

Title	Conduct, analyse, and report on regulatory conformance audits		
Level	5	Credits	20

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"> – conduct regulatory conformance audits; – analyse evidence of conformance to arrive at audit findings; – identify possible interventions for achieving and/or improving conformance; – determine and report recommendations and/or interventions based on audit findings; and – monitor conformance of audit subjects in response to recommendations and/or interventions.
----------------	---

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

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

Guidance Information

- 1 Definitions
Audit plan – specific guideline to be followed when conducting an audit.
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 Audit uses the term conformance rather than compliance. This usage is reflected in this unit standard, although the use of the term compliance is also acceptable.
- 4 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); and any subsequent amendments or replacements.

5 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 regulatory audits.

Outcomes and performance criteria

Outcome 1

Conduct regulatory conformance audits.

Performance criteria

1.1 Conduct regulatory conformance audits in accordance with audit plans.

Range plans may be original and/or amended.

1.2 Collect and manage evidence to meet the purposes of the audits.

1.3 Create audit files and documentation in accordance with statutory requirements outlined in the audit plans.

1.4 Conclude the audits in accordance with any statutory requirements outlined in the audit plans.

Outcome 2

Analyse evidence of conformance to arrive at audit findings.

Performance criteria

2.1 Analyse the evidence gathered during the audits to determine the findings of the audits in accordance with the audits' objectives.

2.2 Analyse any instances of non-conformance in accordance with organisational requirements.

2.3 Assess whether audit findings are consistent with the organisation's regulatory policies, priorities, and directions.

Outcome 3

Identify possible interventions for achieving and/or improving conformance.

Performance criteria

- 3.1 Identify possible interventions for achieving and/or improving conformance in accordance with organisational requirements.

Outcome 4

Determine and report recommendations and/or interventions based on audit findings.

Performance criteria

- 4.1 Determine recommendations and/or interventions based on audit findings in accordance with organisational requirements.
- 4.2 Specify the findings, recommendations and/or interventions, and any problems seen to inhibit the achievement of conformance.
- 4.3 Highlight any issues that may assist future audits or other compliance activities.
- 4.4 Report the recommendations and/or interventions to stakeholders, consistent with ethical, legal, and organisational requirements.

Range organisational requirements – format, filing.

Outcome 5

Monitor conformance of audit subjects in response to recommendations and/or interventions.

Performance criteria

- 5.1 Measure and record audit subject's level of conformance in response to recommendations and/or interventions in accordance with organisational requirements.
- 5.2 Identify and recommend further interventions, where required, consistent with achieving regulatory conformance outcomes, in accordance with organisational requirements.
- 5.3 Monitor audit subject's level of conformance, where required, in accordance with organisational requirements.

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.