



Australian Government

DEFCP001A Evaluate and review safety cases

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 ensure compliance requirements through the evaluation and review of safety cases. It includes the development of evaluation plans, analysis of the safety case, communication with stakeholders and recommendation on certification.

Application of the Unit

This unit was developed for Defence workers involved in the evaluation and review of safety cases but is applicable to all individuals who work in this field. Typically these individuals must work independently or as part of a team under direct and indirect supervision, use discretion and judgement, and take responsibility for the quality of their output. 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. Develop the evaluation plan	1.1 <i>Evaluation criteria</i> is determined in accordance with organisational policy and procedures and safety case. 1.2 Suitable evaluation methodology is developed to ensure sufficiently valid and reliable outcomes for the review of the safety case. 1.3 Research related to the evaluation and review is conducted and advice is sought from relevant personnel to clarify any unclear findings. 1.4 Liaison and discussions are conducted with stakeholders in accordance with organisational policy and procedures.
2. Analyse the safety case	2.1 Safety case data is analysed in accordance with planned methodology. 2.2 Possible shortcomings in safety case are identified in accordance with organisational policy and procedures, and planned methodology. 2.3 Initial outcomes and findings of the analysis are reviewed and discussed with relevant stakeholders in accordance with organisational policy and procedures, and planned methodology. 2.4 Additional data collection and analysis required to clarify aspects of initial findings is undertaken if necessary.
3. Determine evaluation and review findings and outcomes	3.1 Draft recommendations based on safety case analysis are developed in accordance with organisational policy and procedures, and planned methodology. 3.2 Draft report of the outcomes, findings and recommendations of the compliance evaluation is prepared in accordance with organisational policy and procedures, and planned methodology. 3.3 Draft report is discussed with supervisors and stakeholders and feedback is sought in accordance with organisational policy and procedures, and planned methodology. 3.4 Report is edited and updated based on the feedback obtained.
4. Document and disseminate evaluation outcomes and	4.1 Report is produced and disseminated to nominated internal and external personnel in accordance with organisational policy and procedures.

recommendations

- 4.2 Recommendations on certification are forwarded to delegate for action in accordance with organisational policy and procedures.
- 4.3 Documentation is maintained in accordance with organisational policy and procedures.

Required Skills and Knowledge

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

Required Skills

- access/prepare information electronically or in hard copy
- analyse and organise data using appropriate techniques
- apply risk management techniques
- communicate with stakeholders using a range of communication styles to suit different audiences and purposes
- conduct literature searches and internet searches
- conduct quantitative data analysis using appropriate techniques
- conduct various types of evaluation surveys
- contribute to a positive culture of safety compliance
- detail requirements, write recommendations and monitor plans requiring precision of expression
- develop project plans
- evaluate and review safety cases
- manage projects, resources and timelines
- relate to stakeholders, in particular those representing relevant regulatory authorities, organisations and contractors
- undertake research
- use management techniques related to evaluation and review of safety cases that may be reasonably complex in terms of scope; degree of risk; environmental, political, cultural and social factors that apply; consequences of failure; degree of control
- use management tools suited to the evaluation and review of safety cases

Required Knowledge

- legislation, organisational policies and procedures that may impact on the safety case and evaluation and review process
- management tools suited to the conduct of evaluation and review processes
- work health and safety (WHS) legislation relevant to materiel, materiel systems and to the work being performed
- procedures for maintaining and filing records, security of data
- procedures for verifying data and identifying mistakes

- regulatory systems relevant to safety cases and safety systems
- regulatory systems relevant to the work performed
- risk assessment and management process relevant to materiel, materiel systems and to the work being performed
- safety case certification process
- safety case development process

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:

- store, retrieve and manipulate data
- determine and apply evaluation methodology
- analyse safety case data to determine adequacy
- maintain security and confidentiality of data in accordance with workplace and regulatory requirements
- prepare detailed and complex reports and recommendations

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 in a simulated workplace environment.

Specific resources for assessment

Access is required to:

- computer and relevant software information system
- safety case data and records
- relevant workplace procedures

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>Evaluation criteria</i> may include:	• Feedback • WHS legislation • Operational analysis • Physical evidence • Qualitative statements • Quantitative statements • Regulatory framework • Statistical results • Technical framework • User requirements
<i>Organisational policy and procedures</i> may include:	• Australian Standards • International standards • Organisational instructions and standards • Standard Operating Procedures
<i>Safety case</i> is:	• Term used to describe a sophisticated, comprehensive and integrated risk management system, which demonstrates how safety (and other forms of risk) has been considered with regard to any system or equipment throughout the life of the capability from definition through to disposal • As a report, a formal documented snapshot in time, demonstrating that due diligence has been given to the hazards associated with the introduction into service of new capability, documenting the system that facilitates the management of hazards
<i>Evaluation methodology</i> may include:	• Analysis of feedback from clients, suppliers, internal managers and personnel • Assessment of information contained in the organisation's management information system • Collection of operational data • Desk analysis • Drafting and editing of the evaluation and review report • Interviews, focus groups, questionnaires • Literature searches including internet searches • Review of reports from relevant compliance authorities and organisations • Surveys of relevant internal and external personnel

Stakeholders may include:	• Defence • Defence contractors and sub-contractors • Defence Materiel Organisation • Defence Science and Technology Organisation • International agencies
Shortcomings may include:	• Inadequate risk management controls • Lack of consideration of WHS requirements, technical requirements and risk assessment outcomes

Unit Sector(s)

Not applicable.