

Title	Plan and prepare for an investigation for compliance and/or enforcement		
Level	5	Credits	4

Purpose	This unit standard is for people who work, or intend to work as compliance inspectors, investigating officers, or enforcement officers. People credited with this unit standard are able to: develop objectives for the investigation for compliance and/or enforcement; review background before commencing the investigation; prepare a plan for the investigation; and obtain consent for release of resources required.
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Classification	Compliance and Law Enforcement > Compliance and Regulatory Control
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Available grade	Achieved
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Guidance Information

- 1 Assessment will be in relation to those laws, regulations, bylaws, activities, procedures, and policies defined by the compliance and/or regulatory organisation relevant to the performance context.
- 2 *Organisational requirements* refer to instructions to staff on policy and procedures which are documented in memo or manual format and are available in the workplace. These include the application of legislation.

Outcomes and performance criteria

Outcome 1

Develop objectives for the investigation for compliance and/or enforcement.

Performance criteria

- 1.1 Investigation objectives are completed and meet criteria for approval by a person authorised to do so in accordance with organisational requirements.
- 1.2 Investigation objectives are based on legislative requirements and are consistent with organisational requirements.
- 1.3 Objectives are described in terms of results to be achieved.

Outcome 2

Review background before commencing the investigation.

Performance criteria

- 2.1 Information is gathered from preliminary investigation and existing material in relation to the situation to be investigated.
- 2.2 Further background information is gathered through interview of officer or officers involved in preliminary investigation and/or person or persons raising the compliance and/or enforcement matter.
- 2.3 Background is described or summarised in terms of those aspects relevant to the planned investigation.

Outcome 3

Prepare a plan for the investigation.

Performance criteria

- 3.1 Key elements of offence are identified.
- 3.2 Investigation objectives are stated.
- 3.3 People to be contacted during investigation are identified.
- 3.4 Key steps in investigation are identified.
- 3.5 Timetable for investigation is included.

Outcome 4

Obtain consent for release of resources required.

Range includes but is not limited to – specialist assistance, equipment.

Performance criteria

- 4.1 Resources are identified.
- 4.2 Consent of resource controller to release resources is obtained in accordance with organisational requirements.

This unit standard is expiring. Assessment against the standard must take place by the last date for assessment set out below.

Status information and last date for assessment for superseded versions

Process	Version	Date	Last Date for Assessment
Registration	1	27 April 1995	31 December 2023
Revision	2	25 November 1997	31 December 2023
Revision	3	17 July 2002	31 December 2023
Revision	4	19 May 2004	31 December 2023
Review	5	25 July 2007	31 December 2023
Review	6	23 May 2019	31 December 2023

Consent and Moderation Requirements (CMR) reference

0046

This CMR can be accessed at <http://www.nzqa.govt.nz/framework/search/index.do>.