

Title	Develop risk and compliance-related risk treatment for an organisation		
Level	6	Credits	6

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 develop risk and compliance-related risk treatment for an organisation.</p>
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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 updates 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.
Scale refers to the breadth of an organisation. Breadth may include but is not limited to the number of locations for the organisation, the breadth of different products and services offered, the number of different departments or roles within the organisation.
Size refers to the number of individuals employed or contracted to an organisation.
 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 31702, *Prioritise complex risks for an organisation.*

- 5 All performance criteria in this unit standard must be in accordance with industry practice.

Outcomes and performance criteria

Outcome 1

Develop risk and compliance-related risk treatment for an organisation.

Performance criteria

- 1.1 Develop options for treatment of risks in terms of an organisation's size, scale and culture.
- Range evidence of two is required.
- 1.2 Apply a risk-based approach to ensure potential impacts are afforded priority when developing risk treatment for an organisation.
- Range potential impacts may include but are not limited to – cost, time, quality.
- 1.3 Develop and communicate a risk and compliance policy, procedures, and associated controls for risk treatment for an organisation.
- 1.4 Develop a new risk mitigation action, policy, procedures and controls for risk treatment for an organisation.
- 1.5 Develop changes to existing risk mitigation actions, policies, procedures, and controls in response to events or issues.
- Range events or issues may include – complaints, incidents, breaches, near misses; evidence of three is required.
- 1.6 Develop risk treatment for an organisation in response to events or issues.
- Range includes – identifying events or issues; reporting events or issues; mitigating outcomes or consequences of events or issues; events or issues may include – complaints, incidents, breaches, near misses; evidence of three events or issues 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

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.