

<b>Title</b>	<b>Demonstrate knowledge of compliance management and compliance programmes in an organisation</b>		
<b>Level</b>	<b>4</b>	<b>Credits</b>	<b>6</b>

<b>Purpose</b>	<p>This unit standard is intended for people working in roles where they assist or contribute to risk and compliance management but are unlikely to have decision making authority or overall responsibility for any aspects of their organisation's risk and compliance activities.</p> <p>People credited with this unit standard are able to demonstrate knowledge of:</p> <ul style="list-style-type: none"> <li>– compliance management in an organisation;</li> <li>– governance and organisational structure for compliance management; and</li> <li>– compliance programmes in an organisation.</li> </ul>
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<b>Classification</b>	Business Environment > Organisational Risk and Compliance Management
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<b>Available grade</b>	Achieved
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### Guidance Information

- 1 Assessment against this unit standard must be based on evidence from a real or simulated workplace situation, provided the simulation reflects requirements of an organisation and requires performance that replicates a real working environment.
- 2 References  
*ISO 31000:2018 Risk management - Guidelines;*  
*ISO 19600:2014 Compliance management systems - Guidelines;*  
*NZS/AS 3806-2006 Compliance programmes;*  
 and subsequent amendments and replacements.  
 These references and associated companion documents are available from Standards New Zealand [www.standards.co.nz](http://www.standards.co.nz) and the International Organisation for Standardisation [www.iso.org/home.html](http://www.iso.org/home.html).
- 3 Definitions  
*Organisation* refers to a business entity which may be – in private, public, or community and volunteer sectors; a business unit, Māori, or other special-purpose body.  
 Definitions of risk and other specialist risk management, compliance management, and compliance programmes terms are found in the references above.

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## Outcomes and performance criteria

### Outcome 1

Demonstrate knowledge of compliance management in an organisation.

#### Performance criteria

- 1.1 Describe reasons for applying a compliance management process in an organisation in terms of ISO 19600:2014.
- 1.2 Explain all principles that underpin compliance management in terms of ISO 19600:2014.
- 1.3 Identify and explain potential causes and consequences of compliance-related risk in terms of ISO 19600:2014.
- Range potential causes and consequences of risk may include but are not limited to – technical, people, reputational, operational, organisational, legal, financial; evidence of five different causes and the consequence(s) of each is required.
- 1.4 Describe steps in a compliance management process in an organisation in terms of their components, and in terms of ISO 19600:2014.
- Range all steps of process, maintaining a record of activities, proposed communication and consultation with stakeholders.
- 1.5 Identify and explain elements associated with the assembly of a compliance management plan in an organisation in terms of their purpose and of ISO 19600:2014.
- Range elements in the plan may include but are not limited to – goals; method; roles and responsibilities; risk analysis process, tools, techniques; documentation and risk register; risk categories; risk thresholds; communication; audit; budget; evidence of four elements is required.
- 1.6 Explain risk appetite and tolerance in accordance with ISO 31000:2018 and ISO 19600:2014.

### Outcome 2

Demonstrate knowledge of governance and organisational structure for compliance management.

#### Performance criteria

- 2.1 Describe key elements of governance in terms of ISO 31000:2018, ISO 19600:2014, and NZS/AS 3806-2006.

2.2 Explain how governance relates to risk and compliance-related risk, in terms of ISO 31000:2018, ISO 19600:2014, and NZS/AS 3806-2006.

2.3 Describe the general structure of an organisation in terms of maintaining compliance within the organisation's planned compliance programme or compliance management system.

Range identifying roles, accountabilities, and responsibilities of management and staff.

### Outcome 3

Demonstrate knowledge of compliance programmes in an organisation.

#### Performance criteria

3.1 Describe the purpose of applying a compliance programme in an organisation in terms of NZS/AS 3806-2006.

3.2 Explain the principles that underpin compliance programmes in terms of NZS/AS 3806-2006.

3.3 Describe steps in the compliance management process in terms of their components and in terms of NZS/AS 3806-2006.

<b>Planned review date</b>	31 December 2025
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#### Status information and last date for assessment for superseded versions

Process	Version	Date	Last Date for Assessment
Registration	1	25 June 2020	N/A

<b>Consent and Moderation Requirements (CMR) reference</b>	0121
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This CMR can be accessed at [www.nzqa.govt.nz/framework/search/index.do](http://www.nzqa.govt.nz/framework/search/index.do).

#### Comments on this unit standard

Please contact The Skills Organisation [reviewcomments@skills.org.nz](mailto:reviewcomments@skills.org.nz) if you wish to suggest changes to the content of this unit standard.