

Title	Conduct, analyse, and report on regulatory inspections		
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 and conclude regulatory inspections; – analyse evidence of compliance gathered during the inspections and determine findings; – identify possible interventions for achieving and/or improving compliance; – make recommendations and/or carry out interventions based on findings of the inspections; and – report the recommendations and/or interventions to stakeholders.
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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 The term conformance may be used, if preferred, instead of compliance.
- 4 References include but are not limited to:
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 and 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://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 inspections.
- 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

Conduct and conclude regulatory inspections.

Performance criteria

- 1.1 Conduct regulatory inspections in accordance with inspection plans.
- 1.2 Gather and manage evidence and information using inspection practices and techniques.
- 1.3 Create inspection documentation in accordance with statutory requirements outlined in the inspection plans.
- 1.4 Conclude the inspections in accordance with any statutory requirements outlined in the inspection plans.

Outcome 2

Analyse evidence of compliance gathered during the inspections and determine findings.

Performance criteria

- 2.1 Analyse the evidence gathered during the inspections, consistent with the objectives of the inspections.
- 2.2 Analyse any instances of non-compliance.
- 2.3 Identify any associated areas of risk that, if not addressed, may result in future non-compliance.
- 2.4 Determine findings that are supported by facts, based on the analysis of evidence.

Outcome 3

Identify possible interventions for achieving and/or improving compliance.

Performance criteria

3.1 Identify possible interventions for achieving and/or improving compliance.

Range may include but is not limited to – the organisation’s regulatory model, intervention decision-making criteria.

Outcome 4

Make recommendations and/or carry out interventions based on findings of the inspections.

Performance criteria

4.1 Make recommendations and/or carry out interventions based on inspection findings.

Range making recommendations and/or carrying out interventions include but is not limited to – specifying findings, communicating with stakeholders;
may include – noting barriers to achieving compliance.

Outcome 5

Report the recommendations and/or interventions to stakeholders.

Performance criteria

5.1 Report the recommendations and/or interventions to stakeholders.

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.