

<b>Title</b>	<b>Conduct an investigation for compliance and/or enforcement</b>		
<b>Level</b>	<b>5</b>	<b>Credits</b>	<b>5</b>

<b>Purpose</b>	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: identify sources of information and likely information to be collected from them; collect evidence; and observe an environment and/or suspects.
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<b>Classification</b>	Compliance and Law Enforcement > Compliance and Regulatory Control
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<b>Available grade</b>	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 Evidence to be collected may include but is not limited to – physical, forensic, documentary, photographic.
- 3 *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

Identify sources of information and likely information to be collected from them.

#### Performance criteria

- 1.1 Evidentiary experts are identified.
- 1.2 Witnesses are identified.
- 1.3 Other compliance officers involved are identified.
- 1.4 Other sources of information are identified.

- 1.5 Information, including corroborating evidence where applicable, likely to be collected from each source is identified.

## **Outcome 2**

Collect evidence.

### **Performance criteria**

- 2.1 Evidence required to substantiate possible charges is identified.
- 2.2 Available evidence is legally collected, documented, and stored.
- 2.3 Divisions of the evidence are identified.
- 2.4 Evidence is relevant and admissible.
- 2.5 Evidence collected is prepared and presented in accordance with organisational requirements.

## **Outcome 3**

Observe an environment and/or suspects.

### **Performance criteria**

- 3.1 Any suspects are identified.
- 3.2 Type of surveillance is identified.
- 3.3 Surveillance points are identified.
- 3.4 Communication with other participants is in accordance with organisational requirements.
- 3.5 Observation equipment, where used, is operated in accordance with operating instructions.
- 3.6 Observations are recorded in accordance with organisational requirements.
- 3.7 Complete records are made in accordance with organisational requirements.

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**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>.