

Title	Establish specific compliance criteria		
Level	5	Credits	4

Purpose	This unit standard is for people who undertake compliance functions or who manage compliance officers. People credited with this unit standard are able to: identify client outcomes; interpret the intention of legislation, regulations, bylaws, and organisational policy as they relate to compliance; negotiate compliance criteria with client; develop proposals for compliance criteria; and establish compliance monitoring process and provide feedback.
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Classification	Compliance and Law Enforcement > Compliance and Regulatory Control
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Available grade	Achieved
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Guidance Information

- 1 Assessment will be in relation to those laws, regulations, bylaws, activities, procedures, and policies defined by the compliance and/or regulatory organisation relevant to the performance context.
- 2 *Organisational requirements* refer to instructions to staff on policy and procedures, which are documented in memo or manual format and are available in the workplace. These include the application of legislation.

Outcomes and performance criteria

Outcome 1

Identify client outcomes.

Performance criteria

- 1.1 Client outcomes are defined in accordance with organisational requirements.
- 1.2 Range of questioning techniques is used.
- 1.3 Outcomes are confirmed by client.
- 1.4 Language used is non-discriminatory and in accordance with organisation's procedural policy.

Outcome 2

Interpret the intention of legislation, regulations, bylaws, and organisational policy as they relate to compliance.

Performance criteria

- 2.1 Provisions of legislation, regulations, bylaws, and organisational policy are identified.
- 2.2 Interpretation is consistent with spirit of legislation, regulations, bylaws, and organisational policy.

Outcome 3

Negotiate compliance criteria with client.

Performance criteria

- 3.1 Negotiation steps are identified and used.
- 3.2 Compliance criteria are agreed with client.

Outcome 4

Develop proposals for compliance criteria.

Performance criteria

- 4.1 Compliance criteria are justified in terms of intention of legislation, regulations, bylaws, and/or organisational policy.
- 4.2 Criteria are complete in terms of specification of required performance.
- 4.3 Criteria include specification of compliance and monitoring activities.

Outcome 5

Establish compliance monitoring process and provide feedback.

Performance criteria

- 5.1 Monitoring process is linked to compliance criteria.
- 5.2 Frequency of compliance monitoring is specified.
- 5.3 Responsibility for conduct and cost of compliance monitoring is specified.
- 5.4 Monitoring process is cost effective and within budget.
- 5.5 Feedback of results of monitoring is provided to organisation and client.

This unit standard is expiring. Assessment against the standard must take place by the last date for assessment set out below.

Status information and last date for assessment for superseded versions

Process	Version	Date	Last Date for Assessment
Registration	1	27 April 1995	31 December 2023
Revision	2	25 November 1997	31 December 2023
Revision	3	17 July 2002	31 December 2023
Revision	4	19 May 2004	31 December 2023
Review	5	27 February 2006	31 December 2023
Review	6	23 May 2019	31 December 2023

Consent and Moderation Requirements (CMR) reference

0046

This CMR can be accessed at <http://www.nzqa.govt.nz/framework/search/index.do>.