

## NZ Certificate in Regulatory Compliance (Operational Knowledge)

This qualification is for everyone who works in, wants to work in, or is closely associated with a regulatory compliance organisation. The qualification is offered as an online, self-paced learning and assessment package through the Learning Management System of the Government Regulatory Practice Initiative (G-Reg LMS). **The intent of this qualification is that it will provide a broad overview of regulatory activities and how these are applied in an organisation through real world case studies from Auckland Council and Maritime NZ.**

The package consists of three modules:

Module 1 introduces learners to theory relating to the topics, illustrated across several regulatory agencies. Modules 2&3 are case studies of specific agencies which covers theory and practical application of activities within that specific agency. This introduces the learner to these activities at Auckland Council & Maritime NZ. Those learners that go on to complete the Operational Practice qualification will then be able to provide evidence from their own organisation for assessment of this qualification.

## Other Regulatory Compliance Qualifications

There are five qualifications in Regulatory Compliance available.

- NZ Certificate in Regulatory Compliance (Core Knowledge) (Level 3)
- NZ Certificate in Regulatory Compliance (Operational Knowledge) (Level 4)
- NZ Certificate in Regulatory Compliance (Operational Practice) (Level 4) NZ Certificate in Regulatory Compliance (Level 5) with strands in Audit, Inspections, Investigation, Operations
- NZ Diploma in Regulatory Compliance Investigations (Level 6)



### Operational Knowledge 101

#### Learning objective:

*To learn how the New Zealand legal system works and how it is applied by regulators throughout New Zealand.*

The module covers seven topics:

- The New Zealand legal system and primary legislation
- The components of an Act and common legal terms
- Subordinate legislation and how legislation is developed and applied
- Knowledge of offences
- Commencement of criminal proceedings
- Common law and precedence



### Investigation at Auckland Council

#### Learning objective:

*To learn how to do an investigation at Auckland Council.*

The module covers nine topics, which include two investigation examples:

- Legislation and plans
- Investigation One
  - Site visits
  - Intervention
  - Operation
  - Evidence collection
  - Interview
  - Prosecution
  - Enforcement order.
- Investigation Two



### Auditing at Maritime NZ

#### Learning objective:

*To learn how to do an audit at Maritime New Zealand.*

The module covers seven topics:

- Introduction to Maritime NZ
- Essential legislation
- Compliance processes
- Conducting an audit
  - Preparation and planning
  - Performing an audit
  - Reporting
  - Follow-up

## Frequently Asked Questions

---

### How to enrol your learners?

Organisations wishing to enrol people in the qualification will contact Skills. We will send an initial enrolment spreadsheet. The organisation completes and sends it back to Skills. The enrolment spreadsheet asks for the learner's manager contact and the learner's designated learning support person. This information is important as the G-Reg LMS sends messages as part of the management of the learner. The learning support person can be the same person as the learner's manager. It should be someone who can support the learner through the learning content and the assessment. Quite often this person looks after a number of learners in an organisation. If a learner has already completed the Core Knowledge qualification then they can use their login to access Operational Knowledge from their dashboard.

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

---

### How long will it take to complete the qualification?

Operational Knowledge 101 will take approximately 4-6 hours to complete although this will vary from person to person. The Auckland Council Investigation Case Study and Maritime NZ Audit Case Study will each take 6-8 hours to complete. OK101 will be on the learner's dashboard when they log in to the LMS. Once they have completed this the Case Studies will appear and you can complete these in either order. We suggest you complete OK101 in your first month of enrolment and you will have three more months to complete both case studies. For each of the three modules we recommend completing each in one single session if possible.

### What support does Skills offer?

For all feedback and support enquiries, please email [regcomp@skills.org.nz](mailto:regcomp@skills.org.nz). You can also call our Skills contact centre 0508 SKILLS (754557).

Inside the G-Reg LMS you can also click on the Feedback tab and complete this. Wherever possible please try to include screenshots to assist us responding to you.

### How does learning and assessment work?

The assessment can be found at the end of each module and is completed by the learner themselves and is open book. It is completed as part of the learning content so the learner can complete at their own pace. The assessment questions will refer back to the learning material. The learner will have three attempts at each question. After the second failed attempt the learner is directed back to the learning content before attempting the final question. If the learner is unsuccessful after three attempts their result will be sent to an assessor who will contact the learner and work with them directly to address their incorrect responses. The assessor will then be able to override their result.

### How does the information in the learning relate to workplaces?

The Operational Knowledge qualification provides a more in-depth look at how NZ's Regulatory system operates in practice. OK101 introduces some of the material from the Core Knowledge qualification but looks at it more closely and asks the learner to interpret this for the assessments. The two case studies have been designed to show the practical application of regulation using two real-world examples – one as an investigator at Auckland Council and the other as an auditor at Maritime NZ. The learner will experience both roles and will be able to relate many of the parts of these to their own role in their organisation. The Operational Practice qualification which follows on from this one will allow the learner to demonstrate this more fully providing evidence from their own work.

### What is the cost per learner?

Enrolment in Operational Knowledge costs \$350 + GST. This fee is non-refundable.

### Further information

Contact Tony McKenna – The Skills Organisation  
Mb: 027 2911259  
Em: [tonym@skills.org.nz](mailto:tonym@skills.org.nz)

