

<b>Title</b>	<b>Use questioning and/or other information gathering techniques for a regulatory inspection activity</b>		
<b>Level</b>	<b>5</b>	<b>Credits</b>	<b>10</b>

<b>Purpose</b>	<p>People credited with this unit standard are able to:</p> <ul style="list-style-type: none"> <li>– prepare to gather information for a regulatory inspection activity;</li> <li>– use observational skills and questioning and/or information gathering techniques for a regulatory inspection activity; and</li> <li>– conclude and record questioning and/or information gathering for a regulatory inspection activity.</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.

*Subjects* may be people and/or objects under inspection.

*TED* – Tell, Explain, Describe.
- 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:
 

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. Customs and Excise Act 2018; 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.
- All activities and evidence presented for outcomes and performance criteria must be in accordance with legal and organisational requirements.

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## Outcomes and performance criteria

### Outcome 1

Prepare to gather information for a regulatory inspection activity.

#### Performance criteria

1.1 Confirm the standards that will be examined during the regulatory inspection, including any legal elements that need to be established.

Range may include but is not limited to – scripted organisational questions, checklists.

1.2 Determine range of inspection focus for a regulatory inspection activity.

Range may include use of intelligence to determine standards or subjects for inspections.

1.3 Select subjects for a regulatory inspection activity.

Range subjects for inspection may be selected from a pool of potential subjects.

1.4 Establish a safe and secure environment to conduct information gathering for a regulatory inspection activity.

Range considerations may include but is not limited to – personal safety of others, situational awareness, noise factors, safety around hazards or risks around hazardous objects or substances, privacy, communication protocols relating to safety.

**Outcome 2**

Use observational skills and questioning and/or information gathering techniques for a regulatory inspection activity.

**Performance criteria**

2.1 Engage with those involved in the regulatory inspection activity and explain the purpose of the inspection.

Range those involved may include but are not limited to – colleagues, other departments, other agencies, regulated party or regulated parties.

2.2 Use observational skills to gather information on the person and/or object under inspection.

2.3 Use questioning and/or other information gathering techniques on the person and/or object under inspection.

Range questioning and/or other information gathering techniques may include but are not limited to – open questions, closed questions, TED questions, testing, sampling, analysing.

**Outcome 3**

Conclude and record questioning and/or information gathering for a regulatory inspection activity.

**Performance criteria**

3.1 Conclude and record questioning and/or information gathering for a regulatory inspection activity.

Range may include but is not limited to – explaining next steps to the regulated party, documentation, handover to other areas for other regulatory activities.

<b>Planned review date</b>	31 December 2026
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**Status information and last date for assessment for superseded versions**

Process	Version	Date	Last Date for Assessment
Registration	1	28 October 2021	N/A

<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>.

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### 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.