



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

If your staff need to learn the basics about regulatory compliance in New Zealand, then this is the paper for them. This qualification gives a broad overview of New Zealand's regulatory system, and provides a common understanding and language of practitioners at all levels.

The course is relevant to all industries and trainees who do it will come out with highly transferable skills. It's offered in an online, user-friendly, and self-paced assessment package, to give your staff the flexibility to fit it into their scheduled.

### **Typical Training Duration**

4 to 7 months

### **Key Learning Outcomes**

Graduates of this qualification will be able to:

- Apply core knowledge of operating in a regulatory compliance environment
- Apply core knowledge of regulatory compliance activities in a regulatory compliance context
- Apply core knowledge of record and evidence management; and information and privacy legislation; to meet requirements in a regulatory compliance context
- Interact professionally with others when working in a regulatory compliance context.

### **Programme Credits**

40

## Qualification details

<b>Title</b>	New Zealand Certificate in Regulatory Compliance (Core Knowledge) (Level 3)		
<b>Version</b>	1	<b>Qualification type</b>	Certificate
<b>Level</b>	3	<b>Credits</b>	40
<b>NZSCED</b>	091199 Society and Culture > Justice and Law Enforcement > Justice and Law Enforcement not elsewhere classified		
<b>Qualification developer</b>	The Skills Organisation		
<b>Next review</b>	31 December 2020 Any person or organisation may contribute to the review of this qualification by sending feedback to the qualification developer at <a href="mailto:reviewcomments@skills.org.nz">reviewcomments@skills.org.nz</a>		
<b>Approval date</b>	June 2015		
<b>Strategic purpose statement</b>	<p>The purpose of this qualification is to provide people employed in, or who want to go into, the regulatory compliance sector with core knowledge of regulatory compliance. It is also suitable for those who are in a different field who want to pursue their field in a regulatory compliance environment.</p> <p>This qualification will benefit local and central government organisations, and organisations that carry out regulatory compliance work on their behalf, by providing people who can apply knowledge of regulatory compliance to effectively contribute to the activities of the organisation.</p> <p>Graduates will be able to apply core knowledge of operating in a regulatory compliance environment and contribute effectively to an organisation.</p>		
<b>Outcome Statement</b>	<b>Graduate profile</b>	<p><b>Graduates of this qualification will be able to:</b></p> <ul style="list-style-type: none"> <li>- Apply core knowledge of operating in a regulatory compliance environment</li> <li>- Apply core knowledge of regulatory compliance activities in a regulatory compliance context</li> <li>- Apply core knowledge of record and evidence management; and information and privacy legislation; to meet requirements in a regulatory compliance context</li> <li>- Interact professionally with others when working in a regulatory compliance context.</li> </ul>	

<p><b>Education pathway</b></p>	<p>This is a core qualification for the regulatory compliance sector.</p> <p>For people who work in a role requiring an understanding of regulatory compliance, this qualification may represent an end in itself. For others, it may be the first qualification leading on to other qualifications in regulatory compliance, such as the <i>New Zealand Certificate in Regulatory Compliance (Operational Knowledge) (Level 4)</i> [Ref: 2775] and the <i>New Zealand Certificate in Regulatory Compliance (Operational Practice) (Level 4)</i> [Ref: 2776].</p>
<p><b>Employment pathway</b></p>	<p>Graduates will have knowledge relevant to a range of regulatory compliance roles in local and central government organisations, and organisations that carry out regulatory compliance work on their behalf.</p>

## Qualification specifications

<p><b>Qualification award</b></p>	<p>The candidate shall be awarded the qualification by the accredited Tertiary Education Organisation (TEO) where the programme has been completed.</p> <p>The formal document certifying the award of this qualification includes the full qualification title, the date of award, and the logos of The Skills Organisation, the accredited TEO, and the NZQF.</p> <p>As the qualification developer, The Skills Organisation will maintain a list of graduates of this qualification. The TEO will annually report the names of all graduates awarded the qualification to The Skills Organisation.</p>
<p><b>Evidence requirements for assuring consistency</b></p>	<p>All TEOs offering this qualification (either arranging training or delivering programmes) must participate in the Consistency Review.</p> <p>TEOs are to seek feedback from the Regulatory Compliance sector regarding their graduates meeting the qualification graduate profile outcomes. Evidence may come from:</p> <ul style="list-style-type: none"> <li>- Regular monitoring of trainee progression within either the TEO or the workplace including liaising with employers, teaching staff, training supervisors, and sector managers about the value of the training, graduates, and qualification, to the business.</li> <li>- Regular cross-sector meetings (Advisory Groups) where the changing training needs of the sector can be discussed in light of technology changes, workplace practices, and graduate capabilities.</li> <li>- Independent surveys of graduates and employers to determine if the graduates are appropriate for the workplace.</li> <li>- Providing an alignment matrix of programme outcomes or unit standards against the qualification outcomes.</li> </ul> <p>Guidelines for managing consistency are available and should be</p>

	referred to on the NZQA website.
<b>Minimum standard of achievement and standards for grade endorsements</b>	The minimum standard of achievement required for the award of the qualification will be the achievement of all graduate outcomes through successful completion of an approved programme.  There are no grade endorsements for this qualification.
<b>Other requirements for the qualification (including regulatory body or legislative requirements)</b>	None.

## General conditions for the programme leading to the qualification

<b>General conditions for programme</b>	<p>Programme content must address the conditions as stated. Assessment will reflect individual organisations' assessment requirements.</p> <p>Programmes must ensure that the safety of regulatory staff and others who may be impacted is appropriately considered when undertaking regulatory compliance activities.</p> <p>Assessments may be performed using workplace evidence or evidence derived from simulation, scenario-based activities, or any relevant assessment.</p> <p>The Regulatory Compliance sector has a number of terms with specific usage. For current definitions visit <a href="http://www.skills.org.nz/resources-for-training-providers/">http://www.skills.org.nz/resources-for-training-providers/</a>. <a href="#">Local</a> and <a href="#">central</a> government organisations are linked for your information.</p>
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### Conditions relating to the Graduate profile

Qualification outcomes		Conditions
1	<p>Apply core knowledge of operating in a regulatory compliance environment</p> <p>Credits 20</p>	<p>Programmes must include coverage of the following areas:</p> <ul style="list-style-type: none"> <li>- Purpose of regulatory compliance and how this contributes to government outcomes and the public good: including types of outcomes sought by regulators, public interest</li> <li>- Importance of the principles of Te Tiriti o Waitangi/Treaty of Waitangi to New Zealand's government and society</li> <li>- Application of one principle of Te Tiriti o Waitangi/Treaty of Waitangi to an area of New Zealand society today</li> <li>- Overview of New Zealand's regulatory system and the role that at least one regulatory organisation plays in it</li> <li>- Regulatory models including: regulatory concepts and approaches that contribute to good regulator practice (including ethically-based decision-making); options for achieving regulatory compliance outcomes and how and when to use them effectively; regulatory models used by</li> </ul>

		<p>New Zealand regulators; a regulatory model in application.</p> <ul style="list-style-type: none"> <li>- Introductory legal knowledge: legal systems (including the branches of Government and their roles); legislation (including subordinate legislation); how to navigate and refer to statute; common law; natural justice; the hierarchy of courts; precedent.</li> </ul>
2	<p>Apply core knowledge of regulatory compliance activities in a regulatory compliance context</p> <p>Credits 10</p>	<p>Programmes must include coverage of the following areas:</p> <ul style="list-style-type: none"> <li>- Purpose and overview of regulatory compliance activities as carried out by one or more regulators. At least four examples from a range of activities from <ul style="list-style-type: none"> <li>- Entry and exit control</li> <li>- Educating and assisting</li> <li>- Checking compliance</li> <li>- Conducting operations</li> <li>- Investigating</li> <li>- Sanctioning</li> </ul> </li> <li>- Introductory knowledge of intelligence.</li> </ul>
3	<p>Apply core knowledge of record and evidence management; and information and privacy legislation; to meet requirements in a regulatory compliance context</p> <p>Credits 5</p>	<p>Programmes must include coverage of the following areas:</p> <ul style="list-style-type: none"> <li>- Information, privacy and public records legislation: regulator responsibilities, application of this legislation to regulatory activities</li> <li>- Introductory knowledge of management of regulatory compliance records: types of records; statutory obligations and good practice for managing records and evidence.</li> </ul>
4	<p>Interact professionally with others when working in a regulatory compliance context.</p> <p>Credits 5</p>	<p>Programmes must include coverage of the following areas:</p> <ul style="list-style-type: none"> <li>- Personal behaviours and awareness required of those working in regulatory agencies, including: ethical conduct, media awareness, political awareness</li> <li>- Value and risks of communicating in a regulatory context</li> <li>- Introductory knowledge of establishing and maintaining effective relationships with regulated persons, internal colleagues and colleagues in partner agencies, and interest groups.</li> </ul>

## Transition information

<b>Replacement information</b>	<p>This qualification replaces the following qualifications:</p> <ul style="list-style-type: none"> <li>- National Certificate in Compliance and Regulatory Control (Animal Control) (Level 2) [Ref: 0532]</li> <li>- National Certificate in Compliance and Regulatory Control (Parking Enforcement) (Level 3) [Ref: 0464]</li> <li>- National Certificate in Public Sector Compliance (Foundation) (Level 3) [Ref: 1664]</li> </ul>
<p>The last date for entry into programmes leading to the replaced qualifications is 31 December 2017. The last date to meet the requirements of the replaced qualifications will be 31 December 2020 when the</p>	

qualifications will be discontinued. From that date, no results can be reported against the qualifications. People currently working towards one of the replaced qualifications may either complete the requirements by 31 December 2020 or transfer their results to the replacement qualification.