

National Certificate in Compliance and Regulatory Control (Local Government Enforcement) (Level 4) with an optional strand in Liquor Licensing

Level 4

Credits 61 or 83 with optional strand

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 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(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	July 2006	December 2020
Review	2	June 2015	December 2020

Standard Setting Body

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National Certificate in Compliance and Regulatory Control (Local Government Enforcement) with an optional strand in Liquor Licensing

Level 4

Credits 61 or 83 with optional strand

Purpose

This qualification recognises the knowledge and skills of local government officers who represent their local authority in an enforcement capacity by conducting compliance inspections, following up on non-compliance, and pursuing prosecution for compliance breaches. Such officers must be able to identify and apply those Acts and Regulations, that are applicable to a wide variety of possible situations requiring local government intervention or involvement, to ensure compliance or pursue enforcement for non-compliance.

The holder of this qualification understands the legal system as it pertains to local government, understands the powers of a compliance officer and, in terms of compliance enforcement, is able to: plan and conduct an inspection; take follow-up action; establish, collect evidence for, and complete documentation for a breach; interview to collect evidence for a judicial or quasi-judicial hearing; prepare a prosecution file and brief counsel; and give evidence at the hearing. At the same time the holder is able to communicate effectively with clients and conduct him or herself safely.

Optional strands will be added progressively to the qualification. The optional strands are designed to recognise specialist areas of local government enforcement that are not necessarily full-time specialist functions. The first of these optional strands, for Liquor Licensing, is for local government compliance officers whose role includes dealing with liquor licensing and enforcement in terms of the Sale of Liquor Act 1989. Proposed optional strands to be added in future may address nuisance control and/or noise control, gaming compliance, and resource management.

Career progression beyond these roles is most likely to be in first line management, for which a range of management qualifications and/or training opportunities is available depending on the needs and aspirations of the individual.

This qualification shares standards with other qualifications that have, by contrast, been designed for dedicated full-time specialist roles such as pest plant control, animal control, and parking enforcement. Those roles are recognised by the following national certificates:

- National Certificate in Compliance and Regulatory Control (Pest Plant Control) (Level 4) [Ref: 0529]
- National Certificate in Compliance and Regulatory Control (Animal Control) (Level 4) with an optional strand in Animal Shelter [Ref: 0533]
- National Certificate in Compliance and Regulatory Control (Parking Enforcement) (Level 3) [Ref: 0464].

Credit Range

	Compulsory	Liquor Licensing Optional Strand
Level 2 credits	4	-
Level 3 credits	4	-
Level 4 credits	24	15
Level 5 credits	25	7
Level 6 credits	4	-
Totals	61	22

Requirements for Award of Qualification

This qualification will be awarded to people who have met the requirements of the compulsory section.

The qualification with the optional strand will be awarded to people who have completed the qualification and also met the requirements of the strand.

Award of NQF 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 in the Qualifications Authority *Rules and Procedures* publications available at www.nzqa.govt.nz/ncea/.

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.

Detailed Qualification Requirements

Compulsory

All the standards listed are required.

Field Law and Security
 Subfield Compliance and Law Enforcement
 Domain Compliance and Regulatory Control

Id	Title	Level	Credit
4223	Describe the powers of a compliance officer	3	4
4226	Establish specific compliance criteria	5	4
4230	Plan compliance inspections	4	4
4231	Conduct a compliance inspection	4	4
4234	Take follow-up action for non-compliance	4	4
4237	Establish an offence or offences	5	4
4238	Interview to collect evidence for a judicial hearing	6	4
4243	Prepare a prosecution file and brief counsel	5	5

Id	Title	Level	Credit
4244	Give evidence in a judicial hearing	5	4
10425	Apply the HSE Act 1992 as an employee in a compliance and/or regulatory control workplace	4	2
11283	Communicate with clients in a compliance context	4	6
14933	Establish, collect evidence for, and complete documentation for a compliance breach	4	4
14934	Represent a compliance and/or regulatory control authority while an employee	2	4
19420	Demonstrate knowledge of the legal system as it pertains to local government in New Zealand	5	8

Liquor Licensing Optional Strand

All the standards listed are required.

Field Law and Security
 Subfield Compliance and Law Enforcement
 Domain Compliance and Regulatory Control

Id	Title	Level	Credit
13225	Demonstrate knowledge of Sale of Liquor Act 1989 enforcement and promote licensee responsibility	5	7
22052	Demonstrate knowledge of liquor licensing for District Licensing Agency inspectors	4	10

Field Service Sector
 Subfield Hospitality
 Domain Food and Beverage Service

Id	Title	Level	Credit
4646	Demonstrate knowledge of the Sale of Liquor Act 1989 and its implications for licensed premises	4	2
16705	Demonstrate knowledge of host responsibility requirements as a duty manager of licensed premises	4	3

Any person or organisation may contribute to the review of this qualification by sending feedback to the standard setting body at the above address.

The review of this qualification is planned to take place in 2011.

Other standard setting bodies whose standards are included in the qualification

Hospitality Standards Institute

Certification

The certificate will display the logo of the The Skills Organisation and NZQA.

Classification

This qualification is classified according to the NQF classification system and the New Zealand Standard Classification of Education (NZSCED) system as specified below.

DAS Classification		NZSCED	
Code	Description	Code	Description
940	Law and Security/Compliance and Law Enforcement/Compliance and Regulatory Control	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 accredited by a recognised Quality Assurance Body before they can register credits from assessment against standards. Accredited providers and Industry Training Organisations assessing against standards must engage with the moderation system that applies to those standards. Accreditation requirements and the moderation system are outlined in the associated Accreditation and Moderation Action Plan (AMAP) for each standard.

REVIEWING