

Title	Demonstrate operational knowledge of using interventions 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"> – describe a regulatory model used by a New Zealand regulator in an operational regulatory context; – demonstrate knowledge of interventions used to achieve regulatory outcomes; and – demonstrate 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 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 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.

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 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 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.