

National Certificate in Public Sector Compliance (Foundation) (Level 3)

Level 3

Credits 55

This qualification has been **reviewed**. The last date to meet the requirements is 31 December 2020.

Transition Arrangements

This qualification has been reviewed and replaced by the New Zealand Certificate in Regulatory Compliance (Core Knowledge) (Level 3) [Ref: 2774].

The last date for entry into programmes leading to this replaced qualification is 31 December 2017. The last date to meet the requirements of the replaced qualification will be 31 December 2020 when the qualification will be discontinued. From that date, no results can be reported against the qualification.

People currently working towards this qualification may either complete the requirements by 31 December 2020 or transfer their results to the replacement qualification.

For detailed information see [Review Summaries](#) on the NZQA website.

NZQF National Qualification Registration Information

Process	Version	Date	Last Date for Assessment
Registration	1	June 2011	December 2020
Review	2	June 2015	December 2020

Standard Setting Body

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Purpose

This qualification recognises the knowledge and skills which underpin, support, and are common to public sector compliance practitioners. Compliance practitioners may include but are not limited to compliance officers, investigators, auditors, and intelligence analysts employed by public sector organisations that carry out compliance related functions.

People awarded this qualification are able to demonstrate knowledge and skills in: operating in a public sector regulatory environment, regulatory theories and a regulatory model, options for achieving compliance, producing and managing compliance records, information and privacy legislation, establishing and maintaining effective relationships in a compliance environment, communicating with people from other cultures, using effective business writing skills, applying safe work practices, reading and interpreting legislation, compliance office powers and obligations, basic legal concepts in a public sector regulatory environment, and the rules of evidence and evidence management.

Depending on preference candidates, through the Elective section, will also be able to demonstrate knowledge of: compliance investigations, compliance audit theory and process, the intelligence analysis process, or keeping oneself and others safe in compliance situations with potential for conflict.

Candidates for this qualification may be employed as compliance practitioners, compliance support people, or managers and executives who are coming into the compliance field for the first time. For those not intending to progress as a compliance practitioner, but who work in a role requiring an appreciation and understanding of the broader field of compliance, this qualification may represent an end in itself. For those new to the field of compliance, and who intend progressing within the field, this qualification may be regarded as an early step along a career path to become a fully-fledged compliance officer, investigator, auditor, intelligence analyst, or other practitioner and/or manager or leader in any of these areas.

This qualification provides entry, either by award or by recognition of existing knowledge and skills, to any of: the National Certificate in Public Sector Compliance Operations (Level 4) with an optional strand in Investigations [Ref: 1665]; or the National Diploma in Public Sector Compliance Investigations (Level 5) with optional strands in Prosecutions, and Civil Appeal Proceedings [Ref: 1666].

Though not stated as such in the National Certificate in Intelligence Analysis [Ref: 0999], this qualification provides useful underpinning knowledge and skills that would assist entry into Ref: 0999 and/or to the National Diploma in Intelligence Analysis [Ref: 0899].

Special Notes

This qualification is available only to employees of public sector organisations. Public sector organisations are listed in the Public Sector Directory at <http://psd.govt.nz/list/index.php>.

Credit Range

	Compulsory	Elective
Level 2 credits	4	-
Level 3 credits	43	-
Level 4 credits	4	4
Minimum totals	51	4

Requirements for Award of Qualification

Award of NZQF National Qualifications

Credit gained for a standard may be used only once to meet the requirements of this qualification.

Unit standards and achievement standards that are equivalent in outcome are mutually exclusive for the purpose of award. The table of mutually exclusive standards is provided on the New Zealand Qualifications Authority (NZQA) website: <http://www.nzqa.govt.nz/qualifications-standards/standards/standards-exclusion-list/>.

Reviewed standards that continue to recognise the same overall outcome are registered as new versions and retain their identification number (ID). Any version of a standard with the same ID may be used to meet qualification requirements that list the ID and/or that specify the past or current classification of the standard.

Summary of Requirements

- Compulsory standards
- Elective – A minimum of 4 credits as specified

Detailed Requirements

Compulsory

The following standards are required

Business > Public Sector Services > Public Sector Core Skills

ID	Title	Level	Credit
19904	Read and interpret legislation	3	5
19906	Describe information and privacy legislation in relation to the public sector	3	4

Health > Occupational Health and Safety > Occupational Health and Safety Practice

ID	Title	Level	Credit
17593	Apply safe work practices in the workplace	2	4

Humanities > Communication Skills > Interpersonal Communications

ID	Title	Level	Credit
1304	Communicate with people from other cultures	3	2

Humanities > Communication Skills > Writing

ID	Title	Level	Credit
16612	Use effective business writing skills in a business organisation	4	4

Law and Security > Compliance and Law Enforcement > Compliance and Regulatory Control

ID	Title	Level	Credit
4223	Demonstrate knowledge of the statutory powers and obligations of a compliance officer	3	4

Law and Security > Public Sector Compliance > Public Sector Compliance Operations

ID	Title	Level	Credit
26897	Demonstrate knowledge of operating in a public sector regulatory environment	3	4
26898	Demonstrate knowledge of regulatory approaches and a regulatory model used in a compliance environment	3	4
26899	Demonstrate knowledge of options for achieving compliance	3	4
26900	Demonstrate basic knowledge of legal concepts in a public sector regulatory environment	3	5
26901	Demonstrate knowledge of offences, the rules of evidence, and evidence management in a compliance environment	3	4
26902	Produce and manage records in a compliance environment	3	3
26903	Demonstrate knowledge of establishing and maintaining effective relationships in a compliance environment	3	4

Elective

A minimum of 4 credits

Law and Security > Compliance and Law Enforcement > Intelligence Analysis

ID	Title	Level	Credit
18503	Demonstrate knowledge of the intelligence analysis process	4	5

Law and Security > Public Sector Compliance > Public Sector Compliance Investigations

ID	Title	Level	Credit
26906	Demonstrate knowledge of compliance investigations	4	4

Law and Security > Public Sector Compliance > Public Sector Compliance Operations

ID	Title	Level	Credit
26904	Demonstrate and apply knowledge of keeping oneself and others safe in compliance situations with potential for conflict	4	4
26905	Demonstrate knowledge of compliance auditing	4	4

Transition Arrangements

This qualification contains standards for which another standard is acceptable to The Skills Organisation as an alternative. For the purposes of this qualification people who have gained credit for the alternative standards are exempt from the requirement to gain credit for the standards listed in this qualification – see table below.

Credit for	Exempt from
10425	17593
18643	4233
19503	17593

Other standard setting bodies whose standards are included in the qualification

New Zealand Industry Training Organisation
NZQA

Certification

This certificate will display the logos of NZQA, The Skills Organisation and the organisation that has been granted consent to assess against standards that meet the requirements of the qualification (accredited).

Classification

This qualification is classified according to the classification system listed on the Directory of Assessment Standards (DAS) and the New Zealand Standard Classification of Education (NZSCED) system as specified below.

DAS Classification		NZSCED	
Code	Description	Code	Description
456	Law and Security > Public Sector Compliance	091199	Society and Culture > Justice and Law Enforcement > Justice and Law Enforcement not elsewhere classified

Quality Management Systems

Providers and Industry Training Organisations must be granted consent to assess by a recognised Quality Assurance Body before they can register credits from assessment against standards. Organisation with consent to assess and Industry Training Organisations assessing against standards must engage with the moderation system that applies to those standards. Consent to assess requirements and the moderation system are outlined in the associated Consent and Moderation Requirements (CMR) for each standard.

Reviewed