

## National Certificate in Public Sector Compliance Operations (Level 4) with an optional strand in Investigations

**Level** 4

**Credits** 64

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 (Operational Knowledge) (Level 4) [Ref: 2775] and the New Zealand Certificate in Regulatory Compliance (Operational Practice) (Level 4) [Ref: 2776].

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 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 this qualification may either complete the requirements by 31 December 2020 or transfer their results to the replacement qualification(s).

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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## National Certificate in Public Sector Compliance Operations (Level 4) with an optional strand in Investigations

<b>Level</b>	<b>4</b>
<b>Credits</b>	<b>64</b>

### Purpose

This qualification recognises the body of knowledge and skills common to competent compliance officers at a practitioner level across public sector organisations. Compliance officers typically carry out frontline functions, often involving direct contact with compliance subjects and members of the public. These functions include assessing levels of adherence to regulatory requirements and carrying out any appropriate interventions to educate, assist, or compel compliance subjects to achieve and maintain compliance. Compliance officers may also undertake investigations.

People awarded this qualification are able to demonstrate knowledge and skills in: problem solving, legal systems as they relate to the public sector regulatory environment, making compliance decisions and/or recommendations, business structures and corporate liability, intelligence analysis process, informing and assisting compliance subjects, responding to calls for service, conducting compliance checks, planning and managing compliance operations, the conduct of significant compliance operations, and carrying out compliance investigations.

Depending on preference, candidates will be able to select an appropriate option from the wide ranging Core Elective. Examples of such options are presentation skills, evidence search, audio visual evidence capture, exhibit management, and safe conduct in compliance situations with potential for conflict.

Compliance officers who conduct investigations in their work may wish to complete the optional strand in Investigations. People who have completed this optional stand are able to manage investigations file documentation, carry out investigations, and demonstrate interviewing skills. They are able to carry out one of the following in a compliance investigations context: planning and controlling a search for evidence, examining and managing scenes, using audio and/or visual equipment to capture and secure evidence, managing exhibits, or giving evidence in a judicial hearing.

People entering this qualification will have been awarded the National Certificate in Public Sector Compliance (Foundation) (Level 3) [Ref: 1664], which represents the knowledge and skills that underpin, support, and are common to public sector compliance practitioners, or will have demonstrated equivalent knowledge and skills.

People completing the core requirements of this qualification may wish to complete this qualification's optional strand in Investigations and/or progress to the National Diploma in Public Sector Compliance Investigations (Level 5) with optional strands in Prosecutions, and Civil Appeal Proceedings [Ref: 1666] depending on their chosen career path. There are 23 compulsory credits in common between this qualification and Ref: 1666.

People awarded this qualification may also choose to undertake the level 4 National Certificate in Intelligence Analysis [Ref: 0999] as an introduction to the field of intelligence analysis and/or progress to the level 5 National Diploma in Intelligence Analysis [Ref: 0899].

## Special Notes

Prerequisite: National Certificate in Public Sector Compliance (Foundation) (Level 3) [Ref: 1664], or demonstrate equivalent knowledge and skills.

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

	Core Compulsory	Core Elective	Investigations Optional Strand	
			Compulsory	Elective
Level 4 credits	51	0-3	4	0-4
Level 5 credits	10	0-3	30	0-4
Minimum totals	61	3	38	

## 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

- Core Compulsory standards
- Core Elective – A minimum of 3 credits as specified

The following strands are optional

- Investigations Optional Strand

## Detailed Requirements

### Core Compulsory

The following standards are required

Humanities > Communication Skills > Interpersonal Communications

ID	Title	Level	Credit
9695	Examine a problem-solving model and associated techniques	4	3

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
26907	Demonstrate knowledge of business structures and arrangements, and corporate liability, as a compliance practitioner	4	4
26908	Demonstrate knowledge of legal systems and their application to the public sector regulatory environment	4	5
26909	Demonstrate knowledge of planning, management, control, and leadership in relation to significant compliance operations	4	5
26910	Plan and manage compliance operations	4	10
26911	Prepare for and conduct compliance checks	4	4
26912	Inform and/or assist compliance subjects in order to achieve compliance	4	3
26913	Respond to calls for service in a compliance environment	4	8
26914	Make compliance decisions and/or recommendations for compliance cases	5	10

### Core Elective

A minimum of 3 credits

## Humanities &gt; Communication Skills &gt; Interpersonal Communications

ID	Title	Level	Credit
9692	Present information orally to an audience	5	4

## Law and Security &gt; Compliance and Law Enforcement &gt; Compliance and Regulatory Control

ID	Title	Level	Credit
4239	Plan and control the search of a location for compliance and/or enforcement evidence	5	4
4244	Give evidence in a judicial hearing	5	4

## Law and Security &gt; Public Sector Compliance &gt; Public Sector Compliance Investigations

ID	Title	Level	Credit
26917	Manage compliance investigations file documentation	4	4
26919	Use audio and/or visual equipment for capturing and securing evidence in a compliance environment	4	4
26920	Manage exhibits in a compliance environment	4	4

## Law and Security &gt; Public Sector Compliance &gt; 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
26918	Conduct initial response at incidents in a compliance environment	4	4
26922	Carry out interventions in a compliance environment	4	5
26923	Demonstrate and apply knowledge of using interpreters for compliance purposes	4	3

**Investigations Optional Strand**

Meet the requirements of all of the following sets

- Investigations Compulsory
- Investigations Elective

**Investigations Compulsory**

The following standards are required

## Law and Security &gt; Public Sector Compliance &gt; Public Sector Compliance Investigations

ID	Title	Level	Credit
26915	Carry out investigations as a compliance officer	5	15
26916	Demonstrate interviewing skills for compliance investigations	5	15

ID	Title	Level	Credit
26917	Manage compliance investigations file documentation	4	4

### Investigations Elective

A minimum of 4 credits

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

ID	Title	Level	Credit
4239	Plan and control the search of a location for compliance and/or enforcement evidence	5	4

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

ID	Title	Level	Credit
26920	Manage exhibits in a compliance environment	4	4
26921	Assess, control, and manage scenes for compliance investigations	5	10

### 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
18249, 18251	26911
18249, 18264	26911
18251, 18264	26911
18253	26911
18266	26920
18623	26911
18626	26911
19652	26920
20336	26912
20881	26911
20882	26911

Credit for	Exempt from
26926	26915
26927	26916

### Other standard setting bodies whose standards are included in the qualification

Aviation, Tourism and Travel Training Organisation  
 The Skills 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
2225	Law and Security > Public Sector Compliance > Public Sector Compliance Operations	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.