

<b>Title</b>	<b>Contribute to identifying the risks and compliance obligations of an organisation</b>		
<b>Level</b>	<b>4</b>	<b>Credits</b>	<b>5</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:</p> <ul style="list-style-type: none"> <li>– demonstrate knowledge of identifying risks and compliance obligations for an organisation;</li> <li>– conduct research to contribute to identifying the risks and compliance obligations of an organisation; and</li> <li>– contribute to identifying the risks and compliance obligations of an organisation using tools and techniques.</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  
*Compliance obligations* include mandatory and voluntary obligations.  
*Industry practice* includes policies, procedures, and standards that competent practitioners in the industry recognise as current industry good practice.  
*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.

*PESTEL* stands for Political, Economic, Social, Technological, Environmental, Legal. *SWOT* stands for Strengths, Weaknesses, Opportunities, and Threats. Definitions of risk and other specialist risk management, compliance management, and compliance programmes terms are found in the references above.

- 4 Risks and compliance obligations are identified in this unit standard for later rating, prioritisation, and treatment. Rating, prioritisation, and treatment of risks are covered in the following unit standards:  
 Unit 31693, *Analyse and rate non-complex risks using risk assessment criteria*  
 Unit 31694, *Prioritise risks and compliance obligations for an organisation*  
 Unit 31695, *Assist with development and implementation of risk mitigation for an organisation.*
- 5 All performance criteria in this unit standard must be in accordance with industry practice.

## Outcomes and performance criteria

### Outcome 1

Demonstrate knowledge of identifying risks and compliance obligations for an organisation.

#### Performance criteria

- 1.1 Explain tools used to identify risks and compliance obligations for an organisation in terms of their methodology.
- Range tools may include but are not limited to – SWOT analysis, PESTEL analysis, root cause analysis, checklist analysis; evidence of two tools is required.
- 1.2 Explain techniques used to identify risks and compliance obligations for an organisation in terms of their methodology.
- Range techniques may include but are not limited to – risk and/or compliance interviews, risk and/or compliance workshops; evidence of two techniques is required.
- 1.3 Explain the need for continual risk and compliance updates to identify new and changed risks and compliance obligations.

### Outcome 2

Conduct research to contribute to identifying the risks and compliance obligations of an organisation.

**Performance criteria**

2.1 Identify legislation, regulations, codes, or Standards in terms of their applicability to an organisation.

Range may include but is not limited to – ISO 31000:2018, ISO 19600:2014, NZS/AS 3806-2006, industry-specific legislation, industry-specific regulations, industry-specific codes; evidence of five is required.

2.2 Research information and data to contribute in identifying risks and compliance obligations for an organisation.

Range information and data may include but is not limited to – legislation, regulations, regulatory requirements, industry requirements, organisational requirements, technological changes, legislative and regulatory change, historical trends, industry or business conditions, emerging risk issues, changes to industry practice and recognised best practice; evidence of five is required.

**Outcome 3**

Contribute to identifying the risks and compliance obligations of an organisation using tools and techniques.

**Performance criteria**

3.1 Use tools to identify risks and compliance obligations for an organisation under broad guidance.

Range tools may include but are not limited to – SWOT analysis, PESTEL analysis, root cause analysis, checklist analysis; evidence of two tools is required.

3.2 Use techniques to identify risk and compliance obligations for an organisation under broad guidance.

Range techniques may include but are not limited to – risk and/or compliance interviews, risk and/or compliance workshops; evidence of two techniques is required.

<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).

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### 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.