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| Title | Contribute to risk and compliance testing and risk treatment improvements in an organisation | | |
| Level | 4 | Credits | 5 |

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| 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 the testing of risk and compliance processes and controls in an organisation; – contribute to risk and compliance testing to determine the operational effectiveness of the processes and controls in an organisation; and – analyse results of risk and compliance testing of operational effectiveness and contribute to risk treatment improvements in 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 replacements and amendments.
 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.

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 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 the testing of risk and compliance processes and controls in an organisation.

Performance criteria

- 1.1 Explain the importance, context, and requirements for testing risk and compliance processes and controls for an organisation.

Range testing may include – routine monitoring, targeted testing.
- 1.2 Explain design effectiveness of risk and compliance processes and controls in an organisation.
- 1.3 Explain operational effectiveness of risk and compliance processes and controls in an organisation.

Outcome 2

Contribute to risk and compliance testing to determine the operational effectiveness of the processes and controls in an organisation.

Performance criteria

- 2.1 Make recommendations for risk and compliance testing to determine the operational effectiveness of risk and compliance processes and controls in an organisation.
- 2.2 Complete risk and compliance tests under broad guidance to determine the operational effectiveness of risk and compliance processes and controls in an organisation.

Outcome 3

Analyse results of risk and compliance testing of operational effectiveness and contribute to risk treatment improvements in an organisation.

Performance criteria

- 3.1 Identify weaknesses in risk and compliance processes and controls in an organisation from results of testing operational effectiveness.
- 3.2 Make recommendations for improvements to risk and compliance processes and controls in an organisation to address the weaknesses identified.
- 3.3 Review and discuss progress of risk treatment improvements when contributing to the implementation of risk treatment improvements.

Range review progress, discuss issues arising in timing or solutions with relevant managers, escalate issues within the risk or compliance team when required.

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| 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 |

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| 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.