

Title	Demonstrate knowledge of and evaluate management of file documentation for complex regulatory investigations		
Level	6	Credits	3

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"> – demonstrate knowledge of managing investigations file documentation for complex regulatory investigations; and – explain and evaluate a process used in a regulatory organisation for managing investigations file documentation for 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.

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;
 District Courts Amendment Act 2011;
 Evidence Act 2006;
 Judicature Act 1908;
 Local Government Official Information and Meetings Act 1987;
 New Zealand Bill of Rights Act 1990;
 Official Information Act 1982;
 Privacy Act 2020;

Public Records Act 2005;
 Te Tiriti o Waitangi/The Treaty of Waitangi;
 Victims' Rights Act 2002;
 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.

Outcomes and performance criteria

Outcome 1

Demonstrate knowledge of managing investigations file documentation for complex regulatory investigations.

Performance criteria

1.1 Explain types of records an organisation keeps for investigation files for complex regulatory investigations.

Range may include but is not limited to – planning, job sheets, correspondence, file notes, statements, reports, graphics, legal advice, allegations.

1.2 Explain good practice, and considerations in relation to managing investigations file documentation for complex regulatory investigations.

Range includes but is not limited to – classification of information, sequencing and organisation of content, completeness of information, maintaining file integrity.

1.3 Explain statutory obligations and considerations in relation to managing investigations file documentation for complex regulatory investigations.

Range requests for information, storage, disposal, destruction.

Outcome 2

Explain and evaluate a process used in a regulatory organisation for managing investigations file documentation for complex regulatory investigations.

Performance criteria

- 2.1 Explain and evaluate a process used in a regulatory organisation for managing investigations file documentation for complex regulatory investigations in accordance with statutory and organisational requirements.

Range process may include but is not limited to – an electronic file management system for recording of information, tracking of information, collation of information, and retrievability of information.

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.