

New Zealand Certificate in Regulatory Compliance (Strands in Audit, Inspection, Investigation & Operations) (Level 5)

This qualification was designed to help further develop the specialist skills of senior regulatory compliance practitioners who carry out audits, inspections, investigations and/or operations.

Given the broad nature of the regulatory compliance field, a number of strands were developed for this qualification, to allow people to specialise in the areas most relevant to their roles.

This qualification will benefit local and central government organisations, and organisations that carry out regulatory compliance work on their behalf. This will be done by providing their staff the skills to operate in roles focussed on audit, inspections, investigations, or operations. Graduates of the programme will be able to operate independently in a range of situations within their functional area.

Typical Training Duration

6 to 12 months

Key Learning Outcomes

Graduates of this qualification will be able to:

- Demonstrate and apply knowledge of a risk-based approach to regulatory compliance activities
- Engage with stakeholders in a regulatory compliance environment
- Plan, manage, and review regulatory compliance activities
- Conduct and conclude regulatory conformance audits
- Plan, manage and conduct, and evaluate interviews in a regulatory compliance context

In addition these core skills, students will gain specialist training in their chosen strand of audit, investigation, inspection or operations as outlined in the NZQA documentation over the page.

Programme Credits

60

Qualification details

Title	New Zealand Certificate in Regulatory Compliance (Level 5) with strands in Audit, Inspection, Investigation, and Operations		
Version	1	Qualification type	Certificate
Level	5	Credits	60
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 focussed regulatory compliance roles with knowledge and skills transferable across the regulatory compliance sector as well as those relevant to their functional area.</p> <p>The purpose of the strands is to provide people with the knowledge and skills required for different functional areas in the field of regulatory compliance.</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 in roles focussed on audit, inspections, investigations, or operations.</p> <p>Graduates will be able to operate independently in a range of situations within their functional area.</p>		
Outcome Statement	Graduate profile	<p>Graduates of this qualification will be able to:</p> <ul style="list-style-type: none"> - Carry out regulatory compliance activities using a risk-based approach - Engage with stakeholders as a senior regulatory compliance practitioner - Plan and manage regulatory compliance activities <p>Graduates with the Audit strand will be able to:</p> <ul style="list-style-type: none"> - Conduct interviews in an audit context - Analyse evidence of conformance/compliance consider 	

		<p>interventions for achieving/improving conformance/compliance, and make recommendations/interventions</p> <ul style="list-style-type: none"> - Monitor conformance/compliance of audit subjects in response to non-conformance/non-compliance interventions. <p>Graduates with the Inspection strand will be able to:</p> <ul style="list-style-type: none"> - Conduct interviews in an inspection context - Gather and manage evidence and information using appropriate inspection practices and techniques - Analyse evidence of regulatory compliance, consider interventions for achieving/improving regulatory compliance, and take appropriate action. <p>Graduates with the Investigation strand will be able to:</p> <ul style="list-style-type: none"> - Gather and manage exhibits and information using a range of investigative practices and techniques - Conduct interviews in an investigation context - Create and manage regulatory compliance investigation files - Analyse information to arrive at outcomes that are supported by evidence. <p>Graduates with the Operations strand will be able to:</p> <ul style="list-style-type: none"> - Direct use of resources for operations taking into account agreements, risk and scope of operation - Facilitate operation participants.
	<p>Education pathway</p>	<p>This qualification may lead on from the <i>New Zealand Certificate in Regulatory Compliance (Operational Knowledge) (Level 4)</i> [Ref: 2775] and/or the <i>New Zealand Certificate in Regulatory Compliance (Operational Practice) (Level 4)</i> [Ref: 2776].</p> <p>Graduates may progress on to higher-level tertiary qualifications, for example in management and leadership.</p> <p>Graduates of the Investigation strand may progress on to the <i>New Zealand Diploma in Regulatory Compliance Investigations (Level 6)</i> [Ref: 2778].</p>
	<p>Employment pathway</p>	<p>Graduates will have the knowledge and skills relevant to a range of senior 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</p>
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	<p>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 changing training needs of the sector can be discussed in light of technology changes, workplace practices, and graduate capabilities. - 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>
<p>Minimum standard of achievement and standards for grade endorsements</p>	<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>
<p>Other requirements for the qualification (including regulatory body or legislative requirements)</p>	<p>None.</p>

General conditions for the programme leading to the qualification

<p>General conditions for programme</p>	<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</p>
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specific usage. For current information visit <http://www.skills.org.nz/resources-for-training-providers/>.
[Local](#) and [central](#) government organisations are linked for your information.

Conditions relating to the Graduate profile

Qualification outcomes		Conditions
1	Carry out regulatory compliance activities using a risk-based approach Credits 5	Programmes must include coverage of the following areas: <ul style="list-style-type: none"> - Consistency with legal and organisational requirements - Purpose, principles and practice of risk management - Knowledge and skills required to: <ul style="list-style-type: none"> – Identify and assess risks based on defined risk assessment criteria – Determine priorities for focusing compliance activities – Apply risk assessment to define the scope, focus and conduct of the regulatory compliance activity
2	Engage with stakeholders as a senior regulatory compliance practitioner Credits 5	Programmes must include coverage of the following areas: <ul style="list-style-type: none"> - Consistency with ethical, legal, organisational and Te Tiriti o Waitangi/Treaty of Waitangi requirements. - Engagement with regulated persons or the regulated sector - Communications - Cultural needs of stakeholders in relation to the activities carried out by a regulatory compliance organisation.
3	Plan and manage regulatory compliance activities Credits 15	Programmes must include coverage of the following areas: <ul style="list-style-type: none"> - Must practice in their strand area and be consistent with legal and organisational requirements including ethical standards. - Contribute to intelligence processes in a regulatory compliance context, where there is one.
4	Graduates with the Audit strand will be able to: Conduct interviews in an audit context Credits 15	Programmes must include coverage of the following areas: <ul style="list-style-type: none"> - Conducting interviews in an audit context includes planning, managing and evaluating the interview. - Consistency with legal and organisational requirements including ethical standards. - Contribute to intelligence processes in a regulatory compliance context, where there is one.
5	Analyse evidence of conformance/compliance, consider interventions for achieving/improving conformance/compliance, and make recommendations/interventions.	

	Credits 10	
6	Monitor conformance/compliance of audit subjects in response to non-conformance/non-compliance interventions. Credits 10	
7	Graduates with the Inspection strand will be able to: Conduct interviews in an inspection context, including planning, managing and evaluating the interview. Credits 15	<p>Programmes must include coverage of the following areas:</p> <ul style="list-style-type: none"> - Consistency with legal and organisational requirements including ethical standards. - Contribute to intelligence processes in a regulatory compliance context, where there is one. <p>Inspections may require</p> <ul style="list-style-type: none"> - Specialised technical knowledge - Specialised tools. <p>Inspections may be characterised by</p> <ul style="list-style-type: none"> - Unfamiliarity - Level of risk - Level of liability - Range of solutions.
8	Gather and manage evidence and information using appropriate inspection practices and techniques. Credits 10	
9	Analyse evidence of regulatory compliance, consider interventions for achieving/improving regulatory compliance, and take appropriate action. Credits 10	
10	Graduates with the Investigation strand will be able to: Gather and manage exhibits and information using a range of investigative practices and techniques Credits 10	
11	Conduct interviews in an investigation context, including planning, managing and evaluating the interview Credits 15	

12	Create and manage regulatory compliance investigation files Credits 5	
13	Analyse information to arrive at outcomes that are supported by evidence. Credits 5	
14	Operations strand graduates will be able to: Direct use of resources for the operation taking into account agreements, risk and scope of operation Credits 15	
15	Apply good practice facilitation to effectively facilitate operation participants. Credits 20	<p>Programmes must include coverage of the following areas:</p> <ul style="list-style-type: none"> - Consistency with legal and organisational requirements including ethical standards. - Contribute to intelligence processes in a regulatory compliance context, where there is one. <p>Directing use of resources includes:</p> <ul style="list-style-type: none"> - any applicable agreements between organisations - risk to individuals - scope of operation.

Transition information

Replacement information	This qualification, with the <i>New Zealand Diploma in Regulatory Compliance Investigations (Level 6)</i> [Ref: 2778], replaces the National Diploma in Public Sector Compliance Investigations (Level 5) with optional strands in Prosecutions, and Civil Appeal Proceedings [Ref:1666].
<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 qualifications will be discontinued. From that date, no results can be reported against the qualifications.</p> <p>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.</p>	