



Australian Government

TLIX4033 Apply technical regulatory framework compliance management systems

Release: 1

TLIX4033 Apply technical regulatory framework compliance management systems

Modification History

Release 1. This is the first release of this unit of competency in the TLI Transport and Logistics Training Package.

Application

This unit involves the skills and knowledge required to apply and validate technical regulatory framework compliance management systems, processes and procedures established by an organisation to fulfil its obligations and responsibilities under applicable compliance requirements.

This unit was developed for technical regulatory framework specialists working within materiel logistics but is applicable to individuals in broader logistics roles.

Typically these individuals 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 policy and procedures.

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

Pre-requisite Unit

Not applicable.

Competency Field

X – Logistics

Unit Sector

Not applicable.

Elements and Performance Criteria

Elements describe the essential outcomes.

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

1 Prepare for compliance roles and responsibilities

- 1.1 Structure of the organisation is examined to identify roles, authorities, accountabilities and responsibilities of various managers and operational staff, in maintaining compliance within the technical regulatory framework
- 1.2 Technical regulatory framework compliance requirements applicable to work area/operational unit are identified, confirmed and interpreted
- 1.3 Own or team specific responsibilities are identified and clarified
- 1.4 Feedback and performance indicators on the operation of the technical compliance management processes and procedures are reviewed and agreed with manager/team leader
- 1.5 Appropriate briefings and training are participated in to ensure jobholder is aware of roles and responsibilities within planned technical regulatory framework compliance management system

2 Apply technical compliance management system

- 2.1 Technical regulatory framework components of technical compliance management system are confirmed, and authorised procedures for their implementation are clarified
- 2.2 Resources for applying technical regulatory framework compliance management system are accessed and utilised in accordance with organisational policy and procedures
- 2.3 Implementation plan and schedule are accessed and applied in collaboration with managers and operations staff, in accordance with relevant technical regulatory framework
- 2.4 Essential technical regulatory framework preconditions for any duty, function or activity are confirmed before proceeding with designated or assigned work

3 Validate individual application of technical compliance management processes

- 3.1 Specified information on own role and responsibilities within technical compliance management system is gathered from appropriate sources
- 3.2 Feedback and performance indicator satisfaction data is prepared, reviewed and processed in accordance with agreed workplace practices

- 3.3 Problems in applying technical compliance management system and in particular, breach of compliance requirements, are identified and appropriate action is initiated to address problems concerned
- 3.4 Reports on identified breaches of compliance requirements and related action taken are prepared and processed to responsible authority/stakeholder
- 3.5 Records of technical regulatory framework activities are maintained in accordance with approved systems requirements

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 can be found in the Companion Volume Implementation Guide.

Unit Mapping Information

This unit replaces and is equivalent to TLIX4033A Apply technical regulatory framework compliance management systems.

Links

Companion Volume implementation guides are found in VETNet -

<https://vetnet.gov.au/Pages/TrainingDocs.aspx?q=df441c6e-213d-43e3-874c-0b3f7036d851>

Assessment Requirements for TLIX4033 Apply technical regulatory framework compliance 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:

- adhering to and applying relevant data collection, storage and retrieval requirements
- applying technical regulatory framework compliance management system knowledge to work being performed and to guide problem solving
- applying technical regulatory framework knowledge relevant to work being performed
- identifying relationships between organisational goals and recognising how own work contributes to achieving these goals
- operating equipment and systems relevant to technical regulatory framework activities
- using appropriate information technology and software.

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:

- configuration management
- elements of technical regulatory framework compliance management systems including:
 - 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
 - compliance reporting procedures
 - continuous improvement processes for compliance including validation and review
 - corporate compliance induction and training processes
 - documentation of compliance requirements relevant to the specified work role/area
 - liaison procedures with relevant internal personnel on compliance related matters
 - processes for internal promulgation of information on compliance requirements
 - reporting processes on compliance including reports on breaches and rectification

action

- specification of local work area compliance management functions, authorities, accountabilities and responsibilities under a technical regulatory framework
- techniques and performance indicators for validating individual application of a compliance system
- own role in relation to wider organisational or project context
- quantitative and qualitative data analysis techniques relevant to compliance applications
- relevant Australian Standards and international standards
- sources of data relevant to compliance, including environmental and sustainability issues
- technical regulatory framework compliance requirements that are based on:
- codes of practice
 - environmental, sustainability policies and legislation
 - internal policies
 - organisational policy and procedures
 - standard operating procedures
 - standards
- techniques suitable for applying compliance related systems and activities.

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 include:

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

framework compliance management system

- technical regulatory framework compliance management systems plans.

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