Title	**Demonstrate and apply core knowledge of managing information, records, and evidence in a regulatory environment**		
Level	3	**Credits**	2

Purpose	People credited with this unit standard are able to: – describe managing information and records in a regulatory environment; and – describe and apply core knowledge of managing evidence in a regulatory environment.

Classification	Public Sector Compliance > Public Sector Compliance Operations

Available grade	Achieved

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:
Criminal Disclosure Act 2008;
Criminal Procedure Act 2011;
Evidence Act 2006;
Local Government Official Information and Meetings Act 1987;
Official Information Act 1982;
Privacy Act 2020;
Public Records Act 2005;
Te Tiriti o Waitangi/The Treaty of Waitangi;
Specific legislation mandating the powers and duties of a specific organisation with respect to its regulatory compliance role and/or any other legislation applicable to a particular regulatory compliance situation (e.g. Fisheries Act 1996, Resource Management Act 1991;
and all 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.
    –   Demonstration of knowledge and skills must come from a regulatory organisation which may be the candidate's employer or may come from a case study using simulated scenarios.

Outcomes and performance criteria

Outcome 1

Describe managing information and records in a regulatory environment.

Performance criteria

1.1   Describe types of information and records a regulator keeps, and their purposes in carrying out regulatory activities.

      Range   may include but is not limited to – notebooks, file notes, job sheets, correspondence, risk profiles, audit check sheets, audit reports, financial records, analysis results, sampling data.

1.2   Describe a regulator's statutory obligations when managing information and records.

      Range   obligations must include – requests for information, grounds for withholding information, retention, disposal.

Outcome 2

Describe and apply core knowledge of managing evidence in a regulatory environment.

Performance criteria

2.1   Describe and apply knowledge of evidence management in terms of chain of evidence processes and requirements which assure the integrity, admissibility, and probative value of the evidence.

      Range   must include – obtaining, securing, identifying, record-keeping, storage and access, presentation, disposal destruction.

Planned review date	31 December 2026

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

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.