

<b>Title</b>	<b>Plan, manage, and evaluate regulatory activities</b>		
<b>Level</b>	<b>5</b>	<b>Credits</b>	<b>15</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>– plan and manage regulatory activities; and</li> <li>– evaluate the 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

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.

#### 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 two regulatory activities.

### Outcomes and performance criteria

## Outcome 1

Plan and manage regulatory activities.

### Performance criteria

- 1.1 Plan to conduct regulatory activities in accordance with organisational requirements.
- 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/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 in accordance with organisational requirements.
- 1.5 Manage files and documentation for regulatory activities in accordance with organisational requirements.
- Range includes completeness of information, integrity, and security.
- 1.6 Complete post-activity procedures in accordance with organisational requirements.

## Outcome 2

Evaluate the regulatory activities.

### 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.

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<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.

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