



Australian Government

DEFCM309A Implement and manage technical regulatory framework compliance

Release 2

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Modification History

Release	TP Version	Comments
2	DEF12V2	Layout adjusted. No changes to content.
1	DEF12V1	Primary release.

Unit Descriptor

This unit covers the competency 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.

Application of the Unit

This unit was developed for technical regulatory framework specialists working within the materiel logistics area of Defence but is applicable to any individual in this field of work. Typically these individuals must demonstrate the ability to 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. All activities are carried out in accordance with relevant organisational policies and procedures.

Licensing/Regulatory Information

Not applicable.

Pre-Requisites

Not applicable.

Employability Skills Information

This unit contains employability skills.

Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a Unit of Competency.

Performance Criteria describe the required performance needed to demonstrate achievement of the element.

Where ***bold italicised*** text is used, further information is detailed in the Required Skills and Knowledge and/or the Range Statement. Assessment of performance is to be consistent with the Evidence Guide.

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1. Clarify the scope and level of technical regulatory framework activities	1.1 Range of technical regulatory framework operational components and relevant business arrangements of the organisation are identified and reviewed. 1.2 Analysis of the technical regulatory framework operations and relevant business arrangements of the organisation is conducted and the functions, products and services that may be subject to compliance requirements are identified. 1.3 Plan for determining relevant compliance requirements is developed and documented. 1.4 Approval for the plan is obtained from the relevant internal authority.
2. Identify compliance requirements	2.1 Search is carried out of sources of information on internal and external compliance requirements using appropriate search resources. 2.2 Search of compliant requirements, scans across all relevant jurisdictional laws and regulations, and industry and organisational codes and standards are undertaken and related compliance requirements are identified. 2.3 Gathered information on relevant compliance requirements is progressively reviewed in terms of its relevance to organisational operations, services and products. 2.4 Ambiguities, uncertainties and problems experienced while interpreting identified compliance information are discussed and clarified with relevant internal or external stakeholders. 2.5 Relevant compliance requirements are identified, analysed and prioritised in terms of critical implications for the organisation, and the risks and consequences of possible breaches.
3. Document and communicate compliance requirements	3.1 Outcomes of the identification and interpretation activities are organised and documented in specified information management systems documentation. 3.2 Specified information management systems documentation is approved by appropriate internal authority. 3.3 Reports of relevant compliance requirements and assessed implications are prepared and communicated to relevant personnel performing

specific compliance management functions.

4. Implement technical compliance management system

- 4.1 Components of the planned technical compliance management system are confirmed and proposed structures, procedures and budgetary arrangements for their implementation are clarified.
- 4.2 Implementation plan and schedule are developed for the compliance management systems in collaboration with managers and operations staff in accordance with the relevant technical regulatory framework.
- 4.3 **Resources** for the technical regulatory framework compliance management system are acquired and assigned in accordance with organisational policies and procedures .
- 4.4 Appropriate briefings and training are arranged to ensure relevant stakeholders including managers and operations staff are aware of their roles and responsibilities within the planned technical regulatory framework compliance management system.
- 4.5 Compliance management system is implemented in accordance with organisational plan.

5. Monitor implementation of the technical compliance management system

- 5.1 Agreed criteria for the operation of the technical compliance management system are determined.
- 5.2 Specified information on the operation of the technical compliance management system is gathered from appropriate sources.
- 5.3 Feedback and performance indicators on the operation of the technical compliance management system are reviewed in terms of agreed criteria.
- 5.4 Problems in the operation of the technical compliance management system, in particular any breach of compliance requirements, are identified and appropriate action is taken to address problems.
- 5.5 Where breaches in compliance requirements occur, specific timely action as detailed in the established compliance program is initiated and all relevant internal and external personnel are informed through the established reporting systems.

Required Skills and Knowledge

This describes the essential skills and knowledge and their level, required for this unit.

Required Skills

- apply safety, legislative and statutory requirements
- apply technical regulatory framework compliance management knowledge relevant to work being performed
- consult with and negotiate with relevant groups and individuals to gain understanding and support for the plan
- interpret organisational role relevant to technical regulatory framework compliance management plans
- manage projects
- relate to people from a range of backgrounds with a range of abilities
- think strategically to identify and assess potential alliances and effective strategies

Required Knowledge

- elements of the technical regulatory framework compliance management systems such as:
- 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
- liaison procedures with relevant internal and external personnel on compliance related matters
- processes for the internal and external promulgation of information on compliance requirements and a compliance program management system
- record-keeping systems required for compliance management
- reporting processes and procedures on compliance management including reports on breaches and rectification action
- specification of compliance management functions, accountabilities and responsibilities under the technical regulatory framework
- strategies for maintenance of a positive compliance culture within the organisation
- techniques and performance indicators for monitoring the operation of a compliance program/management system
- implementation processes
- monitoring processes
- performance measurement relevant to technical regulatory framework compliance management plans

- quantitative and qualitative data analysis techniques relevant to compliance related research
- relevant Australian Standards and international standards
- research methods and techniques suitable for compliance related research projects
- sources of data relevant to compliance research

Evidence Guide

The evidence guide provides advice on assessment and must be read in conjunction with the Performance Criteria, Required Skills and Knowledge, the Range Statement and the Assessment Guidelines for this Training Package.

Critical aspects for assessment and evidence required to demonstrate competency in this unit

Assessment must confirm the ability to:

- apply, monitor and report on relevant implementation processes
- analyse data and information
- apply knowledge of technical regulatory framework compliance management plans to assist in work and to guide problem solving

Consistency in performance

Competency should be demonstrated over time and should be observed in a range of actual or simulated work contexts.

Context of and specific resources for assessment

Context of assessment

Competency should be assessed in the workplace or simulated workplace environment.

Specific resources for assessment

Access is required to:

- computer and relevant software
- relevant legislation, guidelines, procedures and protocols
- plans
- workplace documentation

Range Statement

The Range Statement relates to the Unit of Competency as a whole. It allows for different work environments and situations that may affect performance. ***Bold italicised*** wording in the Performance Criteria is detailed below.

<i>Technical regulatory framework operational components</i> may include:	• Configuration management • Design and design approval • Engineering including engineering change • Integrated logistic support • Logistics • Procurement • Quality • Sustainment
<i>Business arrangements</i> may include:	• Alliances • Contracted services • Design support networks • Technical support networks
<i>Compliance requirements</i> are those:	• Drawn from the established technical regulatory framework and identified as being directly relevant to the particular circumstances under consideration
<i>Internal authorities</i> may include:	• Engineering delegates • Executives • Managers • Technical experts
<i>Sources of information on internal and external compliance requirements</i> may include:	• Organisational policies and procedures, internal policies, standard operating procedures, standards, codes of practice • Published material relevant to compliance held in either internal or external libraries • Relevant legislation from all levels of government that impacts on business operations, especially in regard to work health and safety, and environmental issues • Relevant legislation, regulations and licensing requirements pertinent to the organisation's operations and sphere of business
<i>Search resources</i> may include:	• Computer terminals linked to data sources either via the internet, internal networks, CD-ROMs, DVDs or other multimedia resources • Library resources and materials including compliance related books, journals, manuals, standards, CD-ROMs, DVDs and other multimedia resources

	- Published information on relevant legislation, regulations, licensing requirements, codes of practice, Australian Standards, etc. - Relevant technical regulatory framework dealing with compliance requirements and related compliant program/management systems
Relevant jurisdictional laws and regulations, and industry and organisational codes and standards may include:	- External industry - International - Local - National - State/territory
Information on relevant compliance requirements may include:	- Correspondence, emails and other written information provided by internal and external personnel contacted during search activities - Information downloadable from relevant internet websites - Newsletters, bulletins, information sheets and other similar periodic documentation distributed by relevant regulatory authorities and standards bodies - Published information on legislation, regulations, codes of practice, standards, licensing requirements, standard operating procedures, etc. - Records of conversations and meetings with relevant internal and external personnel - Relevant technical regulatory framework
Relevant internal stakeholders may include:	- Chief executive officer - Compliance management team (where relevant) - Compliance specialists at the operational level - Project sponsors - Senior management team
Relevant external stakeholders may include:	- Legal and business advisors and consultants with expertise in compliance management - Representatives of professional associations and institutes relevant to the organisation's operations and sphere of business - Technical regulatory authorities
Breaches may include:	<i>those detailed in the relevant technical regulatory framework/s such as:</i> - Compliance to the relevant Technical regulatory framework - Defence Force Discipline Act - Penalties such as sanctions, suspensions, loss of formal recognition or accreditation and court

	determinations in relation to criminal or civil cases • Public Service Act • Relevant civil legislation and regulations • Relevant commercial legislation and regulations
<i>Specified information management systems documentation</i> may include:	• Plans • Project plans • Standard operating procedures • Standing instructions • Work flow charts • Work instructions • Work procedures
<i>Resources</i> may include:	• Access to appropriate technical expertise • Financial • Information technology capabilities and systems • Infrastructure • Personnel • Time • Transport

Unit Sector(s)

Not applicable.