

Title	Take follow-up action for non-compliance		
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: negotiate with non-complying client on how compliance will be achieved; write summary of compliance agreement; and undertake follow-up 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 *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

Negotiate with non-complying client on how compliance will be achieved.

Performance criteria

- 1.1 Problem is agreed with client.
- 1.2 Actions to reach compliance are agreed.
- 1.3 Client feedback on negotiation is obtained which indicates that negotiation process maintains client relationship.
- 1.4 Situations when negotiation will not reach agreement are identified, and client is advised on consequences of not reaching agreement.
- 1.5 Confrontational situations are dealt with professionally in accordance with organisational requirements.

Outcome 2

Write summary of compliance agreement.

Performance criteria

- 2.1 Summary is completed in accordance with organisation's standards.
- Range statement of non-compliance to be remedied, actions to be taken by client and compliance officer to reach compliance, follow-up activities to check for compliance criteria by which performance can be monitored.
- 2.2 Language of document is targeted to client needs.
- 2.3 Format of summary is in accordance with organisational requirements.

Outcome 3

Undertake follow-up inspection.

Performance criteria

- 3.1 Matters of non-compliance are checked in terms of the agreement made.
- 3.2 Measures to obtain compliance are identified and are actioned in accordance with the agreement and/or organisational 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>.