORMANCE CRITERIA

Elements describe the essential outcomes.

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

1 Determine applicable compliance requirements

- 1.1** Obtain and interpret information about current compliance requirements applicable to the organisation or project
- 1.2** Review each area of compliance required in terms of relevant internal and external authorities, risks involved, ways of ensuring compliance, penalties for a breach of compliance, and areas and operations of the organisation most affected
- 1.3** Identify and clarify differences in responsibilities between executive and engineering/technical authority and their respective roles in the compliance process
- 1.4** Evaluate and select the most appropriate compliant management system that meets the technical regulatory framework and business needs

2 Identify and select appropriate compliant management system/s

- 2.1** Initiate an investigation to tailor a compliant management system for each area of applicable compliance that is consistent with the relevant technical regulatory framework, suitable for the organisation concerned and for controlling the risks involved
- 2.2** Review and compare tailoring options for a suitable compliant management system and its various components on the basis of established analytical criteria
- 2.3** Select the most appropriate compliant management system for implementation that satisfies the technical regulatory framework and business needs

3 Plan required compliant management system/s

- 3.1** Identify and document components of proposed compliant management system
- 3.2** Identify personnel requirements for operation of the compliant management system and assign or recruit appropriate staff
- 3.3** Identify and document management information system requirements for effective and efficient operation of the

- compliant management system
- 3.4 Select for establishment, the most suitable complaints management system for the organisation and its compliance responsibilities
 - 3.5 Determine the strategy for the development of a compliance management culture in consultation with key stakeholders
 - 3.6 Identify and document suitable processes and procedures to identify and manage breaches in compliance requirements
 - 3.7 Determine review and reporting requirements across different areas of compliance, and develop suitable processes and procedures
 - 3.8 Budget and assign resources required for the development, implementation, review and maintenance of the proposed compliant management system
- 4 Document required compliant management system**
- 4.1 Document specifications for the various components of the proposed compliant management system in accordance with the relevant technical regulatory framework requirements
 - 4.2 Document, approve and disseminate to relevant key stakeholders, a schedule for implementation, review and maintenance of the planned compliant management system
 - 4.3 Seek approval from appropriate authorities prior to establishing the proposed compliant management system
- 5 Implement compliant management system**
- 5.1 Appoint and train managers and operations personnel to undertake their compliance management responsibilities
 - 5.2 Monitor components and operation of the compliant management system in collaboration with assigned staff in accordance with approved plan
 - 5.3 Evaluate compliant management system in collaboration with assigned staff in accordance with approved plan
 - 5.4 Prepare reports about the operation and evaluation of the compliant management system in accordance with compliance requirements and recommend remedial

actions, as required

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 DEFCM312A Plan and establish technical regulatory framework compliant management systems.

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 DEFCPL008 Plan and establish technical regulatory framework compliant management systems

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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 on relevant implementation processes
- applying organisational policies and procedures
- consulting with and negotiating with relevant stakeholders
- determining applicable compliance requirements
- identifying and assessing potential alliances and effective strategies
- identifying and selecting appropriate compliant management system/s
- identifying, interpreting and analysing risk assessment requirements relevant to work performed
- implementing a compliant management system
- interpreting organisational role relevant to configuration management plans
- planning and implementing technical regulatory framework compliant management plans to assist in work and to guide problem solving.

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 the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
- compliance complaints handling systems
- compliance related management information systems
- continuous improvement processes for compliance including monitoring, evaluation and review
- corporate induction and training processes related to compliance management
- documentation of compliance requirements relevant to the specified work role/area
- elements of the technical regulatory framework compliance management systems
- liaison procedures with key stakeholders on compliance and compliance management systems
- performance measurement relevant to technical regulatory framework compliance

management plans

- quantitative and qualitative data analysis techniques relevant to compliance related research
- record-keeping systems required for compliance management
- relevant organisational policies and procedures, and industry standards
- reporting processes and procedures for compliance management including reports on breaches and rectification action
- sources of data relevant to compliance research
- specification of compliance management functions, accountabilities and responsibilities under the technical regulatory framework
- strategies for maintenance of a positive compliance culture within the organisation
- technical integrity i.e. an item's fitness for service, safety and compliance with regulations for the protection of the environment.

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.

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Assessment must occur in workplace operational situations where it is appropriate to do so; where this is not appropriate, assessment must occur in simulated workplace operational situations that replicate workplace conditions.

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.

Resources for assessment must include access to:

- a range of relevant exercises, case studies and/or other simulations
- relevant and appropriate materials, tools, equipment and personal protective equipment currently used in industry
- relevant plans
- workplace documentation
- relevant information about compliance requirements and options for compliant management systems
- relevant stakeholders
- applicable documentation including legislation, workplace protocols, procedures, regulations, guidelines codes of practice and operation manuals.

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