

<b>Title</b>	<b>Demonstrate and apply knowledge of a risk-based approach to regulatory activities</b>		
<b>Level</b>	<b>5</b>	<b>Credits</b>	<b>5</b>

<b>Purpose</b>	<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"> <li>– describe a risk-based approach in relation to regulatory activities; and</li> <li>– apply a risk-based approach to regulatory activities.</li> </ul>
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<b>Classification</b>	Public Sector Compliance > Public Sector Compliance Operations
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<b>Available grade</b>	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

Health and Safety at Work Act 2015;

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.

### 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.

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## Outcomes and performance criteria

### Outcome 1

Describe a risk-based approach in relation to regulatory activities.

### Performance criteria

- 1.1 Describe the purpose, principles, and practice of a risk-based approach in a regulatory context, in accordance with organisational requirements.

### Outcome 2

Apply a risk-based approach to regulatory activities.

Range may include but is not limited to – targeting resources to achieve regulatory outcomes, applying an intelligence-led approach to solving regulatory problems, determining risk assessment criteria.

### Performance criteria

- 2.1 Identify risk assessment criteria, consistent with legal and organisational requirements.
- 2.2 Apply the risk criteria to define the priorities, scope, focus, and conduct of regulatory activities, consistent with legal and organisational requirements.
- 2.3 Apply a risk-based approach to regulatory activities in accordance with organisational requirements.

<b>Planned review date</b>	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		

<b>Consent and Moderation Requirements (CMR) reference</b>	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](mailto:reviewcomments@skills.org.nz) if you wish to suggest changes to the content of this unit standard.