

<b>Title</b>	<b>Demonstrate and apply core knowledge of regulatory concepts and regulatory models</b>		
<b>Level</b>	<b>3</b>	<b>Credits</b>	<b>8</b>

<b>Purpose</b>	<p>People credited with this unit standard are able to:</p> <ul style="list-style-type: none"> <li>– demonstrate knowledge of regulatory concepts applied by regulators;</li> <li>– demonstrate knowledge of a regulatory model currently used in a regulatory environment;</li> <li>– describe regulatory tools used to achieve regulatory outcomes, and when they are applied to achieve desired regulatory outcomes; and</li> <li>– apply core knowledge of a regulatory model currently used in a regulatory environment.</li> </ul>
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<b>Classification</b>	Public Sector Compliance > Public Sector Compliance Operations
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<b>Available grade</b>	Achieved
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### 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 and for sources of regulatory concepts visit [Programme Guidance - Skills](#).

3 References include but are not limited to:

Health and Safety at Work Act 2015;

Local Government Official Information and Meetings Act 1987;

Official Information Act 1982;

Privacy Act 2020;

Te Tiriti o Waitangi/Treaty of Waitangi;

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 such as the 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://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.

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## Outcomes and performance criteria

### Outcome 1

Demonstrate knowledge of regulatory concepts applied by regulators.

Range may include but is not limited to – responsive, risk-based, really responsive; two regulatory concepts are required.

#### Performance criteria

- 1.1 Identify the source of each regulatory concept.
- 1.2 Describe key aspects of each regulatory concept in accordance with the published works of the sources and/or their derivatives.

### Outcome 2

Demonstrate knowledge of a regulatory model currently used in a regulatory environment.

#### Performance criteria

- 2.1 Specify and describe the regulatory functions of an organisation currently using the regulatory model.
- 2.2 Describe the environment that the organisation's regulatory model is applied in.  
Range environment may include but is not limited to – physical, social, economic, political, geographical.
- 2.3 Define and describe how the regulatory model is applied by the organisation.

### Outcome 3

Describe regulatory tools used to achieve regulatory outcomes, and when they are applied to achieve desired regulatory outcomes.

Range regulatory tools may include but are not limited to – education, prosecution, legal notices, formal warning, compliance check.

**Performance criteria**

- 3.1 Describe four regulatory tools used by regulatory organisations.
- 3.2 Describe when to apply regulatory tools to achieve desired regulatory outcomes.

**Outcome 4**

Apply core knowledge of a regulatory model currently used in a regulatory environment.

Range two different examples of applying a regulatory model.

**Performance criteria**

- 4.1 Identify situations in which the regulatory model can be applied to support regulatory decision-making and/or action.
- 4.2 Apply the regulatory model to support regulatory decision-making and/or action in accordance with organisational requirements.

Range situations identified in performance criterion 4.1.

<b>Replacement information</b>	This unit standard replaced unit standard 26898.
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<b>Planned review date</b>	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

<b>Consent and Moderation Requirements (CMR) reference</b>	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](mailto:reviewcomments@skills.org.nz) if you wish to suggest changes to the content of this unit standard.