

Title	Demonstrate knowledge of compliance standards and develop a compliance audit process plan in a manufacturing operation		
Level	5	Credits	15

Purpose	People credited with this unit standard are able to: demonstrate knowledge of: compliance standards and Independent Verification Authorities; and develop a compliance audit process plan for an area of compliance in a manufacturing operation.
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Classification	Manufacturing Skills > Manufacturing Processes
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Available grade	Achieved
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Guidance Information

- 1 Legislation relevant to this unit standard includes:
Health and Safety at Work Act 2015.
- 2 Definitions

Compliance audit refers to review of an organisation's (specified product or operation) adherence to regulatory guidelines, codes of practice, standards, and quality management system.

Compliance standards refer to documented specifications and procedures for a specified product or operation, and are the criteria against which the auditee's performance will be audited.

Workplace procedures refer to procedures used by the organisation carrying out the work and applicable to the tasks being carried out. Examples are – standard operating procedures, site safety procedures, equipment operating procedures, codes of practice, quality management practices and standards, and procedures to comply with legislative and local body requirements.
- 3 Assessment information
 - a All activities and evidence must be in accordance with workplace procedures.
 - b It is recommended that the candidate select operations within their own area of work and at their own workplace.

Outcomes and performance criteria

Outcome 1

Demonstrate knowledge of compliance standards that relate to a manufacturing operation.

Performance criteria

- 1.1 Compliance standards related to a manufacturing operation are identified and explained in terms of their main purpose.
- Range evidence of a minimum of three compliance standards is required.
- 1.2 Key criteria of compliance standards identified in performance criteria 1.1 are explained.
- Range evidence of a minimum of two compliance standards is required.
- 1.3 Key criteria are matched to the quality systems documentation relating to the manufacturing operation and any gaps are identified.
- 1.4 Consequences of non-compliance with compliance standards are explained.
- Range evidence of consequences for one compliance standard is required.

Outcome 2

Demonstrate knowledge of Independent Verification Authorities (IVAs).

Performance criteria

- 2.1 All IVAs used at candidate's own workplace are identified.
- 2.2 IVA and workplace responsibilities for an area of compliance are explained.

Outcome 3

Develop a compliance audit process plan for an area of compliance in a manufacturing operation.

Performance criteria

- 3.1 A compliance audit process plan is developed to evaluate compliance to a standard.
- Range a minimum of one standard is required.
- 3.2 Preparation to carry out the compliance audit process is completed in consultation with stakeholders.
- 3.3 The compliance audit process is carried out and an area of non-compliance is identified.
- 3.4 Compliance audit results are analysed and outcomes are communicated to stakeholders.
- 3.5 The workplace compliance system is modified in consultation with stakeholders.

- 3.6 Compliance audit process records are managed and compliance system documentation is modified.

Planned review date	31 December 2025
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Status information and last date for assessment for superseded versions

Process	Version	Date	Last Date for Assessment
Registration	1	19 November 2015	31 December 2023
Review	2	26 August 2021	N/A

Consent and Moderation Requirements (CMR) reference	0013
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This CMR can be accessed at <http://www.nzqa.govt.nz/framework/search/index.do>.

Comments on this unit standard

Please contact Competenz qualifications@competenz.org.nz if you wish to suggest changes to the content of this unit standard.