

Title	Plan, manage, and evaluate regulatory activities		
Level	5	Credits	15

Purpose	<p>This unit standard is for people currently employed as regulatory practitioners.</p> <p>People credited with this unit standard are able to:</p> <ul style="list-style-type: none"> – plan and manage regulatory activities; and – evaluate regulatory activities and their outcomes.
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Classification	Public Sector Compliance > Public Sector Compliance Operations
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Available grade	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:

Criminal Disclosure Act 2008;
 Criminal Procedure Act 2011;
 Health and Safety at Work Act 2015;
 New Zealand Bill of Rights Act 1990;
 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 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 or 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 two regulatory activities.

- 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

Plan and manage regulatory activities.

Performance criteria

- 1.1 Plan to conduct regulatory activities.
- Range planning may include but is not limited to – justification, purpose, intended outcomes, scope, roles and responsibilities, required resources, risk analysis, intelligence needs linked to the organisation's requirements, assessment of information to hand to determine purpose of activity and possible offences and/or non-compliance.
- 1.2 Manage resources to conduct regulatory activities in accordance with the plans.
- Range resources may include but are not limited to – human, physical, financial, partner agencies, experts.
- 1.3 Manage progress against the plans in accordance with the purposes, objectives and priorities of the regulatory activities.
- Range may include adjustments to the plan.
- 1.4 Contribute to intelligence processes.
- Range may include but is not limited to – information collection such as notes, records, and observations; evaluation of reliability; submissions; response to intelligence taskings.
- 1.5 Manage files and documentation for regulatory activities.
- Range includes – completeness of information, integrity, and security.
- 1.6 Complete post-activity procedures.

Outcome 2

Evaluate regulatory activities and their outcomes.

Performance criteria

- 2.1 Evaluate the regulatory activities and their outcomes.
- Range evaluation includes – comparing the outcomes to intended outcomes, identifying opportunities for improved future practice.

Planned review date	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

Consent and Moderation Requirements (CMR) reference	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 if you wish to suggest changes to the content of this unit standard.