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**COMPLIANCE AND REGULATORY  
CONTROL**  
**Conduct a compliance inspection**

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<b>level:</b>	<b>4</b>
<b>credit:</b>	<b>4</b>
<b>planned review date:</b>	February 2010
<b>sub-field:</b>	Compliance and Law Enforcement
<b>purpose:</b>	This unit standard is for people who work, or intend to work as compliance inspectors or enforcement officers. People credited with this unit standard are able to: contact client or client representative regarding a compliance inspection; observe compliance and non-compliance; test specific elements; record observations and conclusions; and provide feedback to client on results of compliance inspection.
<b>entry information:</b>	Open.
<b>accreditation option:</b>	Evaluation of documentation by NZQA and industry.
<b>moderation option:</b>	A centrally established and directed national moderation system has been set up by The Skills Organisation.
<b>special notes:</b>	<ol style="list-style-type: none"><li>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.</li><li>2 Inspection includes audit, assessment, or other official examination.</li><li>3 On some occasions an inspection will not be notified prior to it being conducted.</li><li>4 <i>Organisational requirements</i> 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.</li></ol>

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**Elements and Performance Criteria**

**element 1**

Contact client or client representative regarding a compliance inspection.

**performance criteria**

- 1.1 Authority is proved to client.  
Range: display of warrant of appointment, or letter of appointment, or official badge, or ID card, or designation document.
- 1.2 Reason for inspection is advised to client.
- 1.3 Background information on the operation is gained from client.  
Range: environmental changes, specific safety considerations.
- 1.4 Information on any changes to operation since last inspection is identified.
- 1.5 Contact information and results of preliminary discussion are recorded.

**element 2**

Observe compliance and non-compliance.

**performance criteria**

- 2.1 Inspection route is planned and followed.
- 2.2 Compliance standards are identified.
- 2.3 Non-compliance indicators are identified.
- 2.4 Incidents of non-compliance with standards are identified.
- 2.5 Potential incidents of non-compliance or unsafe situations are identified.
- 2.6 Observations are recorded in accordance with organisational requirements.
- 2.7 Compliance situations requiring immediate action are identified.

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2.8 Severity of non-compliance is assessed against compliance procedures.

**element 3**

Test specific elements.

**performance criteria**

- 3.1 Specific elements to be tested are identified.
- 3.2 Validity of testing programme is determined.
- 3.3 Tests completed are in accordance with organisational requirements.
- 3.4 Monitoring programme is conducted in accordance with organisational requirements.

**element 4**

Record observations and conclusions.

**performance criteria**

- 4.1 Inspection's findings are recorded in accordance with organisational requirements and to a level admissible in court proceedings.  
  
Range: summary of observations, action taken, conditions experienced, remedial action agreed or required, any matters that are to be followed up.
- 4.2 Record of inspection findings are filed against client records.

**element 5**

Provide feedback to client on results of compliance inspection.

**performance criteria**

- 5.1 Client is informed at end of inspection of preliminary inspection findings.
- 5.2 Issues of non-compliance are explained, and remedial action is identified.

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**Comments on this unit standard**

Please contact The Skills Organisation [info@skills.org.nz](mailto:info@skills.org.nz) if you wish to suggest changes to the content of this unit standard.

**Please Note**

Providers must be accredited by the Qualifications Authority or a delegated inter-institutional body before they can register credits from assessment against unit standards or deliver courses of study leading to that assessment.

Industry Training Organisations must be accredited by the Qualifications Authority before they can register credits from assessment against unit standards.

Accredited providers and Industry Training Organisations assessing against unit standards must engage with the moderation system that applies to those standards.

Accreditation requirements and an outline of the moderation system that applies to this standard are outlined in the Accreditation and Moderation Action Plan (AMAP). The AMAP also includes useful information about special requirements for providers wishing to develop education and training programmes, such as minimum qualifications for tutors and assessors, and special resource requirements.

This unit standard is covered by AMAP 0046 which can be accessed at <http://www.nzqa.govt.nz/site/framework/search.html>.