

Title	Analyse and rate non-complex risks using risk assessment criteria for an organisation		
Level	4	Credits	4

Purpose	<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"> – demonstrate knowledge of analysing and rating non-complex risks for an organisation; and – analyse and rate non-complex risks using risk assessment criteria for an organisation.
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Classification	Business Environment > Organisational Risk and Compliance Management
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Available grade	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 and the International Organisation for Standardisation www.iso.org/home.html.
- 3 Definitions
Industry practice includes policies, procedures, and standards that competent practitioners in the industry recognise as current industry good practice.
Non-complex risks are compliance-related risks and non-compliance related risks. They are industry-specific, occur frequently, are not multifaceted, and/or affect only one part of the organisation.
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.

Risk assessment criteria refers to the set of attributes, factors and scales or measures used to assess risks and compliance-related risks. Candidates are not expected to develop their own risk assessment criteria for this unit standard. Definitions of risk and other specialist risk management, compliance management, and compliance programmes terms are found in the references above.

- 4 Recommended unit for entry: Unit 31692, *Contribute to identifying the risks and compliance obligations of an organisation*.
- 5 Following identification, risk and compliance obligations are rated in this unit standard for later prioritisation and treatment. Identification, prioritisation, and treatment are covered in the following unit standards:
Unit 31692, *Contribute to identifying the risks and compliance obligations of an organisation*
Unit 31694, *Prioritise risks and compliance obligations for an organisation*
Unit 31695, *Assist with development and implementation of risk mitigation for an organisation*.
- 6 All performance criteria in this unit standard must be in accordance with industry practice.

Outcomes and performance criteria

Outcome 1

Demonstrate knowledge of analysing and rating non-complex risks for an organisation.

Performance criteria

- 1.1 Explain inherent and residual risks for an organisation.
- 1.2 Explain tools used to analyse inherent risk and residual risk.
- 1.3 Explain tools used to rate inherent risk and residual risk.

Outcome 2

Analyse and rate non-complex risks using risk assessment criteria for an organisation.

Performance criteria

- 2.1 Analyse non-complex risks using existing risk assessment criteria.
- 2.2 Rate and determine level of importance of non-complex risks.
- 2.3 Document analysis processes and outcomes from rating non-complex risks.

Planned review date	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

Consent and Moderation Requirements (CMR) reference	0121
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This CMR can be accessed at www.nzqa.govt.nz/framework/search/index.do.

Comments on this unit standard

Please contact The Skills Organisation reviewcomments@skills.org.nz if you wish to suggest changes to the content of this unit standard.