

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

Purpose	<p>People credited with this unit standard are able to:</p> <ul style="list-style-type: none"> – demonstrate core knowledge of managing information and records in a regulatory environment; – demonstrate core knowledge of managing evidence in a regulatory environment; and – apply core knowledge of information and records management processes used to manage information, evidence and records in a regulatory environment.
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Classification	Public Sector Compliance > Public Sector Compliance Operations
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Available grade	Achieved
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Guidance Information

- 1 Definitions

Organisational requirements refer to instructions to staff on policies, procedures, and methodologies which are documented and are available in the workplace. The Regulatory sector has a number of terms with specific usage. For current definitions visit [Programme Guidance- Skills](#).
- 2 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;
 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.
- 3 Range

a 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.

b 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.

Outcomes and performance criteria

Outcome 1

Demonstrate core knowledge of 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 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

Demonstrate core knowledge of managing evidence in a regulatory environment.

Performance criteria

- 2.1 Describe 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.

Outcome 3

Apply core knowledge of information and records management processes used to manage information, evidence and records in a regulatory environment.

Performance criteria

- 3.1 Apply knowledge of information and records management processes to manage and protect information, evidence and records in accordance with and organisational requirements.

Commented [SC1]: How does one follow the information and records management standards under Public Records Act? The standard supports the systematic and efficient management of government information and records, outlining the obligations of regulated organisations under the Public Records Act. This would also work in conjunction with US 19906 which is not a Skills standard but is all theory.

Planned review date	31 December 2025
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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	
Review	2		

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

DRAFT