

Title	Demonstrate operational knowledge of interventions used to achieve regulatory outcomes		
Level	4	Credits	8

Purpose	<p>People credited with this unit standard are able to:</p> <ul style="list-style-type: none"> – demonstrate knowledge of a regulatory model used by a New Zealand regulator in an operational regulatory context; – demonstrate operational knowledge of interventions used to achieve regulatory outcomes; and – demonstrate operational knowledge of sanctioning used 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 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 Procedure Act 2011;
 Evidence Act 2006;
 Legislative instruments (previously known as deemed legislation or subordinate legislation);
 New Zealand Bill of Rights Act 1990;
 Summary Proceedings Act 1957;
 Te Tiriti o Waitangi/The 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 (e.g. Fisheries Act 1996, Resource Management Act 1991);
 and any subsequent amendments or 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.

Outcomes and performance criteria

Outcome 1

Demonstrate knowledge of a regulatory model used by a New Zealand regulator in an operational regulatory context.

Performance criteria

- 1.1 Specify a regulatory model and an organisation currently using the regulatory model.
- 1.2 Describe the environment that the organisation's regulatory role is carried out in.
- Range environment may include but is not limited to – physical, social, economic, political, geographical.
- 1.3 Define and describe key aspects of the regulatory model in accordance with organisational requirements.
- Range includes any decision-making tools available to operational staff.
- 1.4 Describe the intended outcomes of the model in relation to the organisation's regulatory role, in accordance with organisational requirements.

Outcome 2

Demonstrate operational knowledge of interventions used to achieve regulatory outcomes.

Performance criteria

- 2.1 Describe interventions in terms of their relationship to at least one regulatory concept and/or model.
- 2.2 Describe interventions in terms of how they may be applied and their potential effectiveness in order to achieve regulatory outcomes.

- 2.3 Explain decision-making criteria used for selecting interventions in terms of factors that influence their selection, in accordance with organisational requirements.

Range factors may include but are not limited to – appropriateness to the circumstances; size and type of risk; political, social, and/or economic environment; attitude of compliance subject; the public interest; consistency of approach in similar circumstances; effectiveness; efficiency; organisational resources; organisational requirements including any enforcement criteria and/or policy.

Outcome 3

Demonstrate operational knowledge of sanctioning used in a regulatory environment.

Performance criteria

- 3.1 Describe sanctions in terms of their use in a regulatory environment in accordance with organisational requirements.

Range may include but is not limited to – infringement notice, formal warning, formal directive, enforcement order, compliance notice, settlement, suspension or removal of a licence, prosecution, civil action, seizure and forfeiture of property.

- 3.2 Explain good practice selection and application of sanctions as regulatory tools in accordance with organisational requirements.

Range includes – graduated range of options, proportionate application, strategic use of sanctioning; may also include but is not limited to – use of discretion.

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.