

Title	Plan compliance inspections		
Level	4	Credits	4

Purpose	This unit standard is for people who work, or intend to work as compliance inspectors or compliance managers. People credited with this unit standard are able to: review compliance inspection patterns and activities; prepare compliance inspection schedule; and produce plan for compliance inspection.
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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 Inspection includes audit, assessment, or other official examination.
- 3 On some occasions an inspection will not be notified prior to it being conducted.
- 4 *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

Review compliance inspection patterns and activities.

Performance criteria

- 1.1 Reason for inspection is established.
- 1.2 Historical pattern of inspections is identified.
- 1.3 Assessment of risk of types of non-compliance activities is completed.
- 1.4 Risk of non-compliance is assessed.

Outcome 2

Prepare compliance inspection schedule.

Performance criteria

- 2.1 Existing commitments for inspection in the period being planned for are identified.
- Range legislative commitments, policy commitments and/or contractual commitments.
- 2.2 Inspection objectives identified are based on both intent and prescription of compliance legislation.
- 2.3 Inspection priorities identified are based on existing legislative, policy, or contractual commitments; historical inspection patterns; or information received.
- 2.4 Inspection schedule is established.
- Range specification of sites (or subjects) to be inspected, allocation of inspection responsibilities, preferred time for inspection, inspection objectives, specification of any pre-inspection communication protocols, resources required.

Outcome 3

Produce plan for compliance inspection.

Performance criteria

- 3.1 Inspection objectives are identified.
- 3.2 Estimate of time required for inspection is completed.
- 3.3 Plan is completed in accordance with organisational requirements.
- Range order of inspection activities, contact time with the client, time to give the client feedback on inspection findings, equipment required and reporting requirements.

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	25 March 2021	31 December 2023

Consent and Moderation Requirements (CMR) reference	0046
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This CMR can be accessed at <http://www.nzqa.govt.nz/framework/search/index.do>.