

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

This qualification is designed for people who are preparing to carry out frontline regulatory compliance work, or for those who support frontline staff. Examples of staff that this would benefit include: frontline officers, admin support staff, technical advisors, people providing legal, policy and communications support etc.

The training was developed to equip staff with a broad understanding of the operational side to regulatory compliance. It teaches the general legal principles, interventions, communication skills and operational obligations.

Typical Training Duration

4 to 7 months

Key Learning Outcomes

Graduates of this qualification will be able to:

- Apply operational knowledge of legal systems, powers and obligations, offences, and evidence, with understanding of the operational context of regulatory compliance
- Apply knowledge of regulatory compliance activities with understanding of the operational context of regulatory compliance
- Apply knowledge of how to effectively use a range of regulatory compliance interventions to achieve regulatory compliance outcomes with understanding of the operational context of regulatory compliance
- Apply knowledge of communication to achieve regulatory compliance outcomes with understanding of the operational context of regulatory compliance.

Programme Credits

40

Qualification details

Title	New Zealand Certificate in Regulatory Compliance (Operational Knowledge) (Level 4)		
Version	1	Qualification type	Certificate
Level	4	Credits	40
NZSCED	091199 Society and Culture > Justice and Law Enforcement > Justice and Law Enforcement not elsewhere classified		
Qualification developer	The Skills Organisation		
Next review	31 December 2020 Any person or organisation may contribute to the review of this qualification by sending feedback to the qualification developer at reviewcomments@skills.org.nz		
Approval date	June 2015		
Strategic purpose statement	<p>The purpose of this qualification is to provide people employed in, or who want to go into, routine operational roles with knowledge of the operational context of regulatory compliance. These people will typically carry out activities to achieve and maintain regulatory compliance outcomes.</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 operate with understanding of the operational context of regulatory compliance under broad organisational guidance.</p>		
Outcome Statement	Graduate profile	<p>Graduates of this qualification will be able to:</p> <ul style="list-style-type: none"> - Apply operational knowledge of legal systems, powers and obligations, offences, and evidence, with understanding of the operational context of regulatory compliance - Apply knowledge of regulatory compliance activities with understanding of the operational context of regulatory compliance - Apply knowledge of how to effectively use a range of regulatory compliance interventions to achieve regulatory compliance outcomes with understanding of the operational context of regulatory compliance - Apply knowledge of communication to achieve regulatory compliance outcomes with understanding of the operational context of regulatory compliance. 	

<p>Education pathway</p>	<p>This qualification may lead on from the <i>New Zealand Certificate in Regulatory Compliance (Core Knowledge) (Level 3)</i> [Ref: 2774].</p> <p>Programmes leading to the qualification will often be delivered with the <i>New Zealand Certificate in Regulatory Compliance (Operational Practice) (Level 4)</i> [Ref: 2776]. It is a requirement to be a graduate of this qualification before graduation from the <i>New Zealand Certificate in Regulatory Compliance (Operational Practice) (Level 4)</i> [Ref: 2776], but it is not required to be a graduate of this qualification to begin that one [Ref: 2776].</p> <p>For people who work in a role requiring an understanding of operational regulatory compliance, this qualification may represent an end in itself. For others, it may also lead on to other qualifications in regulatory compliance, such as the <i>New Zealand Certificate in Regulatory Compliance (Operational Practice) (Level 4)</i> [Ref: 2776], and the <i>New Zealand Certificate in Regulatory Compliance (Level 5) with strands in Audit, Inspection, Investigation, and Operations</i> [Ref: 2777].</p>
<p>Employment pathway</p>	<p>Graduates will have knowledge relevant to working in a range of operational regulatory compliance roles in local and central government organisations, and organisations that carry out regulatory compliance work on their behalf.</p>

Qualification specifications

<p>Qualification award</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>Evidence requirements for assuring consistency</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"> - 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. - Regular cross-sector meetings (Advisory Groups) where the

	<p>changing training needs of the sector can be discussed in light of technology changes, workplace practices, and graduate capabilities.</p> <ul style="list-style-type: none"> - Independent surveys of graduates and employers to determine if the graduates are appropriate for the workplace. - Providing an alignment matrix of programme outcomes or unit standards against the qualification outcomes. <p>Guidelines for managing consistency are available and should be referred to on the NZQA website.</p>
Minimum standard of achievement and standards for grade endorsements	<p>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.</p> <p>There are no grade endorsements for this qualification.</p>
Other requirements for the qualification (including regulatory body or legislative requirements)	None.

General conditions for the programme leading to the qualification

General conditions for programme	<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 information visit http://www.skills.org.nz/resources-for-training-providers/.</p> <p>Local and central government organisations are linked for your information.</p>
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Conditions relating to the Graduate profile

Qualification outcomes		Conditions
1	<p>Apply operational knowledge: legal systems, powers and obligations, offences, and evidence, with understanding of the operational context of regulatory compliance</p> <p>Credits 15</p>	<p>Programmes must include coverage of the following areas:</p> <ul style="list-style-type: none"> - Consistency with organisational and Te Tiriti o Waitangi/Treaty of Waitangi requirements - The New Zealand legal system; how legislation and its legislative instruments are created, applied, and reviewed; natural justice; common law; court structure, function and process; judicial decisions and case law

		<ul style="list-style-type: none"> - Ethical application of statutory powers and obligations of a regulatory compliance officer - Understanding and applying legislation, specialist legal terms used in legislation (such as 'and', 'or', 'may', 'shall'), explaining legislation in plain terms to regulated persons - Offences, including: the elements of offences; actus reus, mens rea; types of liability, standards of proof, and defences - Evidence, including evidence management.
2	<p>Apply knowledge of regulatory compliance activities with understanding of the operational context of regulatory compliance</p> <p>Credits 10</p>	<p>Programmes must include coverage of the following areas:</p> <ul style="list-style-type: none"> - At least five of the following activities: <ul style="list-style-type: none"> – Operational knowledge of intelligence – A problem solving process used in a regulatory compliance context – An entry and exit control process used in a regulatory compliance context – An education and assistance process and/or tools used in a regulatory compliance context – At least one process for checking compliance used in a regulatory compliance context – A process for conducting regulatory compliance operations used in a regulatory compliance context – An investigations process used in a regulatory compliance context - Relevance of the principles of Te Tiriti o Waitangi/ Treaty of Waitangi to a range of regulatory compliance activities.
3	<p>Apply knowledge of how to effectively use a range of regulatory compliance interventions to achieve regulatory compliance outcomes with understanding of the operational context of regulatory compliance</p> <p>Credits 10</p>	<p>Programmes must include coverage of the following areas:</p> <ul style="list-style-type: none"> - A regulatory model used by a New Zealand regulator, including any intervention decision-making tools available to operational staff - Regulatory interventions used for achieving regulatory compliance outcomes, and how to use them effectively - Good practice selection and application of sanctioning as a regulatory tool, including: graduated range of options, proportionate application, strategic use of sanctioning - Sanctions used by regulators, including: entry and exit control (such as the suspension or removal of a licence), prosecution, civil action - Use of discretion.
4	<p>Apply knowledge of communication to achieve a regulatory compliance outcome with understanding of the operational context of regulatory compliance</p>	<p>Programmes must include coverage of the following areas:</p> <ul style="list-style-type: none"> - Written and verbal communication to organisational standards - Open and closed questioning and structured conversations to obtain and clarify information - Need to adapt behaviour appropriate to communication style

Credits 5	and situation - Components of effective communication.
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Transition information

Replacement information	<p>This qualification, with the <i>New Zealand Certificate in Regulatory Compliance (Operational Practice) (Level 4)</i> [Ref: 2776], replaces the following qualifications</p> <ul style="list-style-type: none"> - National Certificate in Compliance and Regulatory Control (Animal Control) (Level 4) with an optional strand in Animal Shelter [Ref: 0533] - National Certificate in Compliance and Regulatory Control (Local Government Enforcement) with optional strand in Liquor Licensing (Level 4) [Ref: 1246] - National Certificate in Public Sector Compliance Operations (Level 4) with an optional strand in Investigations [Ref:1665]
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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 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.