



Australian Government

Department of Education, Employment and Workplace Relations

TLIX4033A Apply technical regulatory framework compliance management systems

Release: 1

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Modification History

Not Applicable

Unit Descriptor

Unit Descriptor

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. There are no specific licensing or certification requirements applicable to this unit.

Application of the Unit

Application of the Unit

This unit was developed for technical regulatory framework specialists working within materiel logistics 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 policy and procedures.

Licensing/Regulatory Information

Refer to Unit Descriptor

Pre-Requisites

Not Applicable

Employability Skills Information

Employability Skills 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. Assessment of performance is to be consistent with the evidence guide.

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
1 Prepare for compliance roles and responsibilities	1.1 Structure of the organisation is examined to identify the roles, authorities, accountabilities and responsibilities of the various managers and operational staff in maintaining compliance within the technical regulatory framework 1.2 Technical regulatory framework compliance requirements applicable to the work area/operational unit are identified, confirmed and interpreted 1.3 Specific responsibilities of the individual or team 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 the manager/team leader 1.5 Appropriate briefings and training are undertaken to ensure jobholder is aware of roles and responsibilities within the 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 the application of 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 and 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 individual's 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 the application of technical compliance management system and in particular any breach of compliance requirements are identified and appropriate action is initiated to address the problems concerned 3.4 Reports on any identified breaches of compliance requirements and related action taken are prepared and processed to the responsible authority/stakeholder 3.5 Records of technical regulatory framework activities are maintained in accordance with approved systems requirements

Required Skills and Knowledge

REQUIRED KNOWLEDGE AND SKILLS

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

Required knowledge:

- Configuration management
- Elements of the 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 induction and training processes related to compliance
 - documentation of compliance requirements relevant to the specified work role/area
 - liaison procedures with relevant internal personnel on compliance related matters
 - processes for the 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 the technical regulatory framework
 - techniques and performance indicators for validating the individual application of a compliance system
- Quantitative and qualitative data analysis techniques relevant to compliance applications
- Relevant Australian Standards and international standards
- Sources of data relevant to compliance, including environmental, sustainability issues
- Techniques suitable for applying compliance related systems and activities

Required skills:

- Apply technical regulatory framework knowledge relevant to work being performed
- Identify the relationship between organisational goals and recognise how own work contributes to the achievement of those goals
- Operate equipment and systems relevant to technical regulatory framework activities
- Use appropriate information technology and software

Evidence Guide

EVIDENCE GUIDE

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required knowledge and skills, 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:
 - adhere to and apply relevant data collection, storage and retrieval requirements
 - apply knowledge of a technical regulatory framework compliance management system to assist in work and to guide problem solving
 - demonstrate understanding of personal role in relation to wider organisational or project context
- 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

- Competency should be assessed in the workplace or in a simulated workplace environment
- Access is required to:
 - computer and relevant software
 - legislation, guidelines, procedures and protocols relating to technical regulatory framework compliance management system
 - plans
 - workplace documentation

Method of assessment

- Assessment of this unit must be undertaken by a registered training organisation
- Where possible, assessment should be supported by questions to assess required knowledge. Questioning techniques should suit the language and literacy levels of the candidate
- Assessment methods should reflect workplace demands such as literacy and the needs of particular groups
- Assessment methods suitable for valid and reliable assessment of this unit of competency may include a combination of methods such as:
 - authenticated evidence from the workplace and/or training programs
 - case studies
 - demonstration

EVIDENCE GUIDE

- feedback from supervisors and peers regarding the candidate's ability
- observation
- portfolios
- projects
- questioning
- reviews or reports prepared by the candidate
- scenarios
- simulation or role plays

Range Statement

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.

Technical regulatory framework compliance requirements:

- may include those authorised by the relevant technical regulatory framework and contained in implementation directions from internal authorities
- will be based on:
 - codes of practice
 - environmental, sustainability policies and legislation
 - internal policies
 - organisational policy and procedures
 - standard operating procedures
 - standards

Technical regulatory framework components may include:

- configuration management
- design and design approval
- engineering including engineering change
- integrated logistics support
- logistics
- materiel sustainment
- procurement
- quality

Resources may include:

- access to appropriate technical expertise
- communication systems
- facilities
- financial

RANGE STATEMENT

Specified information may include:	• human resources • information technology capabilities and systems • infrastructure • time • transport • plans • project plans • standing instructions • standard operating procedures • work flow charts • work instructions • work procedures
Breaches may include:	• penalties, which may include sanctions, suspension, loss of formal recognition or accreditation, and court determination in relation to criminal or civil cases • Public Service Act • relevant civil legislation and regulations • relevant commercial legislation and regulations
Responsible authority/stakeholder may include:	• compliance management team (where relevant) • compliance specialists at the operational level • legal and business advisors and consultants with expertise in compliance management • project sponsors • representatives of professional associations and institutes relevant to the organisation's operations and sphere of business • senior management team • technical regulatory authorities

Unit Sector(s)

Not Applicable

Competency Field

Competency Field X - Logistics