

Title	Conduct routine regulatory operations		
Level	4	Credits	10

Purpose	<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"> – prepare to conduct routine regulatory operations; – prepare and manage resources for routine regulatory operations; – conduct routine regulatory operations; and – complete and review routine regulatory operations.
----------------	---

Classification	Public Sector Compliance > Public Sector Compliance Operations
-----------------------	--

Available grade	Achieved
------------------------	----------

Guidance Information

1 Definitions

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.

Regulatory operation refers to a planned event or coordinated series of events that applies specific, discrete, use of resources to tackle a regulatory problem or manage a situation, or achieve a regulatory outcome.

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:

Crimes Act 1961;
 Evidence Act 2006;
 Health and Safety at Work Act 2015;
 New Zealand Bill of Rights Act 1990;
 Oranga Tamariki Act 1989;
 Search and Surveillance Act 2012;
 Te Tiriti o Waitangi/The Treaty of Waitangi;
 Trespass Act 1980;
 Specific legislation mandating the powers and duties of a specific organisation with respect to its regulatory role and/or any other legislation applicable to a particular regulatory situation (e.g. Fisheries Act 1996, Resource Management Act 1991);
 and any subsequent amendments and replacements;

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 two operations within the scope of the candidate's role and which require preparation and are managed.
- For the purpose of this unit standard regulatory operations must not be compliance investigations, but they may be operations associated with, or embedded in, an investigation or investigations.
- All activities and evidence presented for outcomes and performance criteria in this unit standard must be in accordance with ethical, and organisational requirements and powers.

Outcomes and performance criteria

Outcome 1

Prepare to conduct routine regulatory operations.

Performance criteria

- 1.1 Prepare to conduct regulatory operations consistent with organisation's mandate and operations' focus.

Range preparation includes – specifying the purpose, objectives, and intended outcomes of the operations; identifying and allocating resources; identify documentation, reporting, record keeping, tasks, and responsibilities; preparation may include written plan.

Outcome 2

Prepare and manage resources for routine regulatory operations.

Performance criteria

- 2.1 Prepare and manage resources for routine regulatory operations.

Range resources may include – human, physical; human resources may include – colleagues from other regulatory organisations.

Outcome 3

Conduct routine regulatory operations.

Performance criteria

3.1 Conduct the routine regulatory operations and take steps to assure the health and safety of regulatory staff and others who may be impacted.

3.2 Manage resources during the regulatory operations.

3.3 Monitor progress of the regulatory operations against the specified objectives.

Range specified objectives may include but are not limited to – purpose, objectives, and intended outcomes of the operations; resources; documentation, reporting, record keeping, tasks, and responsibilities.

3.4 Develop and maintain operational relationships with stakeholders.

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

3.5 Communicate effectively with regulated parties.

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

Outcome 4

Complete and review routine regulatory operations.

Performance criteria

4.1 Complete post-operation procedures.

4.2 Produce documentation relating to the regulatory operations.

4.3 Review regulatory operations to identify opportunities for improved future practice.

Replacement information	This unit standard replaced unit standard 26910.
Planned review date	31 December 2026

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

Consent and Moderation Requirements (CMR) reference

0121

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 if you wish to suggest changes to the content of this unit standard.