

New Zealand Diploma in Regulatory Compliance Investigations (Level 6)

Typical Training Duration

Approximately 12 months

Key Learning Outcomes

Graduates of this qualification will be able to operate in situations that exhibit many of the following features that characterise complex investigations:

- high potential risk
- consequences, or liability
- high public interest
- complex or multiple legal or jurisdictional aspects
- multiple or hidden entities
- complex relationships
- unclear circumstances
- uncooperative subjects
- protracted
- requiring management of risks relating to lengthy investigations.

Programme Credits

120

Qualification details

Title	New Zealand Diploma in Regulatory Compliance Investigations (Level 6)		
Version	1	Qualification type	Diploma
Level	6	Credits	120
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 regulatory compliance investigation roles with the knowledge and skills to lead, manage, and carry out complex regulatory compliance investigations.</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 specialist investigators.</p> <p>Graduates will be able to operate in situations that exhibit many of the following features that characterise complex investigations: high potential risk, consequences, or liability; high public interest; complex or multiple legal or jurisdictional aspects; multiple or hidden entities; complex relationships; unclear circumstances; uncooperative subjects; protracted, requiring management of risks relating to lengthy investigations.</p>		
Outcome Statement	Graduate profile	<p>Graduates of this qualification will be able to:</p> <ul style="list-style-type: none"> - Plan, manage, and lead complex regulatory compliance investigations - Apply specialised knowledge of investigative practice in an investigation - Apply specialised knowledge of the law to investigative practice 	
	Education pathway	<p>This qualification may lead on from the Investigations strand of the <i>New Zealand Certificate in Regulatory Compliance (Level 5)</i> [Ref: 2777].</p> <p>Graduates may progress on to higher-level tertiary qualifications, for example in management and leadership.</p>	
	Employment pathway	<p>Graduates will have the knowledge and skills relevant to a range</p>	

		of specialist investigation roles in local and central government organisations, and organisations that carry out regulatory compliance work on their behalf.
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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 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>
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 content must address the conditions as stated.
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<p>programme</p>	<p>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>Plan, manage, and lead complex regulatory compliance investigations</p> <p>40 credits</p>	<p>Programmes must include coverage of the following area:</p> <ul style="list-style-type: none"> - Ethical, legal, organisational and Te Tiriti o Waitangi/Treaty of Waitangi requirements in relation to planning, managing and leading the investigations.
2	<p>Apply specialised knowledge of investigative practice in an investigation</p> <p>60 credits</p>	<p>Programmes must include coverage of the following areas:</p> <ul style="list-style-type: none"> - Scene management and examination - Exhibits and evidence management - Interviewing in an investigation context - Witness and victim liaison - File management - Analysing and reporting - Communications - Judicial proceedings.
3	<p>Apply specialised knowledge of the law in relation to investigative practice</p> <p>20 credits</p>	<p>Programmes must include coverage of the following areas:</p> <ul style="list-style-type: none"> - Legislation relating to evidence and searching for evidence - Powers in relation to at least one regulatory compliance organisation - Vicarious liability - Judicial process, hierarchy of courts, precedence and case law.

Transition information

<p>Replacement information</p>	<p>This qualification, with the <i>New Zealand Certificate in Regulatory Compliance (Level 5) with strands in Audit, Inspection, Investigation, and Operations</i> [Ref: 2777], replaces the National Diploma in Public Sector Compliance Investigations (Level 5) with optional strands in Prosecutions, and Civil Appeal Proceedings [Ref:1666].</p>
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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.