

<b>Title</b>	<b>Conduct routine regulatory investigations</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:</p> <ul style="list-style-type: none"> <li>– prepare to conduct routine regulatory investigations;</li> <li>– conduct the routine regulatory investigations;</li> <li>– evaluate the routine regulatory investigations; and</li> <li>– complete and review the routine regulatory investigations.</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 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;  
 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;  
 Trespass Act 1980;  
 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

- 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 must be from two investigations within the scope of the candidate's role and which require preparation.
- All regulatory investigations must be performed under the candidate's organisational requirements, legislative functions and powers.

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### Outcomes and performance criteria

#### Outcome 1

Prepare to conduct routine regulatory investigations.

#### Performance criteria

- 1.1 Prepare to conduct routine regulatory investigations consistent with the investigations' focus.

Range preparation includes – confirming legislative powers to investigate, specifying the purpose, objectives, identifying and allocating resources;  
may include but is not limited to – planning for desk-top analysis, field work.

#### Outcome 2

Conduct the routine regulatory investigations.

#### Performance criteria

- 2.1 Conduct the routine regulatory investigations in accordance with the investigations' focus.

Range may include but is not limited to – identifying new sources of information, adapting investigation approach, formulating questions, conducting interviews, collecting samples, checking facts, obtaining and preserving evidence, taking notes.

- 2.2 Communicate effectively with parties who are involved with the regulatory investigation.

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.

- 2.3 Practice standards of conduct and integrity required of people working in a regulatory role while conducting an investigation.

**Outcome 3**

Evaluate the routine regulatory investigations.

**Performance criteria**

3.1 Evaluate the routine regulatory investigations.

Range may include but is not limited to – evaluating information to identify evidence, culpability of persons involved, actions not yet completed, further action required.

**Outcome 4**

Complete and review the routine regulatory investigations.

**Performance criteria**

4.1 Complete the routine regulatory investigations.

Range excludes judicial proceedings.

4.2 Produce documentation relating to the regulatory investigations.

4.3 Review regulatory investigations to identify opportunities for improved future practice.

<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	18 February 2016	31 December 2023
Review	2	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>.

**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.