

<b>Title</b>	<b>Conduct, analyse, and report on regulatory inspections</b>		
<b>Level</b>	<b>5</b>	<b>Credits</b>	<b>20</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>– conduct and conclude regulatory inspections;</li> <li>– analyse evidence of compliance gathered during the inspections;</li> <li>– identify possible interventions for achieving and/or improving compliance; and</li> <li>– make recommendations and/or carry out interventions based on findings of the inspections.</li> <li>– report the recommendations and/or interventions to stakeholders.</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 The term conformance may be used, if preferred, instead of compliance.
- 3 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.
- 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://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 inspections.

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## Outcomes and performance criteria

### Outcome 1

Conduct and conclude regulatory inspections.

#### Performance criteria

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

### Outcome 2

Analyse evidence of compliance gathered during the inspections.

#### Performance criteria

- 2.1 Analyse the evidence gathered during the inspections, consistent with the objectives of the inspections and in accordance with organisational requirements.
- 2.2 Analyse any instances of non-compliance in accordance with organisational requirements.
- 2.3 Identify any associated areas of risk in accordance with organisational requirements.
- 2.4 Determine findings that are, supported by facts, based on the analysis of evidence, consistent with organisational requirements.

### Outcome 3

Identify possible interventions for achieving and/or improving compliance.

#### Performance criteria

- 3.1 Identify possible interventions for achieving and/or improving compliance, consistent with organisational requirements.

Range organisational requirements may include but are 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, consistent with organisational requirements.

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, consistent 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.