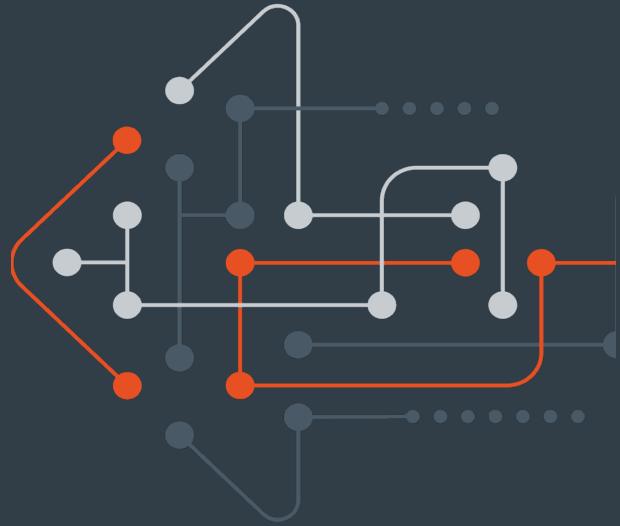




# Defence Export Controls Knowledge and Skills Framework



*Version 1.1 as at 14 October 2025*

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## Legal Disclaimer

The information contained in this document is designed to inform and support professional development and workforce planning activities. This document aims to provide a structured approach to enhancing the skills and knowledge necessary for effective compliance with Australian export control legislation. However, it is important to note that the content herein does not constitute legal advice and should not be interpreted as such. For specific legal guidance, please consult with a qualified legal professional.

## Need to contact DEC?



[defence.gov.au/business-industry/export/controls](http://defence.gov.au/business-industry/export/controls)



1800 DEFENCE (1800 333 362)

## Updates and Reviews

This document is a dynamic resource that will be updated and reviewed regularly to ensure its ongoing relevance and effectiveness. Contributions, feedback and suggestions to improve or contextualise the content are strongly encouraged and can be submitted through the DEC Network. These collaborative efforts aim to refine the Framework further, making it more robust and adaptable to the evolving needs of users and sectors alike.

# The Defence Export Controls Knowledge and Skills Framework

The Defence Export Controls (DEC) Knowledge and Skills Framework (the Framework) is designed to provide a comprehensive and systematic approach to developing and enhancing the skills and knowledge necessary for effective compliance with Australian export controls legislation.

This Framework outlines various levels of capability across multiple areas such as audits, permit conditions and international commitments, set to range from **Foundation** to **Expert**. While use of the Framework is optional, it remains an important and valuable resource – serving as a practical guide to support professional development, workforce planning and consistent building of export controls expertise. By advancing through these capability levels, individuals and organisations can meet both legal and regulatory requirements, mitigate the risks associated with non-compliance and support Australia's national and international commitments. The Framework facilitates mobility, underpins consistent practice and acknowledges the diverse needs of different sectors, including higher education, government, industry and the research sector.

## Why has the DEC Knowledge and Skills Framework been created?

The Government's response to Recommendation 4 of the *Independent Review of the Defence Trade Controls Act 2012* (the Review) endorsed improving expertise in export control compliance to assist stakeholders with the complexities of the *Defence Trade Controls Act 2012* (the DTC Act 2012). This commitment involved exploring various methods to achieve this goal and the *Addressing Recommendation 4* strategy (Defence, 2025)<sup>1</sup> considered multiple options, including developing a capability framework. The DEC Knowledge and Skills Framework is fundamental to professional development and workforce planning activities across the DEC Network, ensuring a consistent approach to building export control expertise.

## Using the Framework

The Framework can be used to identify the required level of capability for your role, understand the necessary skills to develop and assess your current position in your learning journey. Note that your role may not require the same level of capability across all areas. The use of this Framework is optional, intended to guide professional development and workforce planning discussions and contribute to building export controls expertise across all sectors.

Begin by reviewing your role description thoroughly, considering both the explicitly stated requirements and those implied through broader responsibilities or expectations. Identify key tasks, necessary skills and behavioural attributes associated with your position. Once you have mapped out your role's dimensions, align these aspects with the capabilities outlined in the Framework. Each capability level — **Foundation**, **Intermediate**, **Advanced** and **Expert** — and the ten (10) capability areas within the Framework can serve as benchmarks to assess how your current abilities and knowledge correlate with the required standards.

Employers can also use this framework for a range of professional development and workforce planning activities, including:

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<sup>1</sup> This document outlines the Australian Government's strategy to build export control compliance expertise in response to Recommendation 4 of the 2023 Independent Review of the *Defence Trade Controls Act 2012*. It reviews current initiatives and proposes four options for developing expertise across the export control network. Following consultation, the strategy has pivot to uplift broader compliance capability rather than accreditation.

- Creating role descriptions and ensure duty statements align with their organisation's requirements;
- Creating job advertisements, examining resumes and the credentials of applicants to determine if their level of experience is relevant to the job requirements;
- Developing internal compliance strategies to grow your export controls capability;
- Identifying expertise to form panels and committees to guide internal export controls related decisions;
- Designing targeted training programs to address specific gaps in knowledge and skills within the workforce;
- Establishing mentorship opportunities where experienced professionals guide peers new to export controls through the complexities of the regulatory environment.

## What is a Capability?

In the context of people and performance, capability refers to an individual's ability to effectively perform tasks and achieve goals within their role. It encompasses a combination of skills, knowledge and behaviours that enable a person to successfully execute their responsibilities.

An employee's capability might include technical expertise, problem-solving skills and effective communication. Developing these capabilities is crucial for professional growth and organisational success; it ensures individuals can meet the demands of their job and contribute to the overall performance of the team or company.

## Capability Levels

The four capability levels of the framework are **Foundation**, **Intermediate**, **Advanced** and **Expert**. These levels describe the complexity of knowledge and skill required to perform tasks or exhibit behaviours within the ten capability areas. However, it is also possible for job roles to span multiple capability levels—such as being partially at a **Foundation** level while also requiring **Intermediate** capabilities in certain areas.

For most capability levels, (see Figure 1) individuals are encouraged to self-assess their proficiency by regularly reviewing the Framework in alignment with their recent applied experiences. This reflective practice allows individuals to accurately gauge their skills and identify areas for growth or reinforcement. Those declaring **Expert** level should undertake a thorough review of the Framework to ensure their assessment considers recent and relevant experience in their field.

*Figure 1 - Capability levels*

DEC offers an eLearning program titled "[\*\*Navigating Australia's Defence Export Controls Framework\*\*](#)," specifically designed to support the development of **Foundation**-level capability. Practitioners at this level are strongly encouraged to complete the program to build a solid understanding of the framework and enhance their proficiency.

## Capability Areas

The Framework encompasses ten (10) distinct capability areas. Each of these areas is structured across four capability levels—**Foundation**, **Intermediate**, **Advanced** and **Expert**—allowing for a progressive development of skills and knowledge. The Framework is designed to be applicable to higher education, the research sector, industry and government.

It is important to recognise that not all capabilities outlined within the Framework will apply uniformly or at the same level across all entities, as varying roles and sectors demand different levels of expertise and engagement. Practitioners whose roles span multiple sectors are encouraged to carefully assess where the technology, software, or goods have originated and identify the primary sector in which most individuals with access reside, ensuring a nuanced understanding of sector-specific requirements.

### International Commitments



Understanding "International Commitments" is a vital capability within Australian Export Controls. At a **Foundation**-level, this involves awareness of the role of sanctions and multilateral regimes like the Wassenaar Arrangement and the Nuclear Suppliers Group (NSG) in safeguarding non-proliferation (Department of Defence, 2024). As practitioners advance, they develop greater awareness of these international frameworks, providing strategic advice and shaping internal policies to align with global non-proliferation standards.

## Australian Legislative Frameworks



Understanding and navigating Australia's Export Controls legislative framework is a crucial capability within the context of Australian Export Controls.

The Export Controls legislative framework includes several key pieces of legislation:

- [Defence Trade Controls Act 2012 \(DTC Act\)](#), which regulates the supply, publication and brokering of controlled goods and technology
- [Customs Act 1901](#) and the [Customs \(Prohibited Exports\) Regulations 1958](#), which control the physical export of military and dual-use goods
- [Weapons of Mass Destruction \(Prevention of Proliferation\) Act 1995 \(WMD Act\)](#), which prevents the proliferation of WMD-related goods and technology
- [Defence Trade Controls Regulations 2013](#), which provide detailed guidelines for implementing the DTC Act.

The **Foundation** level requires the ability to distinguish between these Acts and understand their roles within the Export Controls legislative framework. **Advanced** practitioners, on the other hand, will have the expertise to provide advice and educate others on the application of these laws, ensuring compliance and shaping internal policies to meet regulatory standards.

## Defence and Strategic Goods List (DSGL)



The ability to understand and use the DSGL is a critical capability within Australian Export Controls, detailing the goods, software and technology regulated under export control legislation. The DSGL specifies all the items that require permits for export, supply, brokering or publication. At the **Foundation** and **Intermediate** levels, practitioners must understand how to search the DSGL to identify controlled items accurately. At an **Advanced** level, individuals develop the expertise to provide informed advice on whether specific goods or technology falls under DSGL controls, ensuring compliance and supporting strategic decision-making within their organisations.

## Permits and Conditions



The ability to apply for permits and comply with permit conditions is the core capability of the Framework. At a **Foundation** level, it involves understanding the various types of permits required for activities such as the export of controlled goods, the delivery of services, or the supply of technology and the specific conditions attached to each permit. As learners advance, their confidence applying for permits and then interpreting and applying permit conditions will increase. At an **Advanced** level, individuals develop the knowledge and experience to provide sector-specific advice within their organisation, guiding compliance efforts and shaping internal policies to meet regulatory standards. This progression ensures that organisations can effectively manage their export control responsibilities and mitigate risks associated with non-compliance.

## Record Keeping



Record keeping is a vital capability for ensuring effective compliance with the Australian Export Controls legislative framework. Part 6 of the *Defence Trade Controls Regulations 2013* outlines record keeping practices, which mandates the retention of records for a minimum of five years (Department of Defence, 2024).

This capability is essential for maintaining accountability, traceability and adherence to export control laws. **Foundation** level requires an understanding of the importance of maintaining accurate and comprehensive records to meet legal and regulatory requirements. **Intermediate**-level practitioners gain the confidence to manage DEC record keeping for their organisation or entity, ensuring all documentation is properly maintained and accessible. Those at the **Advanced** level will possess the experience to advise on and review record keeping practices, providing guidance to improve processes and ensure ongoing compliance within their organisation or similar entities in the sector.

## Reporting, Notifications and Disclosures



Accurate and timely reporting is essential for compliance and continuous improvement under the Australian Export Controls legislative framework. The **Foundation** level requires awareness of the need for various types of reporting, including Voluntary Disclosure reporting, pre-notification reporting and reporting in accordance with permit conditions. **Intermediate**-level practitioners will have the knowledge and experience to confidently identify and fulfil these reporting requirements using the MADE portal on behalf of their organisation or entity. **Advanced**-level practitioners can provide strategic advice and training to improve reporting practices, ensuring ongoing compliance and enhancing organisational performance.

## Internal and External Audits



As a capability and area of learning, Internal and External Audits are crucial in the context of DEC. At the **Foundation** level, it involves understanding the purpose of audits, which is to ensure compliance with export control laws and regulations, such as those governing the movement of defence related goods and technology. As learners progress, they develop skills to assess and evaluate internal processes, ensuring that these controls are effectively implemented. More **Advanced** learning involves influencing and shaping internal policies to enhance performance and compliance, thereby mitigating risks associated with non-compliance. This progression from basic understanding to policy influence is essential for maintaining robust export control frameworks and supporting Australia's international commitments.

## Preventing Unauthorised Access



The Preventing Unauthorised Access capability of the Framework underpins a positive, holistic security culture within an organisation. Being aware of the security requirements associated with DSGL technology, software and goods is crucial for several reasons. It ensures compliance with national and international regulations, which is essential to avoid legal penalties and maintain the entity's reputation. Secondly, it helps protect sensitive information and technology from unauthorised access, which could potentially be exploited for malicious purposes. Understanding these requirements fosters a culture of security awareness within the organisation, promoting best practices and reducing the risk of security breaches.

The **Foundation** level involves understanding the methods for preventing unauthorised access to controlled technology, software and goods and adhering to organisational procedures. **Intermediate**-level practitioners will actively monitor and review practices, ensuring compliance and identifying areas for improvement. **Advanced**-level practitioners will review, advise and educate others within the organisation, continually enhancing the security framework and fostering a robust security culture.

## Illicit Activity and Risk Detection



The Illicit Activity and Risk Detection capability involves the ability to identify, monitor and screen for the behavioural indicators (often referred to as 'red flags') that could suggest illicit activities or intent. This is accomplished through regular education and awareness, active screening and monitoring strategic-level activities and developments. Ensuring that controlled technology, software and goods are not misused or diverted for unauthorised purposes. By remaining vigilant and recognising potential indicators, organisations can prevent security breaches, protect sensitive information and avoid legal penalties. At the **Foundation** level, practitioners will be aware of their responsibilities and can identify behavioural red flags that might indicate illicit activities or intent within their workspace. As practitioners progress to the **Advanced** and **Expert** levels, they will actively monitor national and international events and developments, drawing insights from these sources to educate personnel, provide advice and improve internal policies and practices.

## Treaties, AUKUS Licence Free Environment and Community Memberships



The Treaties, AUKUS and Community Memberships capability focuses on understanding the requirements and benefits of participating in international treaties, being an AUKUS Authorised User and engaging in other community memberships. At the **Foundation** level, practitioners require an understanding of treaties, the AUKUS Licence Free Environment, and community memberships, including their impact on global security, trade, and compliance. **Intermediate**-level practitioners should actively apply this knowledge to monitor practices, ensure adherence to international norms, and identify opportunities for collaboration. **Advanced**-level practitioners are tasked with providing strategic advice, shaping organisational policies, and educating others to strengthen compliance and foster innovation within a secure framework.

## Who does the Framework apply to?

The DEC Knowledge and Skills Framework is designed to serve three (3) critical stakeholder groups:

- the Higher Education and the Research Sector, which must navigate complex regulations while fostering innovation and safeguarding sensitive technologies (see *Annex A – Higher Education and the Research Sector*);
- the Industry sector, which requires robust capabilities to manage export controls and ensure compliance with international trade and security standards (see *Annex B – Industry*); and
- the Government, which plays a pivotal role in implementing policies, overseeing compliance and promoting alignment with international non-proliferation agreements (see *Annex C – Government*).

By catering to these sectors, the Framework supports a comprehensive approach to building expertise and addressing sector-specific needs. However, it is important to note that not all capability levels will be required within each department, organisation, or institution, as varying roles and objectives demand differing levels of expertise and engagement.

# Building Export Controls Expertise

## The DEC Learning System

The DEC Learning System is designed to build export control compliance expertise amongst employment streams such as industry professionals, government officials and academic researchers (see Figure 2). This system includes a blend of formal education, practical experience, exposure to best practices and a learning environment supported by tools, resources and guides.

A key component of the **Foundation** level of this Framework is the “[Navigating Australia’s Defence Export Controls Framework](#)” eLearning module. Completion of this module equips learners with essential knowledge to navigate and understand Australia’s Defence Export Controls Framework effectively. Entities are encouraged to ensure that all personnel in roles that engage with Defence Export Controls have completed this **Foundation** level training.

The System encompasses Defence-led learning programs, opportunities offered by external educational institutions, consultancy firms and peak bodies. It recognises that different sectors require distinct knowledge and, importantly, sector-specific expertise, which cannot be fully developed in a generic training course. True sector-specific expertise can only be developed through applied experience, where practitioners actively engage in real-world tasks and challenges within their field.

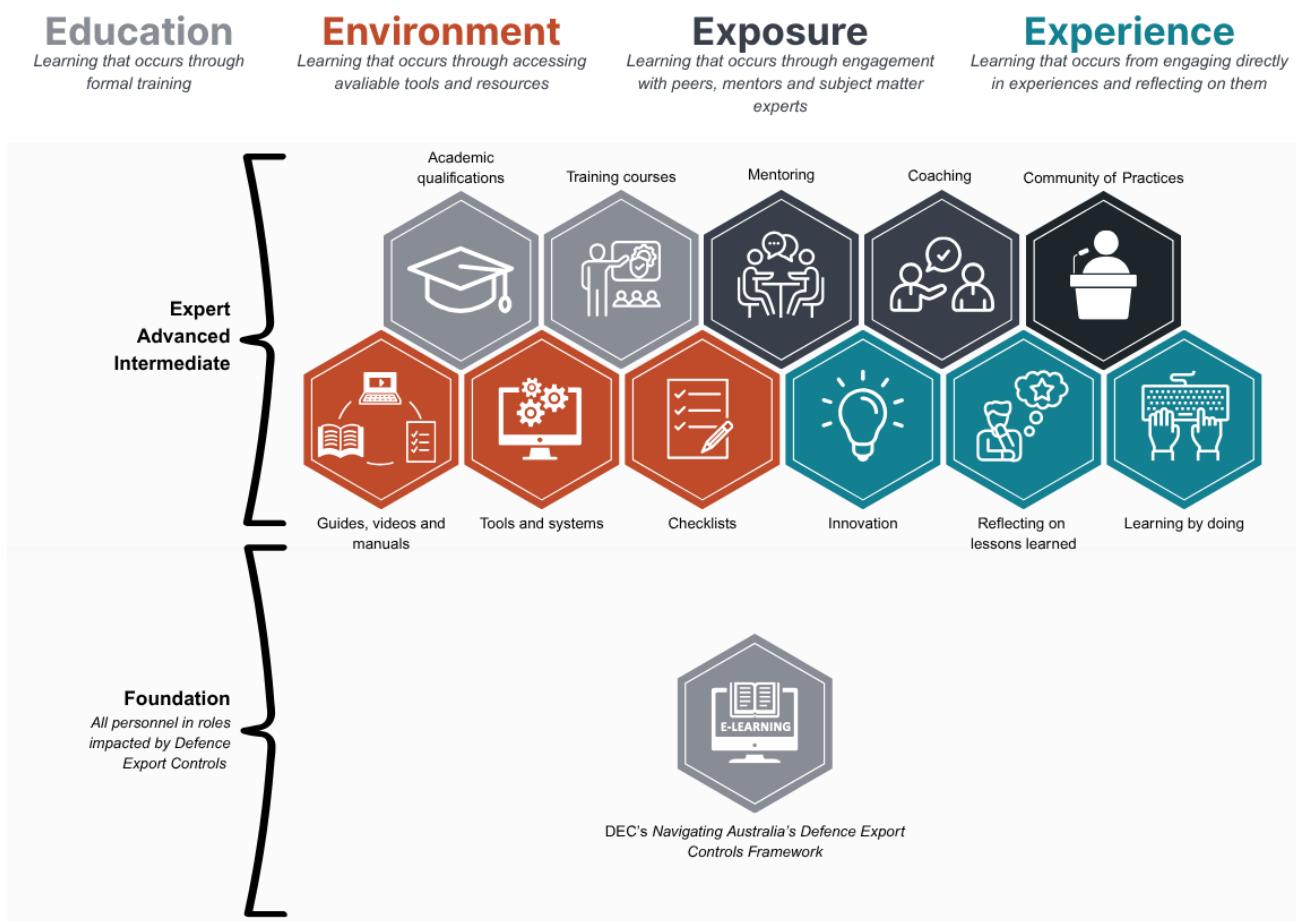


Figure 2 - The DEC Learning System

The importance of lifelong learning cannot be overstated. Staying current with changes in the regulatory framework, international affairs and Information and Communication Technology (ICT) system updates is crucial for maintaining relevance and compliance in today's fast paced world. Continuous learning ensures that individuals can adapt to new challenges, leverage emerging opportunities and uphold the highest standards of professional practice.

Practitioners are encouraged to leverage the “4 E’s” — Education, Exposure, Environment and Experience — to further develop their knowledge and skills. By exploring opportunities across all four elements, they can align their professional growth with the Framework’s expectations and ensure continuous learning. This multi-faceted approach allows individuals to refine their competencies, adapt to evolving challenges, and uphold the highest standards of professional practice. DEC further supports this type of learning by offering an extensive range of resources on its website and through the My Australian Defence Exports (MADE) Portal, ensuring practitioners have access to sector-specific expertise and tools tailored to their needs.

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## Annex A – Higher Education and the Research Sector

### Higher Education and the Research Sector Personas

#### FOUNDATION

I am a lecturer, researcher, professional staff member or research student at a higher education and/or I am new to Defence Export Controls and have limited experience with the legislative framework.

Regulation, compliance and risk are not my core business or focus. However, I need to know why my work or research might be controlled and the security and safety impacts it could have, both within Australia and internationally, even if it is not directly associated with military hardware or equipment.

I understand Defence Export Controls may impact my work/research in several ways, *depending on its topic and nature* and could include:

- Who has access to my research, including my data files and notes;
- Who I can support or oversee to conduct their own research;
- Who I can have in my classroom/laboratory or with who or where I can give a lecture, depending on the content;
- Who I share my research with or invite to collaborate or comment on my research.

As a result, I need a **Foundation** level of knowledge of the Defence Export Controls legislative framework so I can identify possible circumstances which may require a DEC permit, comply with its requirements and also to know where to go to see further advice and support.

#### INTERMEDIATE

I am member of my higher education or research institution's risk/compliance team or a research leader and have some experience navigating the Defence Export Controls legislative framework.

My role includes supporting teams/schools within my institution to remain compliant with Australian legislation, including Defence Export Controls; or as a leader, I have a role in providing advice and guidance to other research supervisors and lectures regarding Defence Export Controls. Thus, I need a working knowledge of how to comply with Defence Export Controls.

I will take an active part in applying for permits on behalf of others in my intuition, through the MADE Portal and will assist with record keeping and reporting and assisting with the conduct of self-audits. I will be actively working to develop my knowledge of the Defence and Strategic Goods List (DSGL) and its applicability to my institution's work, as well as understanding the circumstances and history of permit applications.

## ADVANCED

I am actively involved in Defence Export Controls, and I serve as a regulatory compliance supervisor or team leader at my institution; or I oversee research and studies related to DSGL technology, software, or goods.

I continuously update my knowledge of both Australian and international export controls legislation through various resources and am an active member of the DEC Compliance Community of Practice.

I have developed an understanding and practical experience in applying Australian and international regulations, such as those of the UK and US, within the context of my institution. I confidently advise others on how our technology, software and goods can be safely supplied or exported to like-minded collaborators.

I have an in-depth understanding of procurement rules within government and how they interconnect with our research projects.

I raise awareness of export control legislation through advice and training, oversee Fundamental Research determinations, ensure records are maintained and monitor compliance through audits and practice improvements.

## EXPERT

I actively demonstrate expertise in Defence Export Controls by sharing best practices and knowledge through conferences, Communities of Practice and published papers, ensuring compliance and improvement across the sector.

Leveraging my experience and leadership, I actively shape and influence the practice within my institution and beyond, promoting compliance, proactivity and a sense of responsibility and ownership.

I maintain an up-to-date understanding of Australian and international export control legislation and contribute to the development of new knowledge and ideas in this field.

As an advocate for regulatory compliance, I engage with Defence Export Controls through working groups, forums and legislative reviews, offering ideas, research and insights to advance the sector.

## Capability Areas and Behaviour Indicators – Higher Education and the Research Sector

	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
 <b>International Commitments</b>	<p>I acknowledge the significance of international commitments in research contexts.</p> <p>I recognise that international treaties and agreements influence Australia's export controls.</p>	<p>I incorporate international frameworks into research protocols and compliance checks.</p> <p>I can assist researchers in my field in understanding how global non-proliferation frameworks affect their work.</p>	<p>I advise on research practices to adhere to international non-proliferation obligations.</p> <p>I collaborate with research institutions to strengthen compliance with global non-proliferation standards.</p>	<p>I develop and implement policies to ensure research aligns with global standards.</p> <p>I contribute to shaping national and international policies on research compliance with export control frameworks.</p>
 <b>Australian Legislative Framework</b>	<p>I understand I have an obligation to comply with the key legislative acts that influence research practices.</p> <p>I understand that non-compliance with legislative requirements can have serious consequences for research institutions.</p>	<p>I integrate legislative requirements into research protocols and proposals.</p> <p>I can assist academic staff and researchers in my field to understand their responsibilities under the DTC Act.</p>	<p>I provide guidance on legislative compliance in research settings.</p> <p>I collaborate with compliance teams to help develop robust policies that align research activities with legal requirements.</p>	<p>I lead the development of research policies that adhere to legislative frameworks.</p> <p>I engage with policymakers and research institutions to shape national and sector-wide policies on legislative compliance in research.</p>
 <b>Defence and Strategic Goods List (DSGL)</b>	<p>I understand where to get advice within my institution on whether something is listed on the DSGL</p> <p>I understand the implications of my research and data being listed on the DSGL</p> <p>I understand that there are exemptions and where to find more information on what this means for my work.</p>	<p>I can identify whether research projects may be controlled under the DSGL.</p> <p>I can support researchers in my field in identifying and complying with DSGL requirements.</p>	<p>I provide guidance on all aspects of DSGL compliance, including embedding requirements within research policies and procedures.</p> <p>I advise on military end-use and catch-all legislation.</p> <p>With advice from experts, including DEC, I determine if our work qualifies for exemptions or exceptions, such as the Fundamental Research carve-out.</p>	<p>I lead by example with adherence to DSGL requirements in all research activities.</p> <p>I collaborate with government and academic bodies to refine policies and understanding of DSGL compliance in research.</p>

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	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
	I understand what is meant by dual-use and military end-use			
Permits and Conditions 	<p>I understand the importance of adhering to permit conditions to maintain research integrity and avoid legal and security risks.</p> <p>I can identify research activities that may require a permit and ensure that accurate information is provided to ensure effective compliance.</p>	<p>I can use the MADE portal to complete and submit permit applications to ensure our compliance with export controls legislation.</p> <p>I can identify and comply with specific permit requirements for various research activities.</p> <p>I assist researchers and academics in my field to understand and follow export permit requirements for their work.</p>	<p>I can confidently provide advice to others on how to use the MADE Portal to submit permit applications.</p> <p>I can provide advice on adhering to permit conditions in high-level research projects.</p> <p>I collaborate with research administrators and compliance officers to address complex permit requirements.</p> <p>I can identify breaches to our permit conditions across my entire network or institution.</p>	<p>I lead compliance with permit conditions, ensuring research integrity and ethical standards.</p> <p>I engage with national and international bodies to help ensure and guide compliance with export permit conditions in research.</p>
Record Keeping 	<p>I recognise the significance of detailed record keeping to maintain compliance with export controls.</p> <p>I understand I am accountable for providing accurate information about my research material and data, even if an exemption is applied.</p>	<p>I oversee the implementation of DEC record keeping systems in research projects, ensuring adherence to regulations.</p> <p>I can work with researchers in my field to establish structured documentation practices.</p> <p>I actively maintain and review records of all exemptions to ensure accuracy of details of the determination and compliance with activity thresholds.</p>	<p>I provide strategic advice on enhancing record keeping practices in research settings to meet legislative requirements.</p> <p>I review record management systems to identify gaps and implement best practices for record retention.</p> <p>I develop systems and processes for recording the determination of exemptions including how</p>	<p>I develop and promote comprehensive record keeping policies and systems that align with both academic standards and legislative frameworks.</p> <p>I influence policy development at the institutional and national levels to improve record keeping for research compliance.</p>

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	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
			activities are actively remaining under identified thresholds.	
Reporting, Notifications and Disclosures 	<p>I am aware of the various types of reporting needed for compliance in research projects.</p> <p>I understand that failure to report accurately can impact research approvals and institutional reputation.</p> <p>I can identify actual or potential breaches, including those warranting a Voluntary Disclosure and report them internally.</p>	<p>I confidently fulfil reporting requirements independently for research projects under legislative frameworks.</p> <p>I work with research teams in my area/project to ensure reporting obligations are met throughout the project lifecycle.</p>	<p>I provide strategic advice to enhance reporting practices in research settings.</p> <p>I identify areas for improvement in research reporting processes and implement best practices to strengthen compliance.</p>	<p>I develop comprehensive reporting policies and systems that align with both academic standards and legislative requirements.</p> <p>I advocate for sector-wide improvements in research reporting frameworks to align with evolving regulatory expectations.</p>
Internal and External Audits 	<p>I am aware that the conduct of audits and compliance within export control is critical for maintaining standards.</p> <p>I recognise the role of audits in protecting sensitive technologies and research collaborations.</p>	<p>Following the Self-Audit Checklist in the MADE Portal, I actively engage in proactive evaluation of academic and research processes to adhere to export control requirements.</p> <p>I actively participate in internal reviews to align research practices with export control requirements.</p>	<p>I provide context-specific advice to enhance compliance within my institution.</p> <p>I design internal audit strategies tailored to the complexities of research institutions in my field.</p> <p>I am accountable for the implementation of our compliance strategy and internal reviews to ensure my institution is prepared for an external audit by DEC.</p>	<p>I lead the formulation and implementation of comprehensive policies to ensure rigorous adherence to export control laws.</p> <p>I collaborate with regulatory authorities to influence and refine audit standards for higher educations and research institutions.</p>
Preventing Unauthorised Access	I recognise the importance of securing research data and technology.	I assist in conducting security audits to ensure research	I develop and implement security protocols to protect research data and technology.	I shape and influence institutional policies to enhance security and compliance.

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	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
	<p>I follow institutional guidelines to protect sensitive information from unauthorised access.</p>	<p>compliance with export control regulations.</p> <p>I provide guidance to researchers on best practices for securing sensitive information.</p>	<p>I provide training to researchers on maintaining security and compliance with export control requirements.</p>	<p>I engage with national and international bodies to promote best practices in research security.</p>
	<p>I recognise the significance of identifying red flags in the context of DEC that could suggest suspicious or questionable activities in research contexts.</p> <p>I follow institutional guidelines to monitor and screen for potential red flags in research activities.</p>	<p>I assist in the conduct of ongoing screenings to ensure compliance with export control regulations in research projects.</p> <p>I educate researchers on best practices for identifying and reporting potential red flags.</p>	<p>I develop and implement screening protocols to protect research data and technology from unauthorised use.</p> <p>I provide training to researchers on maintaining security and compliance with export control requirements.</p>	<p>I engage with national and international bodies to promote best practices in research security and screening.</p> <p>I contribute to shaping institutional policies to ensure robust screening procedures and compliance.</p>
	<p>I am aware of the significance of international treaties and AUKUS in the research context.</p> <p>I understand how participation in these frameworks can impact international research collaborations and technology sharing.</p>	<p>I integrate knowledge of international treaties and AUKUS into my academic research projects.</p> <p>I ensure research activities align with the compliance and security requirements of these agreements.</p> <p>I complete and submit applications for treaty access, licence-free environments and community memberships on behalf of my institution.</p>	<p>I manage compliance programs utilising international treaties relating to AUKUS.</p> <p>I have knowledge of foreign export controls regulations and can advise on export controls regulations of internal partners to support institutional compliance.</p> <p>I collaborate with policymakers and Defence experts to align academic research with national security priorities.</p>	<p>I contribute to scholarly discourse on the advancements and challenges in international treaties and AUKUS cooperation.</p> <p>I influence policy development and institutional strategies to enhance Australia's role in global research collaborations under AUKUS and other international agreements.</p>

Table 1 - Capability Areas and Behaviour Indicators -- Higher Education and the Research Sector

OFFICIAL

# Annex B – Industry

## Industry Personas

### FOUNDATION

I may be either new to an export control role or in a position where compliance and export controls are not my primary responsibilities.

I recognise that Defence Export Controls may impact my work in various ways, including determining who has access to my work, who I can collaborate with and where and how I can share information. I am also aware that my organisation's relationships with suppliers, industry partners, or international entities may require additional oversight.

As a result, I need a foundational understanding of the industry's regulatory framework to identify situations requiring compliance permits and to know where to seek further advice and support.

### INTERMEDIATE

I am a mid-level professional working in industry or government, either as a compliance specialist or as a leader of a project that interacts with export-controlled goods, technology, or information. I have some experience navigating regulatory frameworks and am developing my expertise in Defence Export Controls and compliance requirements. My role includes supporting teams and projects within my organisation to remain compliant with legislation, or as a leader, providing advice and guidance on compliance matters.

I need a basic understanding of Defence Export Controls compliance to assist with permits, record keeping, reporting and audits. I may seek to expand my knowledge through professional development, such as a Certificate IV in Compliance and Risk Management.

### ADVANCED

I have proven experience in regulatory compliance and risk management within Australian industry, having worked on numerous DEC related projects, permits and decisions that provide a basis for my decisions and advice. I am a regulatory compliance supervisor, project lead or policy specialist, overseeing projects and programs associated with regulated technology, software or goods.

I actively maintain my knowledge of both national and international regulations through various resources and am an active member of the compliance community.

I confidently advise on regulatory compliance, support knowledge development within my organisation and ensure alignment with Defence Export Controls. I actively engage with industry networks, committees and regulatory reviews. I have an in-depth understanding of procurement rules within government and how they intersect with export control legislation.

I monitor our regulatory compliance, review self-audit outcomes, provide direction on improving practices and identify when voluntary disclosures are needed. I oversee records management, reporting and provide advice on permits and compliance requirements.

#### EXPERT

I leverage my extensive experience in both international and Australian Defence Export Controls to enhance compliance and improvement within my organisation and the broader industry. I present at conferences, Communities of Practices and symposiums, shape regulatory practices, develop policy and provide strategic direction on Defence Export Controls at both agency and national levels. Additionally, I publish papers and articles based on my sector-specific expertise.

I leverage my experience to shape compliance practices, mentor professionals and advise on trends and risk mitigation. I engage in legislative reform and provide strategic guidance on Defence Export Controls through policymaking, ministerial briefings and regulatory discussions, addressing emerging risks and supply chain vulnerabilities.

I am a lead for regulatory compliance both within my organisation and across the Australian industrial sector more broadly. I actively engage with Defence Export Controls through working groups, forums and legislative reviews, contributing ideas, research and insights.

#### Capability Areas and Behaviour Indicators – Industry

	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
International Commitments 	I understand the basic role of international commitments in non-proliferation.  I recognise that international treaties and agreements influence Australia's export controls.	I ensure compliance with international frameworks in daily operations.  I can work with stakeholders to align internal processes with international non-proliferation requirements.	I can analyse the impact of evolving international agreements and provide strategic advice on international commitments and their impact on policy.  I collaborate with industry partners and regulators to enhance compliance with global export control obligations.	I shape internal policies to align with global non-proliferation standards.  I drive the integration of global non-proliferation standards into my organisations risk management and governance structures.

	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
 Australian Legislative Framework	<p>I understand I have an obligation to comply with the different components of the DEC legislative framework.</p> <p>I recognise the importance of compliance with these laws to prevent unauthorised exports and security risks.</p>	<p>I apply the DEC legislative framework to ensure compliance within the organisation.</p> <p>I can assist in interpreting and applying relevant legislation to specific export scenarios.</p>	<p>I advise on legislative compliance, helping to navigate complex legal obligations.</p> <p>I contribute to the development of training and policy frameworks, integrating legislative requirements into business operations.</p>	<p>I shape and influence policies at a strategic level to meet regulatory standards.</p> <p>I influence regulatory discussions and provide input on potential reforms to Defence Export Control legislation</p>
 Defence and Strategic Goods List (DSGL)	<p>I understand where to get advice on whether something is listed on the DSGL within my company.</p> <p>I understand the implications of technology, software and goods being listed on the DSGL.</p> <p>I understand that there are exemption and where to find more information on what this means for my work.</p> <p>I understand what is meant by dual-use and military end-use.</p>	<p>I can identify straightforward items on the DSGL.</p> <p>I support my organisation/agency in ensuring DSGL-listed items comply with relevant export control regulations.</p>	<p>I can provide advice on classifications within the DSGL.</p> <p>I advise on the implications of DSGL requirements in business operations and strategic planning.</p> <p>I guide technical experts on interpreting regulations to correctly classify items, whether simple or complex.</p> <p>With advice from experts, including DEC, I determine if our work qualifies for an exemption or exception.</p>	<p>I lead the strategic implementation of DSGL regulations.</p> <p>I engage with policymakers and industry leaders to shape regulatory approaches to DSGL compliance.</p>

OFFICIAL

	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
Permits and Conditions 	<p>I acknowledge the various types of export permits and understand that non-compliance with conditions may result in legal and operational repercussions.</p> <p>I identify activities requiring a permit and ensure accurate information is provided to obtain it.</p> <p>I follow directions to ensure I comply with permit conditions.</p>	<p>I can use the MADE portal to complete and submit export controls permit applications to ensure compliance with export controls legislation.</p> <p>I can identify, interpret and comply with relevant permit conditions for specific activities.</p> <p>I proactively monitor compliance with permit conditions and escalate potential issues when necessary.</p>	<p>I can confidently provide advice to others on how to use the MADE Portal to submit permit applications.</p> <p>I can confidently navigate complex permit conditions and ensure compliance.</p> <p>I role model complying with permit conditions.</p> <p>I develop internal processes to manage and track compliance with permit conditions effectively.</p>	<p>I lead best practices in complying with permit conditions and provide strategic guidance.</p> <p>I work with government and industry stakeholders to refine permit compliance standards and best practices.</p>
Record Keeping 	<p>I understand the importance of maintaining accurate and comprehensive records to meet legal and regulatory requirements.</p> <p>I acknowledge that I am responsible for providing accurate information regarding our controlled goods, software, or technology, even when an exemption is applicable.</p>	<p>I manage DEC record keeping for my organisation, ensuring all documentation is properly maintained and accessible.</p> <p>I help implement procedures to verify the accuracy and completeness of records before submission or storage.</p>	<p>I advise on and review record keeping practices, providing guidance to improve processes and ensure ongoing compliance.</p> <p>I assess emerging technologies and digital solutions to enhance the efficiencies in DEC record management.</p>	<p>I lead the development of advanced record keeping strategies, ensuring alignment with legislative frameworks and best practices.</p> <p>I advocate with national and international collaboration on record-keeping standards to improve compliance and interoperability.</p>
Reporting, Notifications and	I understand the basic reporting requirements for compliance under the Australian DEC legislative framework.	I can independently identify and fulfil reporting requirements for my organisation under the Australian DEC legislative framework.	<p>I provide strategic advice and training to improve reporting practices within my organisation.</p> <p>I assess and refine reporting workflows to enhance efficiency</p>	I develop and implement comprehensive reporting strategies to ensure ongoing compliance and enhance organisational performance.

OFFICIAL

	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
Disclosures 	<p>I recognise the importance of timely and accurate reporting to prevent compliance breaches and mitigate risks.</p> <p>I can identify actual or potential breaches within my company that may warrant a voluntary disclosure and report them internally.</p>	I ensure that reporting processes are documented and consistently followed to maintain regulatory compliance.	and reduce the risks of errors or omissions.	I engage with policymakers and industry leaders to influence best practices for reporting within the Australian DEC legislative framework.
Internal and External Audits 	<p>I am aware of the purpose of audits and the need for compliance with export control laws.</p> <p>I recognise the importance of audit findings and how they can contribute to improving compliance practices.</p>	<p>Following the self-audit checklist in the MADE Portal, I assess and evaluate internal processes to ensure effective implementation of these controls.</p> <p>I ensure audit recommendations are implemented effectively to strengthen compliance.</p>	<p>I provide advice on shaping internal policies to enhance compliance and performance.</p> <p>I develop and oversee internal audit procedures to ensure continuous improvement for my agency in export control compliance.</p> <p>I am accountable for the implementation of strategies and internal reviews to ensure my company is fully prepared for external audit by DEC.</p>	<p>I guide the development and execution of robust export control frameworks to support international commitments.</p> <p>I actively engage with national and international regulatory bodies to shape audit framework and compliance measures.</p>
Preventing Unauthorised Access 	I understand my responsibilities to maintain the security of controlled technology, software and goods.	<p>I collaborate with the appropriate teams and departments to ensure compliance.</p> <p>I identify areas for improvement in our security framework and recommend necessary changes.</p>	<p>I review and advise on security policies to enhance our organisational security framework.</p> <p>I educate team members on the importance of security and</p>	<p>I lead initiatives to continuously improve our security framework and culture.</p> <p>I collaborate with external stakeholders to align our security</p>

OFFICIAL

	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
	I actively follow organisational procedures to ensure compliance with security requirements.		compliance with export control regulations.	practices with international standards.
Illicit Activity and Risk Detection 	I am aware of my responsibilities to identify behavioural red flags that might indicate illicit activities or intent within my workspace.  I understand the importance of regular education and awareness to prevent security breaches.	I actively monitor and screen for behavioural indicators that could suggest illicit activities or intent.  I provide guidance to my team on recognising and reporting potential red flags.	I review and advise on screening procedures to enhance our organisational security framework.  I lead initiatives to improve the identification and monitoring of behavioural indicators within the organisation.	I shape and influence internal policies to enhance screening procedures and compliance.  I collaborate with external stakeholders to align our screening practices with international standards.
Treaties, AUKUS Licence Free Environment and Community Memberships 	I understand the basic requirements of international treaties and AUKUS membership.  I recognise the role of international agreements in shaping defence collaboration and security policies.	I ensure adherence to international treaties and AUKUS.  I ensure that my organisation's activities align with the obligations and opportunities presented by these agreements.  I complete and submit applications for treaty access, licence-free environments and community memberships on behalf of my organisation.	I lead initiatives that leverage international treaties and AUKUS partnerships for strategic benefits.  I identify opportunities for industry collaboration within AUKUS and other international frameworks to drive innovation and security.	I provide Expert advice on maximising the benefits of international treaties and AUKUS alliances.  I engage with policymakers and international stakeholders to influence the development and implementation of defence cooperation frameworks.

Table 2 - Capability Areas and Behaviour Indicators – Industry

OFFICIAL

# Annex C – Government

## Government Personas

### FOUNDATION

I am an entry-level professional or new to government, with limited experience in defence exports regulatory compliance. My role requires developing a broad awareness of various government legislative frameworks to understand their implications and navigate compliance challenges effectively.

My core responsibilities do not primarily focus on compliance, risk or export controls, but I need to understand why my work may be regulated and the potential security and safety impacts of non-compliance.

I recognise that Defence Export Controls may impact my work in various ways, including determining who has access to my work, who I can export to and where and how I can share information. I am also aware that my organisation's relationships with suppliers, industry partners, or international entities may require additional oversight.

As a result, I need a foundational understanding of the Defence Export Controls legislative framework to identify situations requiring compliance permits and know where to seek further advice and support.

### INTERMEDIATE

I am a mid-level professional working in government, either as a compliance specialist or as a leader of a project that interacts with export-controlled goods, technology, or information. I have some experience navigating regulatory frameworks and am developing my expertise in Defence Export Controls and compliance requirements. My role includes supporting teams and projects within my department to remain compliant with legislation, or as a leader, providing advice and guidance on compliance matters.

I need a working knowledge of how to comply with Defence Export Controls legislative framework to perform my duties, which may only form a small part of my role. This includes applying for permits through the MADE portal on behalf of my organisation, assisting with record keeping, reporting and assisting with self-audits. I am also developing my knowledge of the DSGL and its applicability to my organisation's work and understanding my department's history of permit applications.

### ADVANCED

I have proven experience in regulatory compliance and risk management within government, having worked on numerous DEC-related projects, permits and decisions that provide a basis for my decisions and advice. I am a regulatory compliance supervisor, project lead or policy specialist, overseeing projects and programs associated with regulated technology, software, or goods.

**OFFICIAL**

I actively maintain my knowledge of both national and international regulations through various resources and am an active member of the compliance community.

I confidently advise on regulatory compliance, assist with internal training, determine exemptions, maintain records, align policies with Defence Export Controls and actively engage with professional communities and committees.

I have an in-depth understanding of procurement rules within government and how they intersect with export control legislation.

I monitor our regulatory compliance, review self-audit outcomes, provide direction on improving practices and identify when voluntary disclosures are needed. I oversee records management, reporting and provide advice on permits and compliance requirements.

#### EXPERT

I share my insights in Australian Defence Export Controls to guide compliance and continuous improvement across both within my department and across the Australian Public Service more broadly through presentations at conferences, Communities of Practices and symposiums. I use my expertise to shape regulatory practices, develop policy, and provide strategic direction on Defence Export Controls at both an agency and national level. I also publish papers and articles associated, drawing on my sector-specific experience across difference aspects of Defence Export Controls.

I leverage my expertise to enhance compliance practices both within my organisation and across government, promoting proactive responsibility and knowledge sharing. I advise policymakers and industry stakeholders on regulatory trends and risks, mentor professionals, and contribute to legislative reform by shaping the future of Defence Export Controls through ministerial briefings and strategic recommendations.

I am a leader for regulatory compliance both within my organisation and across the Australian industrial sector more broadly. I actively engage with Defence Export Controls through working groups, forums and legislative reviews, contributing ideas, research and insights.

### Capability Areas and Behaviour Indicators – Government

	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
International Commitments 	<p>I understand the basic role of international commitments in non-proliferation.</p> <p>I recognise that international treaties and agreements influence Australia's export controls.</p>	<p>I ensure compliance with international frameworks in daily operations.</p> <p>I can work with stakeholders to align internal processes with international non-proliferation requirements.</p>	<p>I can analyse the impact of evolving international agreements and provide strategic advice on international commitments and their impact on policy.</p> <p>I collaborate with industry partners and regulators to</p>	<p>I shape internal policies to align with global non-proliferation standards.</p> <p>I drive the integration of global non-proliferation standards into my organisations risk management and governance structures.</p>

OFFICIAL

	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
			enhance compliance with global export control obligations.	
 Australian Legislative Framework	<p>I understand I have an obligation to comply with the different components of the DEC legislative framework.</p> <p>I recognise the importance of compliance with these laws to prevent unauthorised exports and security risks.</p>	<p>I apply the DEC legislative framework to ensure compliance within my agency/department.</p> <p>I can assist in interpreting and applying relevant legislation to specific export scenarios.</p>	<p>I advise on legislative compliance, helping to navigate complex legal obligations.</p> <p>I contribute to the development of training and policy frameworks integrating legislative requirements into business operations.</p>	<p>I shape and influence policies at a strategic level to meet regulatory standards.</p> <p>I influence regulatory discussions and provide input on potential reforms to Defence Export Control legislation</p>
 Defence and Strategic Goods List (DSGL)	<p>I understand where to get advice on whether something is listed on the DSGL within my company.</p> <p>I understand the implications of technology, software and goods being listed on the DSGL.</p> <p>I understand that there are exemptions and where to find more information on what this means for my work.</p> <p>I understand what is meant by dual-use and military end-use.</p>	<p>I can identify straightforward items on the DSGL.</p> <p>I support my agency/department in ensuring DSGL-listed items comply with relevant export control regulations.</p>	<p>I can provide advice on classifications within the DSGL.</p> <p>I advise on the implications of DSGL requirements in business operations and strategic planning.</p> <p>I guide technical experts on interpreting regulations to correctly classify items, whether simple or complex.</p> <p>With advice from experts, including DEC, I determine if our work qualifies for an exemption or exception.</p>	<p>I lead and advise on strategic implementation of DSGL regulations.</p> <p>I engage with policymakers and industry leaders to shape regulatory approaches to DSGL compliance.</p>

OFFICIAL

	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
Permits and Conditions 	<p>I acknowledge the various types of export permits and understand that non-compliance with their conditions may result in legal and operational repercussions.</p> <p>I identify activities requiring a permit and ensure accurate information is provided to obtain it.</p> <p>I follow directions to ensure I comply with permit conditions.</p>	<p>I can use the MADE portal to complete and submit export controls permit applications to ensure compliance with export controls legislation.</p> <p>I can identify, interpret and comply with relevant permit conditions for specific activities.</p> <p>I proactively monitor compliance with permit conditions and escalate potential issues when necessary.</p>	<p>I can confidently provide advice to others on how to use the MADE Portal to submit permit applications.</p> <p>I can confidently navigate complex permit conditions and ensure compliance.</p> <p>I role model complying with permit conditions.</p> <p>I develop internal processes to manage and track compliance with permit conditions effectively.</p>	<p>I lead and advise on best practices in complying with permit conditions and provide strategic guidance.</p> <p>I work with government and industry stakeholders to refine permit compliance standards and best practices.</p>
Record Keeping 	<p>I understand the importance of maintaining accurate and comprehensive records to meet legal and regulatory requirements.</p> <p>I acknowledge that I am responsible for providing accurate information regarding our controlled goods, software, or technology, even when an exemption is applicable.</p>	<p>I manage DEC record keeping for my business unit/team, ensuring all documentation is properly maintained and accessible.</p> <p>I help implement procedures to verify the accuracy and completeness of records before submission or storage.</p>	<p>I advise on and review record keeping practices, providing guidance to improve processes and ensure ongoing compliance.</p> <p>I assess emerging technologies and digital solutions to enhance the efficiencies in DEC record management.</p>	<p>I lead the development of advanced record keeping strategies, ensuring alignment with legislative frameworks and best practices.</p> <p>I advocate with national and international collaboration on record-keeping standards to improve compliance and interoperability.</p>
Reporting, Notifications and	I understand the basic reporting requirements for compliance under the Australian DEC legislative framework.	I can independently identify and fulfil reporting requirements for my agency/department under the Australian DEC legislative framework.	<p>I provide strategic advice and training to improve reporting practices within my organisation.</p> <p>I assess and refine reporting workflows to enhance efficiency</p>	I develop and implement comprehensive reporting strategies to ensure ongoing compliance and enhance organisational performance.

OFFICIAL

	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
Disclosures 	<p>I recognise the importance of timely and accurate reporting to prevent compliance breaches and mitigate risks.</p> <p>I can identify actual or potential breaches within my company that may warrant a voluntary disclosure and report them internally.</p>	I ensure that reporting processes are documented and consistently followed to maintain regulatory compliance.	and reduce the risks of errors or omissions.	I engage with policymakers and industry leaders to influence best practices for reporting within the Australian DEC legislative framework.
Internal and External Audits 	<p>I am aware of the purpose of audits and the need for compliance with export control laws.</p> <p>I recognise the importance of audit findings and how they can contribute to improving compliance practices.</p>	<p>Following the Self-Audit Checklist in the MADE Portal, I assess and evaluate internal processes to ensure effective implementation of these controls.</p> <p>I ensure audit recommendations are implemented effectively to strengthen compliance.</p>	<p>I provide advice on shaping internal policies to enhance compliance and performance.</p> <p>I develop and oversee internal audit procedures to ensure continuous improvement for my agency in export control compliance.</p> <p>I am accountable for the implementation of strategies and internal reviews to ensure my company is fully prepared for external audit by DEC.</p>	<p>I guide the development and execution of robust export control frameworks to support international commitments.</p> <p>I actively engage with national and international regulatory bodies to shape audit framework and compliance measures.</p>
Preventing Unauthorised Access 	I understand my responsibilities to maintain the security of controlled technology, software and goods.	<p>I collaborate with the appropriate teams and business units to ensure compliance.</p> <p>I identify areas for improvement in our security framework and recommend necessary changes.</p>	<p>I review and advise on security policies to enhance our organisational security framework.</p> <p>I educate team members on the importance of security and</p>	<p>I lead initiatives to continuously improve our security framework and culture.</p> <p>I collaborate with external stakeholders to align our security</p>

OFFICIAL

	FOUNDATION	INTERMEDIATE	ADVANCED	EXPERT
	I actively follow organisational procedures to ensure compliance with security requirements.		compliance with export control regulations.	practices with international standards.
Illicit Activity and Risk Detection  	I am aware of my responsibilities to identify behavioural red flags that might indicate illicit activities or intent within my workspace.  I understand the importance of regular education and awareness to prevent security breaches.	I actively monitor and screen for behavioural indicators that could suggest illicit activities or intent.  I provide guidance to my team on recognising and reporting potential red flags.	I review and advise on screening procedures to enhance our organisational security framework.  I lead initiatives to improve the identification and monitoring of behavioural indicators within the organisation.	I shape and influence internal policies to enhance screening procedures and compliance.  I collaborate with external stakeholders to align our screening practices with international standards.
Treaties, AUKUS Licence Free Environment and Community Memberships  	I understand the basic requirements of international treaties and AUKUS membership.  I recognise the role of international agreements in shaping defence collaboration and security policies.	I ensure adherence to international treaties and AUKUS.  I ensure that my agency's/department's activities align with the obligations and opportunities presented by these agreements.  I complete and submit applications for treaty access, licence-free environments and community memberships on behalf of my organisation.	I lead initiatives that leverage international treaties and AUKUS partnerships for strategic benefits.  I identify opportunities for industry collaboration within AUKUS and other international frameworks to drive innovation and security.	I provide Expert advice on maximising the benefits of international treaties and AUKUS alliances.  I engage with policymakers and international stakeholders to influence the development and implementation of defence cooperation frameworks.

Table 3 - Capability Areas and Behaviour Indicators – Government

OFFICIAL