

<b>Title</b>	<b>Conduct routine regulatory compliance checks</b>		
<b>Level</b>	<b>4</b>	<b>Credits</b>	<b>10</b>

<b>Purpose</b>	<p>This unit standard is for people currently employed as regulatory officers.</p> <p>People credited with this unit standard are able to:</p> <ul style="list-style-type: none"> <li>– prepare to conduct routine regulatory compliance checks;</li> <li>– conduct routine regulatory compliance checks; and</li> <li>– record and communicate results of the regulatory compliance check.</li> </ul>
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<b>Classification</b>	Public Sector Compliance > Public Sector Compliance Operations
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<b>Available grade</b>	Achieved
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### Guidance Information

#### 1 Definition

*Organisational requirements* refer to instructions to staff on policies, procedures, and methodologies which are documented and are available in the workplace. This includes an organisation's obligations under Te Tiriti o Waitangi/The Treaty of Waitangi.

#### 2 The Regulatory sector has a number of terms with specific usage. For current definitions visit [Programme Guidance-Skills](#).

#### 3 References include but are not limited to:

Evidence Act 2006;

Health and Safety at Work Act 2015

New Zealand Bill of Rights Act 1990;

Privacy Act 2020;

Search and Surveillance Act 2012;

Te Tiriti o Waitangi/The Treaty of Waitangi;

Specific legislation mandating the powers and duties of a specific organisation with respect to its regulatory compliance role and/or any other legislation applicable to a particular regulatory compliance situation (e.g. Fisheries Act 1996, Resource Management Act 1991);

and any subsequent amendments and replacements.

#### 4 Range

- Demonstration of knowledge and skills must be consistent with any applicable code or codes of conduct such as the New Zealand State Services Code of Conduct, *Standards of Integrity and Conduct* (available from <http://www.publicservice.govt.nz>) and/or any other agency specific code or codes of conduct and/or ethics.
- Evidence must be from at least three compliance checks within the scope of the candidate's role and which require preparation, and may include inspections, audit, or monitoring.
- All activities and evidence presented for outcomes and performance criteria in this unit standard must be in accordance with organisational requirements.

## Outcomes and performance criteria

### Outcome 1

Prepare to conduct routine regulatory compliance checks.

#### Performance criteria

- 1.1 Prepare to conduct compliance checks and take steps to assure the health and safety of regulatory staff and others who may be impacted.

Range preparation may include – prior notification, timing, equipment required, support required, contingencies if issues are detected, reviewing any held information, schedules, confirming statutory authority and powers to act.

### Outcome 2

Conduct routine regulatory compliance checks.

#### Performance criteria

- 2.1 Conduct compliance checks in accordance with organisational requirements and powers, and take steps to assure the health and safety of regulatory staff and others who may be impacted.

- 2.2 Communicate effectively with regulated parties.

Range communication may include but is not limited to – non-verbal communication, oral communication, written communication, active listening, demonstrating empathy, building rapport whilst maintaining appropriate boundaries, use of questions to obtain and clarify information.

- 2.3 Develop and maintain operational relationships.

Range stakeholders may include – regulated parties, colleagues in candidate's own organisation, other stakeholders in relation to one's role (such as colleagues in partner organisations, members of interest groups, members of the public).

- 2.4 Apply standards of integrity and conduct required of people working in a regulatory role.

### Outcome 3

Record and communicate results of the regulatory compliance check.

### Performance criteria

- 3.1 Record compliance checks.
- 3.2 Communicate results of compliance checks to regulated parties.

<b>Replacement information</b>	This unit standard replaced unit standard 26911.
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<b>Planned review date</b>	31 December 2026
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### Status information and last date for assessment for superseded versions

Process	Version	Date	Last Date for Assessment
Registration	1	18 February 2016	31 December 2023
Review	2	28 October 2021	N/A

<b>Consent and Moderation Requirements (CMR) reference</b>	0121
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This CMR can be accessed at <http://www.nzqa.govt.nz/framework/search/index.do>.

### Comments on this unit standard

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