

Title	Demonstrate knowledge of and evaluate a process on managing investigations file documentation for complex regulatory investigations		
Level	6	Credits	3

Commented [SC1]: This US is more than DKO. There is an evaluation component that I think needs to be in the title and its own outcome.
IE: DKO and evaluate a process for managing file documentation for complex regulatory investigations.

Purpose	<p>This unit standard is for people currently employed as regulatory investigators.</p> <p>People credited with this unit standard are able to demonstrate knowledge of managing investigations file documentation for complex regulatory investigations.</p>
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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

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.

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;
 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;
 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.
- 3 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.
- 1.4 Explain and evaluate a process used in a regulatory organisation for managing investigations file documentation for complex regulatory investigations, consistent with statutory and organisational requirements.

Commented [SC2]: Suggest to make own Outcome.

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	31 December 2023
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.