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# LEARNER GUIDE

## Government Regulatory Compliance Qualifications

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Core Knowledge



# Congratulations on signing up

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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**

## 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

## What this guide includes

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In this guide you will find an overview of what you need to know as a regulator working through one of the new qualifications for your sector. You can also read more on the Government Regulatory Practice Initiative (G-REG), which is the network of government agencies behind the qualifications. The work of the initiative covers much more than the qualifications alone, and this guide tells you more about the community you will become a part of when you graduate, and other ways of engaging with it.

If you have any questions regarding the information in this guide, get in touch with your Learning Support Person or Manager.

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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.

To recognise these opportunities and build 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



# 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 Learner Guide, or by visiting [www.skills.org.nz/g-reg](http://www.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 and their learning objectives are as follows:



## 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

***If you are enrolled onto this qualification, the entire programme is offered through the online Learning Management System (G-REG LMS). Read the next section for more on this.***



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

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.**

Once information has been submitted to Skills by your employer, you will be enrolled on the G-REG LMS. You 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 you to login for the first time, where you will be prompted to change your password to something you will remember. If you forget your password at any time, visit this page and click the 'forgotten password' link. It's worthwhile saving this login page as a favourite in your internet browser, or bookmarking the page.

You will be taken to your profile page where you must complete your registration details. Skills needs this completed in order to enrol you with NZQA. Some of the information is optional but you won't be able to access your dashboard without confirming you have completed this and acknowledged the Privacy Policy for the site. You will need either your driver's licence & version no., passport no. & expiry date or birth certificate no. to be able to complete your profile.

Your profile contains:

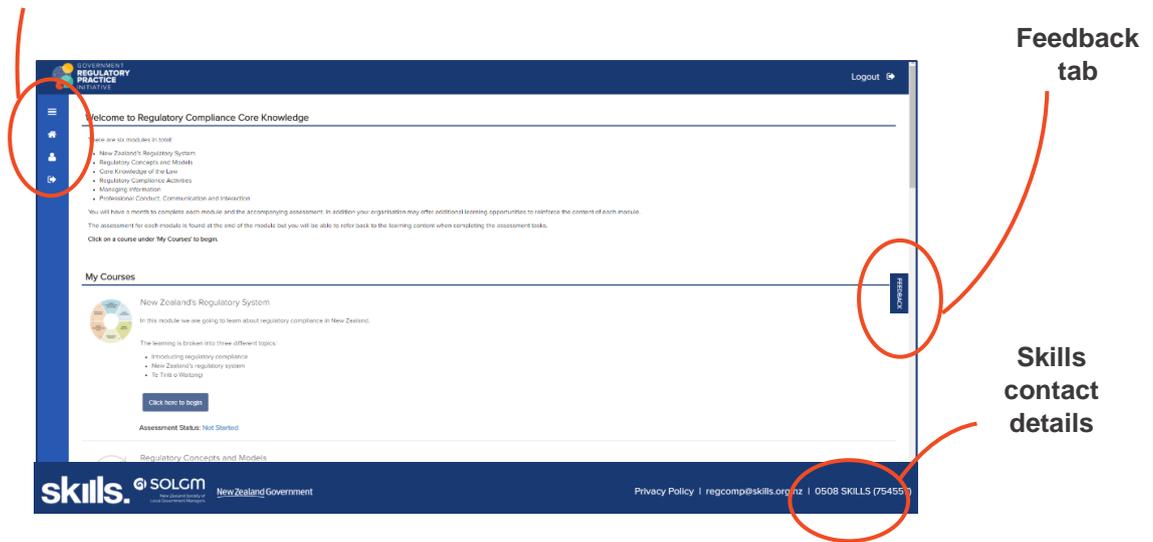
- **Contact details**
- **Basic personal information**
- **Birth certificate no. / Passport no.**

## 1. The login page

The screenshot shows the login page for the G-REG LMS. On the left, a dark blue banner features the Government Regulatory Practice Initiative logo, the 'skills.' logo, and logos for the New Zealand Government and SOLGM. On the right, a white box contains the 'Log In' form with fields for 'Username' and 'Password', a 'Remember username' checkbox, a 'Log In' button, a 'Forgotten your username or password?' link, and a note about cookies.

## 2. The main dashboard

### The left vertical main menu



### Left vertical menu

This is your navigation menu to get around the LMS. Clicking the top three bars expands or collapses the menu, showing you where you can navigate to.

'Edit Profile' takes you to your personal information. Here you will also find the name and contact email addresses for your assigned organisational Learning Support Person and Manager.

Clicking 'Dashboard' takes you back to viewing all your modules.

### Feedback tab

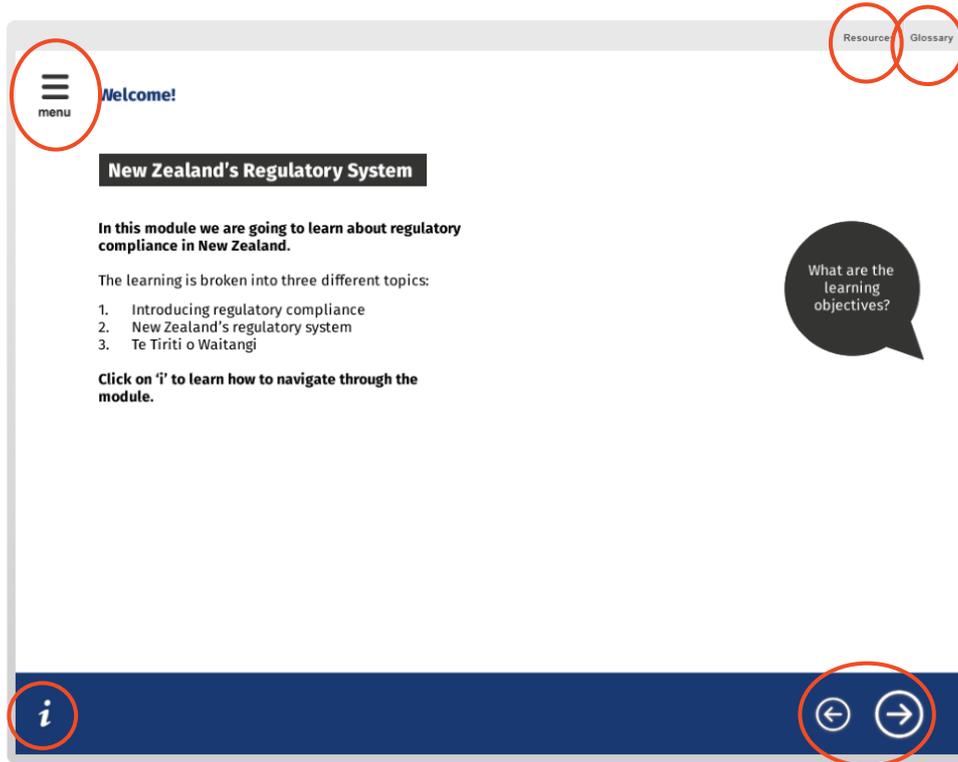
At any time you can provide feedback on an element of the LMS or the content. This feedback will go direct to the Skills team and considered.

If at all possible please try to take a screenshot and send in with your feedback as this helps with resolving issues.

### Skills contact details

If you have another reason to get in touch with the Skills team, the contact details are in the footer of every page.

### 3. Slides



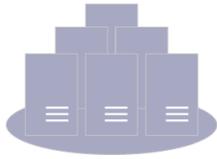
Each module begins with a welcome slide, describing how the module is broken up, as well as the learning objectives for that module. The areas circled in red are interactive elements for:

- Navigation
- Extra resources outside of the LMS
- Glossary of terms
- Move between slides using the arrows

#### Got an issue?

Get in touch with your assigned Learning Support Person or Manager in the first instance – contact details in the profile section of the LMS.

If the issue cannot be resolved, get in touch with the Skills team.



## Working through the modules

### Length



Modules are released one per month. When you first log on, you will see only the first module to work through. 30 days later, the next module will appear, and so on.

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

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

### Content

The content makes use of central and local government examples, and provides the wider context required for a regulator role. It leads to a common understanding and common language, and helps answer the ‘why’ behind the daily decisions of practitioners.

The content is general, but you can approach your Learning Support Person or Manager to discuss context and organisation-specific examples. Your assigned Learning Support Person will receive a Support Guide detailing ways to create this context.

### Dashboard

At any time, clicking on ‘Dashboard’ in the left vertical menu will take you out of the module you’re working in and back to the main area listing all of the modules and assessments available.

### Reminders



It’s understandable that with other work going on, making your way through the qualification may not be a top priority. The G-REG LMS will send you reminders at 15 and 30 days of inactivity. The system messages serve as a reminder to make your way through the content and assessments, so that you can graduate and be part of a new standard in regulatory practice across New Zealand.



## Assessment

Once you have read through all slides of a module, the assessment will become available in your dashboard. It opens in a separate window on your computer.

Assessments are open-book, meaning you can refer to the learning content at any time. You will need to achieve 100% to pass each module.

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

### Incorrect answers

When you have completed the assessment, the system will give you your results. Your dashboard will show the module as 'achieved' if you are successful. If you have any questions incorrect you will be able to review your answers and make a second attempt at these. You will only have to re-attempt the questions you get wrong. If your second attempt is also unsuccessful, you are temporarily locked out of the assessment. Your assigned Learning Support Person receives a link to unlock your assessment, and will get in touch with you. You should discuss your answers and your Learning Support Person can release your third attempt.

After this, if your third attempt is unsuccessful the assessment is completed manually by Skills. Your Learning Support person will contact Skills to arrange this.





## Graduation

When all assessments for all modules of your qualification are complete, you will soon receive an email congratulating you on your achievement.

### Survey

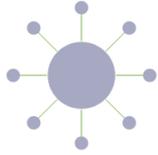
The email will include a link to a short survey asking for your feedback. This is your chance to give your views on the process. All comments are considered when making adjustments to the learning materials, or when creating future qualifications.

### What you will have achieved:

- A new standard in regulatory practice, as part of a wider movement across New Zealand.
- A renewed ability to make judgements in a regulatory environment, and better understand the context behind these judgements.
- Become part of a network of regulatory practitioners, and elevate the industry.
- Begin a career pathway in regulatory practice.

### Next steps

To continue your education in regulatory compliance, and improve your skills in the regulatory sector, find out more about the pathway of qualifications at [www.skills.org.nz/g-reg](http://www.skills.org.nz/g-reg)



## Resources

As well as the qualification you are working through, or have recently completed, there are other ways to engage with the Government Regulatory community that has been built. 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.

### The 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.

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

### 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.

<https://www.linkedin.com/company/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 Feb 2018, more than 1050 people have successfully completed the qualification. This number continues to grow.

## 6. What are some of the benefits for participants?

Participants 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?**

Check the G-REG pages of the Skills website for more detail [www.skills.org.nz/g-reg](http://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. What happens if a participant doesn't pass the first time?**

If a participant doesn't meet 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.

### **11. I already have a Compliance qualification as well as years of experience in a compliance role – can I cross-credit this to these qualifications?**

The process we will be using for the L4 Operational Practice and L5 Specialised Operations will be based on a recognition of current competency process we call "Skills Recognition". This is an evidence-based approach which involves self-assessment, evidence portfolio, workplace verification and assessment interview. It is not a cross-credit per se but involves the person providing evidence of their current role that meets the requirements of the qualification. Cross-crediting is a process where a candidate believes they have qualifications (or unit standards) that can meet the equivalent in the Regulatory Compliance qualification(s). There is no direct cross-credit but this would fall under the evidence portfolio submission where existing skills/knowledge would be taken into consideration.

### **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/careers-and-courses/government/state-sector-and-local-government/regulatory-compliance/>

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