

# Regulatory compliance qualifications overview

For everyone who works in, wants to work in, or is closely associated with a regulatory compliance organisation.

This encompasses a wide range of roles, including: operational staff, technical advisors, executives and managers, specialists looking to apply their knowledge to a regulatory context.

## Core Knowledge

Understand New Zealand's regulatory compliance environment and key aspects of operating in it

2774: New Zealand Certificate in Regulatory Compliance (Core Knowledge) (Level 3)

40 credits

## Content:

- NZ's regulatory system
- Regulatory concepts and models
- Core legal knowledge
- Regulatory compliance activities
- Managing information, records and evidence
- Professional conduct, communication and interaction.

For those who are either preparing to carry out, or supporting others to carry out, frontline regulatory compliance work.

This may include frontline officers, administrative support staff, technical advisors, legal, policy, or communications advisors. This qualification is a prerequisite for the Operational Practice (Level 4) qualification.

## Operational Knowledge

Prepare to carry out operational regulatory compliance work

2775: New Zealand Certificate in Regulatory Compliance (Operational Knowledge) (Level 4)

40 credits

## Content:

- Operational knowledge: legal systems, powers and obligations, offences, and evidence
- Core regulatory compliance activities
- Using a range of regulatory compliance interventions
- Communication in an operational context.

For those who carry out regulatory compliance operational work.

Typically frontline activities that involve direct contact with regulated persons and members of the public. Graduates can undertake a broad range of routine regulatory compliance processes.

## Operational Practice

Carry out operational regulatory compliance work

2776: New Zealand Certificate in Regulatory Compliance (Operational Practice) (Level 4)

40 credits

## Content:

- Operating ethically
- Safety and wellbeing
- Communicating effectively
- Engaging with stakeholders
- Conducting various routine regulatory compliance activities (including intelligence, entry and exit control, education and assistance, compliance checks, physical enforcement, and investigations)
- Carrying out interventions
- Creating and managing regulatory compliance records.

For those who carry out audits, inspections, investigations and/or operations as a senior regulatory compliance practitioner – operating independently and applying specialised knowledge

## Specialised Operational Practice

Carry out operational regulatory compliance work as a senior practitioner

2777: New Zealand Certificate in Regulatory Compliance (Level 5) with strands in Audit, Inspections, Investigation, Operations

60 credits

## Content:

- Carrying out regulatory compliance activities using a risk based approach
- Engaging with stakeholders as a senior regulatory compliance practitioner
- Planning managing and conducting audit, inspection, investigation, and operations
- Within each of these:**
- Practising within their area of specialisation consistent with ethical, legal and organizational requirements
- Contributing to intelligence processes
- Interviewing and/or facilitating.

For those who lead, manage, and conduct complex investigations

## Specialist Investigations Practice

Carry out complex regulatory compliance investigations that require advanced skills

2778: New Zealand Diploma in Regulatory Compliance Investigations (Level 6)

120 credits

## Content:

- Planning, managing and leading complex regulatory compliance investigations
- Advanced investigation skills covering: high potential risk, consequences or liability, complex or multiple legal aspects, managing complex relationships, uncooperative subjects, management of risks relating to lengthy investigations
- Applying specialised knowledge of investigative practice
- Applying specialised knowledge of the law in relation to investigative practice, including legislation relating to evidence.