

# Regulatory compliance qualifications overview

For everyone who works in, wants to work in, or is closely associated with a regulatory compliance organisation.

This encompasses a wide range of roles, including: operational staff, technical advisors, executives and managers, specialists looking to apply their knowledge to a regulatory context.

## Core Knowledge

Understand New Zealand's regulatory compliance environment and key aspects of operating in it

2774: New Zealand Certificate in Regulatory Compliance (Core Knowledge) (Level 3)

40 credits

## Content:

- NZ's regulatory system
- Regulatory concepts and models
- Core legal knowledge
- Regulatory compliance activities
- Managing information, records and evidence
- Professional conduct, communication and interaction.

For those who are either preparing to carry out, or supporting others to carry out, frontline regulatory compliance work.

This may include frontline officers, administrative support staff, technical advisors, legal, policy, or communications advisors. This qualification is a prerequisite for the Operational Practice (Level 4) qualification.

## Operational Knowledge

Prepare to carry out operational regulatory compliance work

2775: New Zealand Certificate in Regulatory Compliance (Operational Knowledge) (Level 4)

40 credits

## Content:

- Operational knowledge: legal systems, powers and obligations, offences, and evidence
- Core regulatory compliance activities
- Using a range of regulatory compliance interventions
- Communication in an operational context.

For those who carry out regulatory compliance operational work.

Typically frontline activities that involve direct contact with regulated persons and members of the public. Graduates can undertake a broad range of routine regulatory compliance processes.

## Operational Practice

Carry out operational regulatory compliance work

2776: New Zealand Certificate in Regulatory Compliance (Operational Practice) (Level 4)

40 credits

## Content:

- Operating ethically
- Safety and wellbeing
- Communicating effectively
- Engaging with stakeholders
- Conducting various routine regulatory compliance activities (including intelligence, entry and exit control, education and assistance, compliance checks, physical enforcement, and investigations)
- Carrying out interventions
- Creating and managing regulatory compliance records.

For those who carry out audits, inspections, investigations and/or operations as a senior regulatory compliance practitioner – operating independently and applying specialised knowledge

## Specialised Operational Practice

Carry out operational regulatory compliance work as a senior practitioner

2777: New Zealand Certificate in Regulatory Compliance (Level 5) with strands in Audit, Inspections, Investigation, Operations

60 credits

## Content:

- Carrying out regulatory compliance activities using a risk based approach
- Engaging with stakeholders as a senior regulatory compliance practitioner
- Planning managing and conducting audit, inspection, investigation, and operations
- Within each of these:**
- Practising within their area of specialisation consistent with ethical, legal and organizational requirements
- Contributing to intelligence processes
- Interviewing and/or facilitating.

For those who lead, manage, and conduct complex investigations

## Specialist Investigations Practice

Carry out complex regulatory compliance investigations that require advanced skills

2778: New Zealand Diploma in Regulatory Compliance Investigations (Level 6)

120 credits

## Content:

- Planning, managing and leading complex regulatory compliance investigations
- Advanced investigation skills covering: high potential risk, consequences or liability, complex or multiple legal aspects, managing complex relationships, uncooperative subjects, management of risks relating to lengthy investigations
- Applying specialised knowledge of investigative practice
- Applying specialised knowledge of the law in relation to investigative practice, including legislation relating to evidence.

# Advance your career in the public sector

The New Zealand Certificate in Regulatory Compliance (Core Knowledge) (Level 3) is becoming the baseline qualification for everyone working in regulatory agencies. Undertaking the certificate will help you deepen your understanding of regulatory compliance as well as ensure you are up to date with the latest thinking and practice in the sector.

## Why undertake it?

- As the baseline qualification for everyone working in regulatory agencies there is general expectation that this will become the preferred (if not expected) certificate for many regulatory roles.
- This qualification gives you assurance that you understand critical concepts and common language used by modern regulators.
- The skills learned in the certificate can be applied across the public sector making it a useful qualification for career advancement within central and local government organisations.
- This qualification gives you assurance that your knowledge of regulatory compliance is up-to-date. The regulatory profession is newly recognised and growing its body of knowledge quickly.
- The qualification has been set up by government regulators and is recognised by all public sector related organisations. Having this qualification may give you an advantage over candidates who do not hold it.

## Who should enrol?

Public sector employees including:

- **Front-line operations staff** - the qualification provides operational staff with assurance that their practical expertise is grounded in 'why we do', not just 'what we do'.
  - **Specialists within a non-regulatory field** - lawyers, accountants, project managers, business analysts, administrators, people managers and executives can all benefit from this appropriately-scaled overview of core regulatory compliance practice.
  - **People new to New Zealand** - the qualification brings you quickly up to date with how the New Zealand regulatory system works, and good practice relevant to New Zealand regulators.
  - **People new to working in government organisations** - government regulators are entrusted with the powers of the State and are required to apply the highest standards of personal and professional behaviour. They need to be aware of and manage potential conflicts of interest that may arise in relation to their regulatory role.
- If you would like to find out more about how the New Zealand Certificate in Regulatory Compliance (Core Knowledge) (Level 3) or further qualifications in regulatory compliance can help advance your career in the public sector, contact Tony McKenna from The Skills Organisation today.

