

Title	Demonstrate and apply core knowledge of regulatory concepts and regulatory models		
Level	3	Credits	8

Purpose	People credited with this unit standard are able to: <ul style="list-style-type: none"> – describe regulatory concepts applied by regulators; – describe a regulatory model currently used in a regulatory environment; – demonstrate core knowledge of regulatory tools used to achieve regulatory outcomes, and how they are applied; – apply core knowledge of a regulatory model currently 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 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 For sources of regulatory concepts visit [Programme Guidance - Skills](#)
- 3 References include but are not limited to:
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).
- 4 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://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

Describe 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

Describe 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

Demonstrate core knowledge of regulatory tools used to achieve regulatory outcomes, and how they are applied.

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 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.
- 4.2 Apply the regulatory model to contribute to regulatory outcomes in accordance with organisational requirements.

Commented [SC1]: what are we applying the model to or to do? Please check this P.C.

Replacement information	This unit standard replaced unit standard 26898
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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.