

Title	Conduct a compliance inspection		
Level	4	Credits	4

Purpose	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.
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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

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.
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- 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.

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

Outcome 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.

Outcome 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.

Outcome 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.

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	28 October 2021	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>.