

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 regulatory conformance audit subjects in response to interventions.
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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 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.
- 3 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.

4 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 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, consistent with organisational requirements.
- 1.4 Conclude the audits, consistent with organisational requirements.

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, consistent with the audits' objectives.
- 2.2 Analyse any instances of non-conformance, consistent 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, consistent 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 consistent 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/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 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.

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