

<b>Title</b>	<b>Negotiate compliance service and the solution of compliance problems</b>		
<b>Level</b>	<b>5</b>	<b>Credits</b>	<b>4</b>

<b>Purpose</b>	This unit standard is for people who work, or intend to work as a compliance inspector or compliance manager. People credited with this unit standard are able to: negotiate a compliance service agreement with client; convey minimum compliance requirements to the client; and negotiate solution of compliance problems with client and/or manager.
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<b>Classification</b>	Compliance and Law Enforcement > Compliance and Regulatory Control
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<b>Available grade</b>	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.

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### Outcomes and performance criteria

#### Outcome 1

Negotiate a compliance service agreement with client.

#### Performance criteria

- 1.1 Client is identified.
- 1.2 Basis for agreement is identified.
- 1.3 Agreement is reached on compliance service level.

- 1.4 Compliance service agreement is in accordance with organisational requirements.
- Range type and frequency of compliance activities, responsibility for conduct of compliance activities, responsibility for costs of compliance activities, reporting requirements, consequences of not meeting the compliance service agreement.
- 1.5 Situations when negotiation will not produce agreement are identified, and client is advised of consequences of not reaching agreement.

### **Outcome 2**

Convey minimum compliance requirements to the client.

#### **Performance criteria**

- 2.1 Minimum compliance requirements described to the client are based on observation of the operation or situation and how these observations match with the requirements described in legislation, regulations, industry guidelines, and/or organisational requirements.
- 2.2 Minimum compliance requirements are conveyed to the client in accordance with organisation's procedural policy.
- 2.3 A check is made that ensures the client is aware of the minimum compliance requirements for their operation.

### **Outcome 3**

Negotiate solution of compliance problems with client and/or manager.

#### **Performance criteria**

- 3.1 Problems are identified and agreed with client and/or manager.
- 3.2 Solutions to reach compliance are agreed with client and/or manager.

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**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	25 July 2007	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>.