
MANAGER/LEARNER SUPPORT GUIDE

Government Regulatory
Compliance Qualifications

Core Knowledge



Thank you for your support

Central and local government regulators play a crucial role in delivering outcomes that contribute to the welfare of New Zealanders in important areas such as safety, health, the environment and consumer protection.

The Government Regulatory Practice Initiative (G-REG) aims to improve the performance of regulators through sharing knowledge and experience of best regulatory practices.

It does this in two main ways:

- The development and rollout across central and local government of NZQA-approved regulatory practice qualifications. These not only build capability, but also help create a professional community of regulators.
- Creating forums such as the G-REG annual conferences where regulatory agencies can discuss the challenges of regulating and how they can be addressed.

In the forthcoming year G-REG will broaden and deepen its activities. This includes supporting the establishment of a Professor of Regulatory Practice at the Victoria University of Wellington. G-REG is pleased to acknowledge Dr Jeroen van der Heijden to this role and looks forward to working with him.

G-REG reflects the combined effort of many people from across central and local government, and I would like to thank them for their contribution.

Chair of G-REG | Sanjai Raj

What this guide includes

To achieve positive outcomes and influence complex modern systems requires regulators working closer together than ever.

In this guide you will find information to help you understand the G-REG Initiative behind the qualifications, and explain it to others, as well as guidance on how to take individuals through the Government Regulatory Compliance Qualifications.

If you have any questions in relation to the information in this guide, refer to the contacts provided on the last page.

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The Government Regulatory Practice Initiative (G-REG)

The importance of an effective and efficient regulatory environment in achieving high quality social, economic and environmental outcomes is well understood. Since 2008 central and local government regulators have been working together towards the professionalisation of the regulatory workforce. This work received significant support in the Productivity Commission's report on '*Regulatory Institutions and Practices*', released in June 2014.

The report noted that with between 10,000 and 14,000 people working in regulatory roles in New Zealand, there was an opportunity to build a work force with:

- a shared world view about the role and purpose of their profession,
- a core set of theoretical, practical and contextual knowledge, and a professional language
- a culture that instils a sense of belonging to the regulatory profession.

To recognise these opportunities and building on the work done previously, the chief executives of more than 20 regulatory agencies formed the Government Regulatory Practice Initiative (G-REG).

G-REG is focused on developing:

Organisational capability

by sharing best practice and developing guidance for regulators

People capability

by providing learning opportunities which are open to all regulators

A professional community of regulators

by creating an environment which encourages an identity



Skills - supporting your development



For 25 years, Skills has been supporting workplace development across New Zealand. We work closely with the Government to achieve this, and saw the huge impact the G-REG initiative would have on the regulatory sector.

We became a partner with the initiative, and are responsible for using our collective expertise to create a suite of new qualifications. These are then supported by effective learning and assessment resources for the sector.

We have been consulting closely with over 20 local and central Government agencies in order to do this, and working hard to understand the regulatory sector and refine the resources.

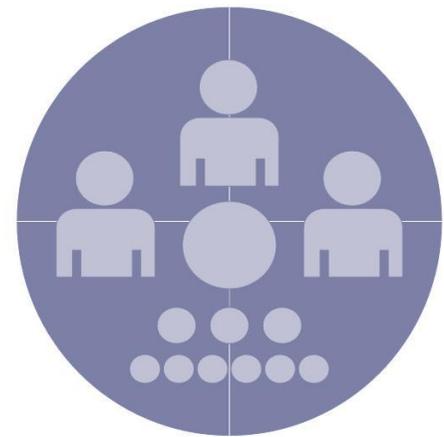
At Skills we are extremely proud of the results – a collection of five qualifications specifically focussed on regulatory practice. This has never been done before in the regulatory sector. We have seized an opportunity to break new ground and created a world-first.

We hope these qualifications will do much to create a community of like-minded practitioners, who share a common understanding and common language.

Garry Fissenden, CEO of Skills

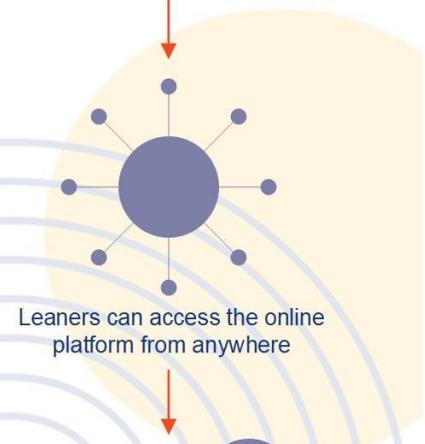


Working through a G-REG qualification



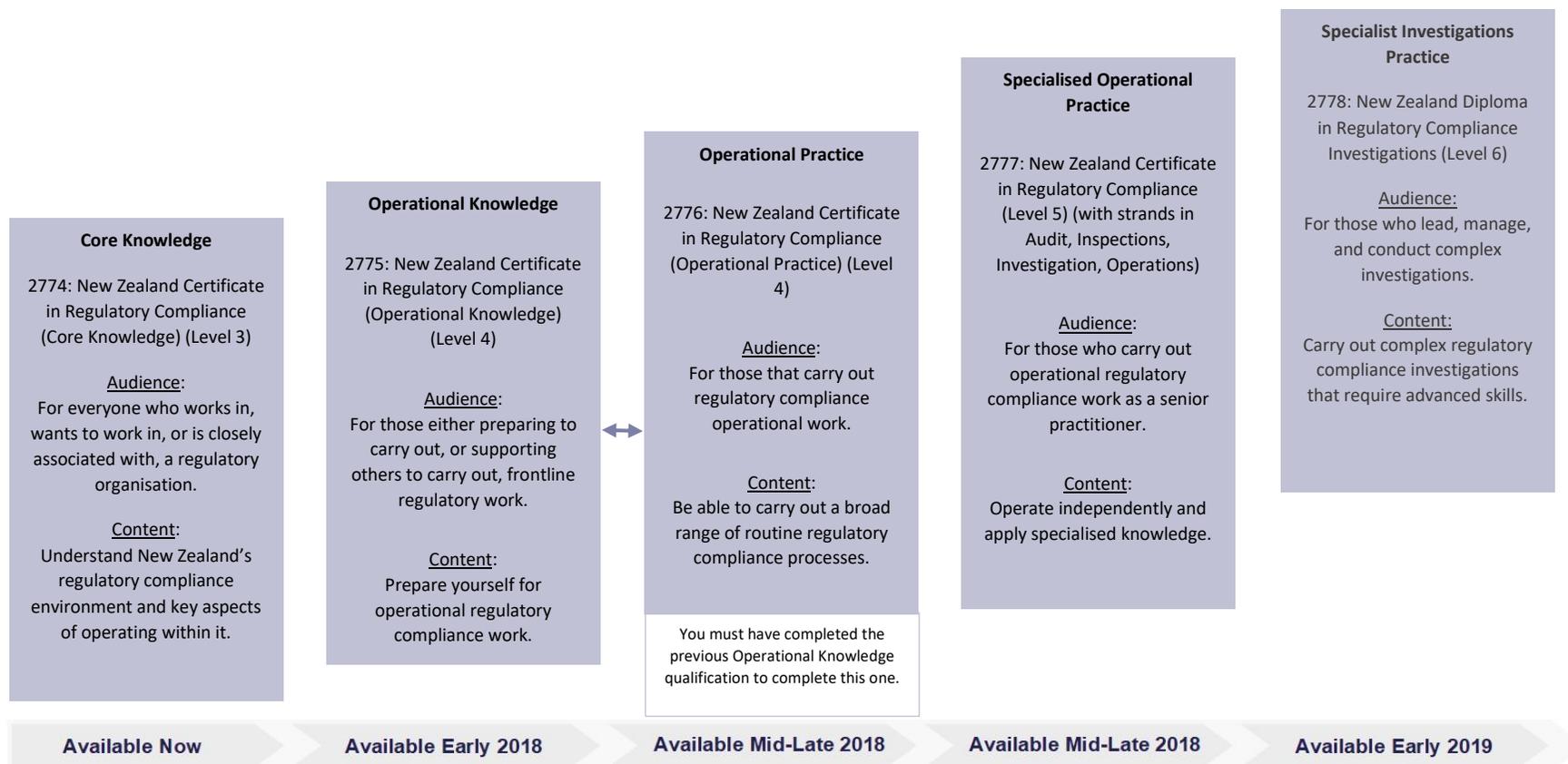
Your organisation becomes part of a network established by the G-REG initiative

Graduates share a common language and understanding with this network



G-REG and the qualification pathway

The following shows an overview of the suite of five G-REG qualifications. More information on the qualifications currently available can be found on subsequent pages of this guide, or by visiting skills.org.nz/g-reg



The New Zealand Certificate in Regulatory Compliance (Core Knowledge) (Level 3)

This qualification provides a basis of knowledge and understanding in a new era of regulatory practice in New Zealand, and has been completed by frontline staff as well as CEOs, Board members and heads of departments.

The six modules the learner(s) work through are:



New Zealand's Regulatory System

Learning objectives:

- Describe the purpose and intended outcomes of regulatory compliance.
- Provide an overview of New Zealand's regulatory system.
- Explain the role of at least one regulatory organisation and its purpose.
- Describe how a regulatory organisation has applied the principles of Te Tiriti o Waitangi/The Treaty of Waitangi in its regulatory practice.



Regulatory Concepts and Models

Learning objectives:

- Identify the key aspects of the regulatory concepts.
- Describe the key aspects of a regulatory model currently used by a New Zealand regulatory organisation.
- Describe at least four ways of achieving compliance using a regulatory concept or model.
- Explain how an organisation's regulatory model can be applied.



Core Knowledge of the Law

Learning objectives:

- Identify the branches of government and describe their roles.
- Summarise how legislation is created.
- Illustrate how to navigate and refer to an Act.
- Define the hierarchy of courts, common law and precedent.
- Explain natural justice, and state the principles contained in the hearing rule, the bias rule and the evidence rule.



Regulatory Compliance Activities

Learning objectives:

- Describe different regulatory compliance activities.
- Describe the purpose of different regulatory compliance activities.
- Describe the behaviours expected of a regulator carrying out compliance activities.



Managing Information

Learning objectives:

- Describe the Public Records Act 2005.
- Describe the Official Information Act 1982.
- Describe the Privacy Act 1993.
- Describe the professional conduct required of a regulator, including integrity and conduct, media awareness, political sensitivity and the ability to identify the potential impact of a person's own values and/or activity on one's role as a regulator.
- Identify what you need to consider as a regulator when interacting with regulated parties, internal colleagues, partner agencies and interest groups.



Professional Conduct, Communication and Interaction

Learning objectives:

- Describe professional conduct including standards of integrity and conduct', the importance of media awareness and political sensitivity, and potential impacts of values and certain behaviours on the effectiveness of a compliance practitioner.
- Describe communicating including associated protocols, and the risks and values of communicating for regulators.
- Explain interacting with others including regulated entities, colleagues and interest groups

Length



Each module is estimated to take 90 minutes to complete, but this can vary from person to person.

Modules are released one per month and when the learner first logs in they will only see the first module. The monthly pace is set in order to give organisations the opportunity to lead the learner through the learning resources, and to give the learner time to complete it around other work. For more on how to guide the learner through the resources, see the section 'How to tailor the content' on the next page.

The expectation is that this qualification will take six months to complete – one module per month.



How to tailor the content

The content makes use of central and local government examples, and broad examples of the knowledge required for a role in regulatory compliance. It leads to a common understanding and common language, and helps answer the 'why' behind the daily decisions of practitioners.

It is strongly recommended that all those putting a learner, or learners, through the Core Knowledge qualification take some time to create context during the period of working through the modules. This is so that the broader examples used can be understood in the learner's own environment. There are two ways to do this.

Option 1:

The first option is to create context that wraps around the online learning material. This could involve workshops, additional learning material, email updates, or otherwise. It can be provided periodically throughout the course. As modules are released one per month, one piece of support can be timed to coincide with this release.

Consider the following examples for each of the six modules for Core Knowledge:

New Zealand's Regulatory System

- Ask employees to explain the purpose of your organisation within the regulatory system.

Regulatory Concepts and Models

- Are there particular concepts or models that your organisation uses repeatedly? Can these be presented as an example to the learner(s)?

Core Knowledge of the Law

- Take the legislation that drives your organisation as an example, and ask the learner(s) to identify the structural components of that legislation, and how to refer to it in practice in their role.
- Have there been significant judicial reviews affecting your agency and regulators in the past that could be explained?

Regulatory Compliance Activities

- Look at the overriding purpose of regulatory activities at your organisation (or a few key purposes) and talk these through with learners, explaining the impact on the way things are carried out.

Managing Information

- Have there been referrals to the office of the ombudsman to access information which have been declined by your organisation? If so, why?

Professional Conduct, Communication and Interaction

- Are there any communication protocols that are particular to your organisation that can be explained to learners?

- What are the more prominent organisations that you interact with, and what should be kept in mind when interacting with them?

Option 2:

A learning support person could meet with the learner(s) before and after the qualification material has been worked through to discuss the content and provide context.

Questions to consider:

1. How confident are you in your knowledge of the regulatory sector?
2. Do you have a strong understanding of the 'why' behind your decisions as a regulator?
3. Do you know your position in the regulatory sector, and understand the relevance of your role?
4. Can you provide an example of a situation in which you would need to make a decision that is informed by regulatory knowledge? How would you handle this situation?

***Skills can further discuss and advise on how to create context:
regcomp@skills.org.nz***



The G-REG online Learning Management System (G-REG LMS)

Access for you and your teams

Some of the qualifications are offered through the G-REG online Learning Management System (G-REG LMS). The online system can be accessed at any time and from any location.

NOTE: We strongly recommend using Google Chrome as the preferred browser for the G-REG LMS.

Initial enrolment information will be submitted to Skills by your organisation via an enrolment spreadsheet. Please ensure this sheet is completed as thoroughly as possible with the correct spelling of people's names, their date of birth, and manager and learner support person details.

Once we have this your learner(s) will be enrolled on the G-REG LMS. They will receive an email with a link to the G-REG LMS and a username and password to access the site. Following this link will take them to their login for the first time, where they will be prompted to change their password to something they will remember. If they forget their password at any time, visit this page and click the **'forgotten password'** link. It's worthwhile saving this login page as a favourite in their internet browser or bookmarking the page.

They will be taken to their profile page where they must complete their registration details. Skills needs this completed in order to enrol them in the NZQA qualification. Some of the information is optional but they won't be able to access their dashboard without confirming they have completed this and acknowledged the Privacy Policy for the site.

Your profile contains:

- **Contact details**
- **Basic personal information**
- **Birth certificate no. / Passport no.**

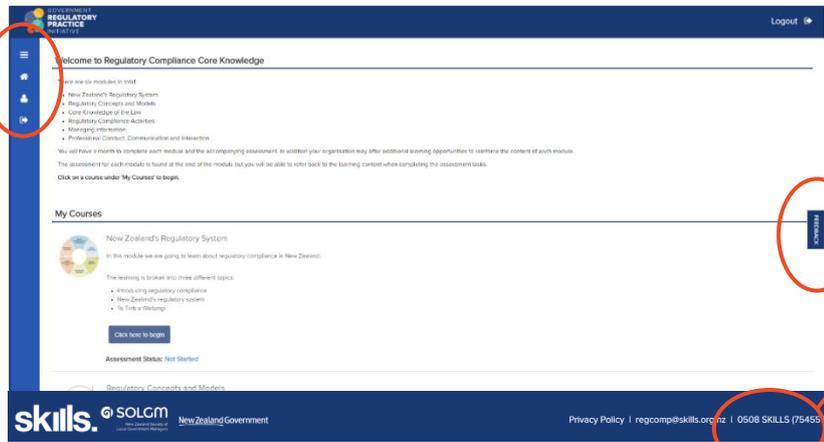
The login page – here learners can login and reset their password by clicking the 'forgotten password' link.

The screenshot shows the login interface for the G-REG LMS. On the left, there is a dark blue background with the 'GOVERNMENT REGULATORY PRACTICE INITIATIVE' logo at the top, the 'skills.' logo in the center, and logos for 'New Zealand Government' and 'SOLGM' at the bottom. On the right, the login form is white and contains the following elements: a 'Log In' heading, a 'Username' input field with a small 'i' icon, a 'Password' input field with a small 'i' icon, a 'Remember username' checkbox, a blue 'Log In' button, a red link for 'Forgotten your username or password?', and a note that 'Cookies must be enabled in your browser' with a help icon.

On the next page is the main dashboard showing the courses the learner is enrolled onto.

The left vertical main menu in blue is used to navigate between sections, and to find contact details for managers in the profile section.

The feedback tab is available on the right of every page for learners to give feedback at any time.



The Skills contact details are available in the footer of every page. Scroll to the bottom to find them.



Assessment

Each module has an accompanying assessment. Once the learner has read through all slides of a module, the assessment will become available in their dashboard. It opens in a separate window on their computer.

Assessments are open-book style, meaning the learner can refer to the learning module at any time while completing each one.

You can switch between the learning content and the assessment by using pressing ALT-TAB on your computer.

Learners need to achieve 100% to pass each module. If a learner does not achieve this, they will have up to three chances to re-attempt.

How it works:



Learner

After the second unsuccessful attempt the learner is temporarily locked out of the assessment. They must wait until their assigned learning support person (or in some cases, this will be their manager) releases the assessment back to them using a link.



Learning Support Person

The learner's assigned learning support person, or manager, is sent a copy of the transcript, and can choose to discuss this with the learner until they are satisfied they are able to re-attempt. They can then release a link to the learner to unlock the third attempt.



Manager

The learner's manager is also sent a copy of the transcript for reference.

NB: The assigned learning support person (or manager) can release the link straight away, but a discussion reduces the possibility of the learner getting the question wrong again.

If the learner's third attempt is unsuccessful the assessment is completed manually by Skills. You will contact Skills to arrange this.

The outcomes for you and your teams



Achieve a new standard in regulatory practice, part of a wider movement across New Zealand.



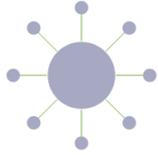
Equip teams with the necessary skills to make judgements in a regulatory environment, and better understand the context behind these judgements.



Organisations will become part of a network of regulatory practitioners, and elevate the industry.



Employees are offered a pathway to a career in regulatory practice.



Resources

The qualifications are not the only way to engage with the G-REG community.

As a leader investing in this sector, make sure to subscribe and regularly check our channels to keep up to date with G-REG, where you will find learning opportunities, interesting job positions, thought leadership, and the latest regulatory news from across government.

LinkedIn page

This page has been launched by the team at the Initiative to provide a more public face for our work. Here we share anything and everything relevant to developments for G-REG. By sharing the LinkedIn page with your learner(s) they can keep up to date with developments in the sector.

<https://www.linkedin.com/company/government-regulatory-practice-initiative/>

Public Sector Intranet (PSI)

The PSI site offers news, information and updates on the Government Regulatory Practice Initiative (G-REG). Go to the below section of the site for all of this, and to hear about when future qualifications are launched. By sharing these updates with your team you can keep them informed of the community they are a part of, and read about other qualifications to potentially enrol staff onto.

<https://www.psi.govt.nz/home/communities/government-regulatory-practice-initiative/>

Now, through this network across government, the Public Sector Intranet, and the recently launched LinkedIn page, G-REG is taking a leadership role, and turning the vision laid out by the Productivity Commission and endorsed by the State Services Commission into a reality.

Frequently Asked Questions

1. What is the G-REG initiative?

The Government Regulatory Practice Initiative (G-REG) is a network of central and local government regulatory agencies established to lead and contribute to regulatory practice initiatives. G-REG aims to bring together the regulatory workforce, by working on actions to improve leadership, culture, regulatory practice and workforce capability in organisations and systems.

2. How did the G-REG initiative come about?

In 2008, central and local government regulators began working to improve the professionalisation of regulatory practice in New Zealand. In 2014, the Productivity Commission released its report 'Regulatory Institutions and Practices'. Many of the issues identified by the Commission had a regulatory practice component. The Commission acknowledged the work already underway and made a set of recommendations designed to build on that work. The government then released its response to the report in 2015.

There were four areas of response which were: stronger ownership and leadership from the centre, greater focus on improving the quality of legislation, greater professionalisation of the regulatory workforce, and review and evaluation.

As part of the response, the Government Regulatory Practice Initiative was tasked with leading one of the four work streams around professionalisation of the workforce.

3. What are the areas of focus for G-REG?

There are three areas of focus:

- Developing organisational capability - from sharing approaches to compliance activities and developing guidance material.
- Developing people capability - from structured and formal training and from shared informal learning.
- Developing a professional community of regulators - both resulting from and enabling the development of, organisation and people capability over time.

4. What are the qualifications that have been developed by G-REG?

G-REG has been developing qualifications for regulatory professionals in partnership with Skills. There are five, covering levels 3-6. Over 20 government agencies are involved to consult and provide feedback on their development.

5. How many people have completed the qualification to date?

As at October 2017, more than 1500 people had completed the qualification. This number continues to grow.

6. What are some of the benefits for learners?

Learners gain a fully funded and nationally recognised qualification which is transferable across all government departments. They also gain a structured programme of training to enable them to perform their role with confidence. The qualification will mean a reduction in

barriers between experts, investigators, auditors and policy advisors, which in turn will improve decision making processes.

7. Who needs to complete the Core Knowledge Qualification?

The qualification is for everyone who works in, wants to work in, or is closely associated with a regulatory compliance team. This includes people such as those doing compliance roles, technical advisors, investigators, managers and support staff.

8. When will the next qualification be rolled out?

We expect it will be available in early 2018, with further qualifications being progressively rolled out after that. Check the qualifications pages of the Skills website in the G-REG section for more detail www.skills.org.nz/g-reg

9. What are the benefits to the sector?

The qualification drives greater consistency and standardisation across the regulatory system. It also provides a wider recruitment pool of qualified practitioners as well as a more mobile workforce. The structured programme of training is likely to be cost effective and sustainable over time.

10. How long does it take to complete the qualification?

The qualifications are made up of six modules and each one is expected to take up to 90 minutes to complete. Completing all modules and other learning is expected to take a period of six months.

11. What happens if a learner doesn't pass the first time?

If a participant doesn't successfully complete the assessment after their first attempt, they will have access to re-sit the incorrect question(s) immediately. If, after the second attempt they do not pass, their learner support person will need to unlock the assessment. The assigned learner support person will receive an email that will include a link to do this.

12. How do people sign up?

Interested staff should talk to their Manager in the first instance. More information can be found on the links below, including the enquiry form:

<https://skills.org.nz/g-reg>

<https://skills.org.nz/assets/Government/docs/G-REG-inquiry-form.pdf>

13. Can I contribute articles to be shared on G-REG channels?

Absolutely. If you think you have a regulatory practice story worth sharing, an article you think should be seen more widely, or even an interesting job opportunity for regulators you would like shared on LinkedIn, please get in touch with Andrea Loughran in the contact details provided at the end of this document.

15. I have staff who have been in their role for over 5 years, do they have to start with the Core Knowledge qualification?

No, staff do not necessarily have to start with the first qualification on the pathway.

Contacts

In the first instance you should contact your agencies internal G-REG co-ordinator. If you can't get hold of this person:

G-REG Programme Co-ordinator | Andrea Loughran

DDI: +64 4 901 1631 | **M:** +64 21 584 065 | **E:** Andrea.Loughran@mbie.govt.nz

- *For queries about the management of G-REG and the other work of the initiative.*

The Skills G-REG team

DDI: 0508 754 557 | **E:** regcomp@skills.org.nz

- *For ongoing support with the online learning platform, graduations, and other operational queries.*