

## National Diploma in Public Sector Compliance Investigations (Level 5) with optional strands in Prosecutions, and Civil Appeal Proceedings

**Level** 5

**Credits** 120

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 (Level 5) with strands in Audit, Inspection, Investigation, and Operations [Ref: 2777] and the New Zealand Certificate in Regulatory Compliance Investigations (Level 6) [Ref: 2778].

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 Diploma in Public Sector Compliance Investigations (Level 5) with optional strands in Prosecutions, and Civil Appeal Proceedings

<b>Level</b>	<b>5</b>
<b>Credits</b>	<b>120</b>

### Purpose

This qualification recognises the body of knowledge and skills common to compliance investigators at a senior practitioner level across public sector organisations.

People awarded this qualification are able to demonstrate knowledge and skills in: legal systems in a public sector regulatory environment; evidence and the Evidence Act 2006; business structures and corporate liability; making compliance decisions and recommendations; planning, managing, and conducting significant compliance investigations; advanced investigative interviewing skills; managing investigations file documentation; and managing exhibits.

Depending on preference or direction candidates will be able to select an appropriate option or options from the wide ranging Core Elective in terms of relevance to their particular compliance role. Examples of such options are presentation skills, evidence search, audio visual evidence capture, safe conduct in compliance situations with potential for conflict, engaging internationally in a compliance context, and using interpreters for compliance purposes.

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.

Some candidates may have completed the National Certificate in Public Sector Compliance Operations (Level 4) with an optional strand in Investigations [Ref: 1665] or another compliance related qualification such as the National Certificate in Public Sector Compliance Management (Road Transport) [Ref: 1170], the National Certificate in Compliance and Regulatory Control (Local Government Enforcement) with an optional strand in Liquor Licensing [Ref: 1246], or the National Certificate in Border Management (Customs) (Level 4) with strands in Customs General, Trade Assurance, and Investigations and Response [Ref: 1592] and decided to specialise as a compliance investigator.

People who have met the core requirements of this qualification may elect to complete one or both of the available optional strands in Prosecutions, and Civil Appeal Proceedings depending on their particular compliance role.

People awarded this qualification may wish to progress into a management role in the compliance field and/or undertake a management qualification.

This qualification has 23 compulsory credits in common with the National Certificate in Public Sector Compliance Operations (Level 4) with an optional strand in Investigations [Ref: 1665].

### 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	Prosecutions Optional Strand	Civil Appeal Proceedings Optional Strand
Level 4 credits	21	0-9	-	-
Level 5 credits	20	0-9	-	20
Level 6 credits	70	0-9	25	-
Minimum totals	111	9	25	20

### 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 9 credits as specified

The following strands are optional

- Prosecutions Optional Strand
- Civil Appeal Proceedings Optional Strand

## Detailed Requirements

### Core Compulsory

The following standards are required

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

ID	Title	Level	Credit
26906	Demonstrate knowledge of compliance investigations	4	4
26917	Manage compliance investigations file documentation	4	4
26920	Manage exhibits in a compliance environment	4	4
26924	Demonstrate knowledge of evidence and the Evidence Act 2006 in relation to compliance investigations	5	10
26925	Plan and manage significant compliance investigations	6	25
26926	Conduct significant compliance investigations	6	25
26927	Demonstrate advanced interviewing skills for compliance investigations	6	20

#### 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
26914	Make compliance decisions and/or recommendations for compliance cases	5	10

### Core Elective

A minimum of 9 credits

#### Humanities > Communication Skills > Interpersonal Communications

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

#### 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
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
26919	Use audio and/or visual equipment for capturing and securing evidence in a compliance environment	4	4
26921	Assess, control, and manage scenes for compliance investigations	5	10
26929	Demonstrate basic knowledge of managing covert human intelligence sources (CHIS)	4	6
26931	Manage responsibilities to victims in a compliance investigations context	5	5

## 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
26923	Demonstrate and apply knowledge of using interpreters for compliance purposes	4	3
26928	Demonstrate knowledge of engaging internationally in a compliance context	5	7
26930	Plan and manage significant compliance operations	6	15

**Prosecutions Optional Strand**

The following standard is required

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

ID	Title	Level	Credit
26932	Prepare for and oversee a prosecution as a compliance investigator	6	25

**Civil Appeal Proceedings Optional Strand**

The following standard is required

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

ID	Title	Level	Credit
26933	Prepare for and contribute to a civil appeal proceeding as a compliance investigator	5	20

**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
18266	26920
19652	26920

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

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
2224	Law and Security > Public Sector Compliance > Public Sector Compliance Investigations	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.