

Title	Plan, manage and lead complex regulatory investigations		
Level	6	Credits	40

Purpose	<p>This unit standard is for people currently employed as regulatory investigators.</p> <p>People credited with this unit standard are able to:</p> <ul style="list-style-type: none"> – plan complex regulatory investigations; and – manage and lead complex regulatory investigations.
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Classification	Public Sector Compliance > Public Sector Compliance Investigations
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Available grade	Achieved
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Guidance Information

1 Definitions

Complex regulatory investigations refer to high potential risk, consequences, or liability; high public interest; complex or multiple legal or jurisdictional aspects; multiple or hidden entities; complex relationships; unclear circumstances; uncooperative subjects; or that are protracted, requiring management of risks relating to lengthy investigations.

Ethical requirements refer to ethical principles of investigative interviewing, code or codes of conduct applicable to an organisation.

Legal requirements refer to relevant powers, laws, statutes, rules, regulations, ordinances, and injunctions of Government Authorities.

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;
 Local Government Official Information and Meetings Act 1987;
 New Zealand Bill of Rights Act 1990; Official Information Act 1982;
 Oranga Tamariki Act 1989;
 Privacy 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 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 or 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://publicservice.govt.nz>) and/or any other agency specific code or codes of conduct and/or ethics.
- Evidence may be presented from one or more complex investigations.
- Demonstration of knowledge and skills must be in accordance with ethical, legal organisational requirements, and steps taken to assure the health and safety of regulatory staff and others who may be impacted is appropriately considered.
- All activities and evidence presented for Outcome 2 and performance criteria must be demonstrated in accordance with investigation plan/s. The investigation/s plan may be original or/as modified.

Outcomes and performance criteria

Outcome 1

Plan complex regulatory investigations.

Performance criteria

1.1 Develop plans for the investigation/s.

Range includes – assessing all existing information to identify the investigation purposes, planning information management protocols;
 plans may include but are not limited to – purpose, objectives, process for case management, risk analysis, communication strategy, intelligence, sequencing, resource allocation, contingencies, reporting progress, monitoring, review.

Outcome 2

Manage and lead complex regulatory investigations.

Performance criteria

2.1 Access, prepare, and manage resources in accordance with the purpose, objectives, and priorities of the investigation/s.

Range resources may include but are not limited to – human, outside expertise, partner organisations, physical, financial;
 preparation may include – briefing personnel.

- 2.2 Conduct and manage the initial phases of the investigation/s.
- Range includes – commencing the investigation/s, researching and incorporating existing intelligence and/or other information into the investigation file/s, conducting preliminary enquiries.
- 2.3 Conduct and manage the field phase/s of the investigation/s.
- Range includes – gathering and recording information in accordance with powers and the needs of the investigation/s; assessing all information obtained throughout the conduct of the investigation/s to determine relevance, reliability, and any evidence gaps; documenting information; controlling evidence from obtained information, and processing and securing documents and/or exhibits;
may include – general enquiries.
- 2.4 Review progress against the investigation plan/s throughout the investigation/s, continually evaluating progress against the aims and objectives of the investigation/s.
- Range includes – carrying out the progress monitoring specified in the investigation plan/s.
- 2.5 Communicate and modify operational direction, as required, and implement new operational directions in response to changed circumstances.
- Range includes – justifying any adjustments to the operational direction of the investigation/s in terms of meeting the investigation aims and objectives, conducting briefings and debriefings of all relevant personnel to ensure the sharing of information in accordance with needs of the investigation/s.
- 2.6 Ensure that information is documented and managed in accordance with information management protocols.
- 2.7 Ensure information is analysed in terms of its value to other parties in the regulatory environment and, as applicable, disseminated.
- 2.8 Finalise the investigation/s.
- Range includes – determining liability for suspects in terms of legislation and elements related to offences; making decisions and/or recommendations regarding the investigation outcomes in accordance with the organisation's enforcement criteria; forwarding decisions and/or recommendations to the relevant authorities for consideration and/or initiating any necessary enforcement actions; advising all persons relevant to the conduct of the investigation/s of investigation outcomes, producing and filing investigation documentation in the required format; updating case management systems to reflect the status of the investigation/s;

may include – returning, disposing of, and/or retaining investigation documentation and/or exhibits;
post-investigation procedures exclude court process.

- 2.9 Review and evaluate the investigation/s, identifying opportunities for improved future practice.

Replacement information	This unit standard replaced unit standard 26925, and unit standard 26926.
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Planned review date	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

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 reviewcomments@skills.org.nz if you wish to suggest changes to the content of this unit standard.