

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

This qualification is designed for people who work in frontline roles that deal with the operational aspects of regulatory compliance. They are usually responsible for working to achieve and maintain regulatory compliance and tend to work in direct contact with the public and regulatory personnel.

Graduates will be able to undertake a broad range of routine regulatory compliance processes across various contexts. They will be taught key skills surrounding communications, compliance, safety and maintenance of records.

Typical Training Duration

4 to 7 months

Key Learning Outcomes

Graduates of this qualification will be able to:

- Operate ethically and maintain standards within a central or local government environment
- Meet safety and wellbeing requirements in a regulatory compliance context
- Communicate effectively in a regulatory compliance context
- Engage with and develop appropriate relationships with stakeholders in a regulatory compliance context
- Conduct various routine regulatory compliance activities
- Carry out regulatory compliance interventions
- Create and manage regulatory compliance records

Programme Credits

40

Qualification details

Title	New Zealand Certificate in Regulatory Compliance (Operational Practice) (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 who work in routine frontline operational roles with the skills to carry out a broad range of operational regulatory compliance activities. These practitioners typically carry out frontline activities to achieve and maintain regulatory compliance outcomes. This involves direct contact with regulated persons and members of the public.</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 as regulatory compliance practitioners with a broad range of skills that can be transferred to other compliance contexts.</p> <p>Graduates will be capable of self-management under broad organisational guidance and will be able to operate as regulatory compliance practitioners carrying out a range of frontline activities.</p>		
Outcome Statement	Graduate profile	<p>Graduates of this qualification will be able to:</p> <ul style="list-style-type: none"> - Operate ethically and maintain standards within a central or local government environment - Meet safety and wellbeing requirements in a regulatory compliance context - Communicate effectively in a regulatory compliance context - Engage with and develop appropriate relationships with stakeholders in a regulatory compliance context 	

		<ul style="list-style-type: none"> - Conduct various routine regulatory compliance activities - Carry out regulatory compliance interventions - Create and manage regulatory compliance records
	Education pathway	<p>Programmes leading to this qualification will often be delivered with the <i>New Zealand Certificate in Regulatory Compliance (Operational Knowledge) (Level 4)</i> [Ref: 2775]. It is a requirement to be a graduate of the <i>New Zealand Certificate in Regulatory Compliance (Operational Knowledge) (Level 4)</i> [Ref: 2775], before graduation from this qualification, but it is not required to be a graduate of that qualification [Ref: 2775] to begin this one.</p> <p>This qualification may also lead on to other qualifications in regulatory compliance, such as the <i>New Zealand Certificate in Regulatory Compliance (Level 5) (with strands in Audit, Inspection, Investigation, and Operations)</i> [Ref: 2777].</p>
	Employment pathway	<p>Graduates will have the knowledge and skills relevant to working in a range of frontline operational regulatory compliance roles in local and central government organisations, and organisations that carry out regulatory compliance work on their behalf.</p>

Qualification specifications

Qualification award	<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>
Evidence requirements for assuring consistency	<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 changing training needs of the sector can be discussed in light of technology changes, workplace practices, and

	<p>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</p> <ul style="list-style-type: none"> - The achievement of all graduate outcomes through successful completion of an approved programme. - Prior or concurrent award of the <i>New Zealand Certificate in Regulatory Compliance (Operational Knowledge) (Level 4)</i> [Ref: 2775] <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>Candidates must include evidence from one or more regulatory compliance workplaces.</p> <p>The Regulatory Compliance sector has a number of terms with specific usage. For current definitions 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>Operate ethically and maintain standards within a central or local government environment</p> <p>4 credits</p>	<p>Programmes must include coverage of the following areas:</p> <ul style="list-style-type: none"> - Organisational standards of integrity and conduct required of people working in a local or central government regulatory compliance role - Awareness and management of issues affecting one's personal effectiveness in a regulatory compliance role, including: activities outside of work; conflicts of interest;

		corruption and misconduct and the effect of this on organisational reputation.
2	Meet safety and wellbeing requirements in a regulatory compliance context 3 credits	Programmes must include coverage of the following area: - Safe work practices in a regulatory compliance environment consistent with statutory and organisational requirements.
3	Communicate effectively (non-verbally, orally, and in writing) in a regulatory compliance context 4 credits	Programmes must include coverage of the following areas: - Effective communication consistent with organisational requirements. Communication includes active listening, demonstrating empathy, building rapport whilst maintaining appropriate boundaries, use of questions to obtain and clarify information, and written communication - Strategies for keeping oneself and others safe in situations with potential for conflict, such as situational awareness, de-escalation, tactical communication, self-management.
4	Engage with and develop appropriate relationships with stakeholders in a regulatory compliance context 4 credits	Programmes must include coverage of the following areas: - Organisational and Te Tiriti o Waitangi/Treaty of Waitangi requirements - Relationships with regulated persons, colleagues in one's own organisation, and other stakeholders in relation to one's role.
5	Conduct various routine regulatory compliance activities 15 credits	Programmes must include coverage of the following areas: - Two or more of the following routine regulatory compliance activities consistent with organisational and legal requirements: - Contribute to intelligence processes in a regulatory compliance context - Conduct entry and exit control activities in a regulatory compliance context - Educate and/or assist regulated persons to achieve desired regulatory compliance outcomes - Conduct compliance checks; monitoring regulatory compliance, and/or inspecting, and/or auditing and verifying - Conduct physical enforcement activities in accordance with statutory powers - Conduct regulatory compliance operations - Conduct regulatory compliance investigations - Application of the principles of Te Tiriti o Waitangi/Treaty of Waitangi in a regulatory compliance context in accordance with organisational requirements
6	Carry out regulatory compliance interventions	Programmes must include coverage of the following areas: - A range of regulatory compliance interventions. Some examples of interventions are: issuing an enforcement notice

	5 credits	<p>or formal warning; providing information and/or assistance; undertaking a prosecution; and seizing or detaining property/persons.</p> <ul style="list-style-type: none"> - Consistency with legal and organisational requirements.
7	<p>Create and manage regulatory compliance records</p> <p>5 credits</p>	<p>Programmes must include coverage of the following area:</p> <ul style="list-style-type: none"> - Consistency with organisational requirements and legal standards.

Transition information

Replacement information	<p>This qualification, with the <i>New Zealand Certificate in Regulatory Compliance (Operational Knowledge) (Level 4)</i> [Ref: 2775], 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.