

Title	Conduct routine regulatory compliance checks		
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 compliance checks; – conduct and record compliance checks; and – record and communicate results of the compliance check.
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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 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.

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

2 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/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.

3 Range

a 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.

b 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.

Outcomes and performance criteria

Outcome 1

Prepare to conduct compliance checks.

Performance criteria

- 1.1 Prepare to conduct compliance checks in accordance with organisational requirements, 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 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, consistent with organisational requirements.

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 with stakeholders in accordance with organisational requirements.

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 in accordance with organisational requirements.

Outcome 3

Record and communicate results of the compliance check.

- 3.1 Record compliance checks in accordance with organisational requirements.
- 3.2 Communicate results of compliance checks to regulated parties, consistent with organisational requirements.

Replacement information	This unit standard replaced unit standard 26911
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Planned review date	31 December 2025
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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		

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 at reviewcomments@skills.org.nz if you wish to suggest changes to the content of this unit standard.