

Title	Compile and communicate reports on risk and compliance for an organisation using organisational templates		
Level	4	Credits	5

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"> – explain the needs and types of risk and compliance reports for relevant stakeholders in an organisation; and – compile and communicate reports on risk and compliance for an organisation using organisational templates.
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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.
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.
Organisational templates are best practice templates which are approved by the organisation. Examples of templates may include but are not limited to – progress reports, audit reports, PowerPoint presentations.

Relevant stakeholders refer to peoples such as a board, management, staff, and regulators.

Definitions of risk and other specialist risk management, compliance management, and compliance programmes terms are found in the references above.

- 4 Reporting on risk and compliance must encompass information from all steps in a risk management or compliance management process, which must include – identification, rating, prioritisation, treatment, training and awareness, results of monitoring, trend analysis from other information sources.
- 5 All performance criteria in this unit standard must be in accordance with industry practice.

Outcomes and performance criteria

Outcome 1

Explain the needs and types of risk and compliance reports for relevant stakeholders in an organisation.

Range evidence of all defined stakeholders is required.

Performance criteria

- 1.1 Explain needs of relevant stakeholders regarding risk and compliance reports.
- 1.2 Explain types of risk and compliance reporting and when these types are appropriate for relevant stakeholders.

Range appropriate type of reporting may be influenced by considerations relating to – stakeholder’s role and responsibilities in respect of risk and compliance; severity and likelihood of risk consequences presented by the stakeholder; stakeholder’s level of understanding of risk and compliance; nature and scope of information to be provided;
types of reporting may include but are not limited to – registers, matrices, presentations, graphs;

Outcome 2

Compile and communicate reports on risk and compliance for an organisation using organisational templates.

Range evidence of two reports is required.

Performance criteria

- 2.1 Identify risk and compliance information that needs to be communicated to relevant stakeholders when compiling risk and compliance reports for an organisation.

- 2.2 Use organisational templates to compile reports on risk and compliance consistent with the needs of relevant stakeholders.
- 2.3 Communicate risk and compliance information in a manner that is consistent with the needs of relevant stakeholders.

Range evidence of oral and written communication is required.

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.