

<b>Title</b>	<b>Carry out regulatory interventions</b>		
<b>Level</b>	<b>4</b>	<b>Credits</b>	<b>10</b>

<b>Purpose</b>	<p>This unit standard is for people currently employed as regulatory officers.</p> <p>People credited with this unit standard are able to carry out regulatory interventions.</p>
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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 Definition  
*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.
- 2 The Regulatory sector has a number of terms with specific usage. For current definitions visit [Programme Guidance- Skills](#).
- 3 References include but are not limited to:  
 Crimes Act 1961;  
 Criminal Disclosure Act 2008;  
 Criminal Procedure Act 2011;  
 Evidence Act 2006;  
 Health and Safety at Work Act 2015;  
 New Zealand Bill of Rights Act 1990;  
 Oranga Tamariki Act 1989;  
 Public Service Act 2020;  
 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 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.

#### 4 Range

- 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.
- Evidence of an intervention for each of three different situations, from the range of interventions within the scope of the candidate's role.

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## Outcomes and performance criteria

### Outcome 1

Carry out regulatory interventions.

Range may include but is not limited to – infringement notice, formal warning, prosecution, formal directive, education, enforcement order, communication response, negotiated actions, renewal, suspension of licence, compliance notice, settlement, injunctions and seizing, detaining property and/or persons.

### Performance criteria

- 1.1 Choose and/or recommend interventions, where the candidate has the delegated authority, consistent with regulatory model and the needs of the situation.
- 1.2 Carry out regulatory interventions in accordance with organisational requirements, regulatory model and the requirements of the situation.
- 1.3 Communicate effectively with regulated parties regarding the regulatory interventions in accordance with organisational requirements and intervention guidelines.

Range communication may include but is not limited to – non-verbal, oral, written communication, active listening, demonstrating empathy, building rapport whilst maintaining appropriate boundaries, use of questions to obtain and clarify information.

- 1.4 Record actions taken, responses of the regulated parties and results achieved at the time, in accordance with organisational requirements.

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<b>Replacement information</b>	This unit standard replaced unit standard 26922.
<b>Planned review date</b>	31 December 2026

**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	28 October 2021	N/A

**Consent and Moderation Requirements (CMR) reference**

0121

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 [reviewcomments@skills.org.nz](mailto:reviewcomments@skills.org.nz) if you wish to suggest changes to the content of this unit standard.