

Title	Manage risk and compliance management processes and promote positive risk and compliance organisational culture		
Level	6	Credits	15

Purpose	<p>This unit standard is intended for experienced practitioners who manage aspects of risk management and compliance management systems and processes within an organisation.</p> <p>People credited with this unit standard are able to:</p> <ul style="list-style-type: none"> – demonstrate knowledge of risk and compliance governance principles within an organisation; – demonstrate knowledge of risk and compliance management processes and systems for an organisation; – demonstrate knowledge of promoting a positive risk and compliance culture in an organisation; – manage risk and compliance processes and systems for an organisation; and – promote a positive risk and compliance culture 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 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.

Positive risk and compliance culture refers to a culture where staff at every level manage risk as a part of their daily work. It is a culture that encourages staff to raise concerns, network, and maintain processes for escalating these concerns to appropriate levels in an organisation.

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

- 4 Assessment of all outcomes and performance criteria should reflect the principles of the Standards in the references of this unit; and should also reflect current legislation, Standards, and regulations relevant to an organisation.
- 5 All performance criteria must be in accordance with industry practice.

Outcomes and performance criteria

Outcome 1

Demonstrate knowledge of risk and compliance governance principles within an organisation.

Performance criteria

- 1.1 Explain principles of risk management, compliance management, and compliance programmes and their application in an organisation.
- 1.2 Explain the interaction between risk and compliance governance, and the overarching corporate governance environment and their application in an organisation.
- 1.3 Explain risk appetite and tolerance for different levels of risk and their application in an organisation.

Range levels of risk may include but are not limited to – strategic, operational, tactical.

Outcome 2

Demonstrate knowledge of risk and compliance management processes and systems for an organisation.

Performance criteria

- 2.1 Explain how to manage and implement risk and compliance processes and systems.
- 2.2 Explain how to determine the effectiveness of overall processes for managing risk and compliance.

Outcome 3

Demonstrate knowledge of promoting a positive risk and compliance culture in an organisation.

Performance criteria

3.1 Explain behavioural drivers in an organisation that can influence building a positive organisational risk and compliance culture.

Range behavioural drivers may include but are not limited to – bias, culture, incentives, conduct; evidence of three is required.

Outcome 4

Manage risk and compliance processes and systems for an organisation.

Performance criteria

4.1 Manage risk and compliance processes and systems to achieve organisational objectives in respect of risk and compliance.

Range may include but is not limited to – monitoring performance, prioritising actions, instigating processes.

4.2 Determine effectiveness of risk and compliance processes and systems and identify response required to achieve organisational objectives in respect of risk and compliance.

4.3 Apply risk and compliance management principles to manage risk and compliance processes and systems for an organisation, within own role.

Outcome 5

Promote a positive risk and compliance culture in an organisation.

Performance criteria

5.1 Promote a positive risk and compliance culture in an organisation in line with the organisation's strategic objectives and tolerance for risk.

5.2 Apply appropriate communication techniques when promoting a positive risk and compliance culture in an organisation.

Range appropriateness of communication techniques will be influenced by factors such as – nature of the information, audience for the information, severity and the likelihood of risk consequences.

5.3 Promote a positive risk and compliance culture in an organisation by advising on risk and compliance.

5.4 Proactively promote a positive risk and compliance culture in an organisation by seeking opportunities to network with other people or business units.

5.5 Promote the value of the organisation's risk and compliance framework to others.

Range others may include but are not limited to – employees, customers, suppliers, distributors, outsourced partners, contractors; evidence of three 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 <http://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.