



**Australian Government**

# **DEFCPL008 Plan and establish technical regulatory framework compliant management systems**

**Release: 1**

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## **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>