

Title	Develop and manage compliance testing, and implement risk treatment improvements for an organisation		
Level	6	Credits	10

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"> – develop and manage risk and compliance testing for an organisation; and – review results of risk and compliance testing and implement 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 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.
 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 31703, *Develop risk and compliance-related risk treatment for an organisation.*

5 All performance criteria in this unit standard are in accordance with industry practice.

Outcomes and performance criteria

Outcome 1

Develop and manage risk and compliance testing for an organisation.

Performance criteria

1.1 Develop tests to assess the effectiveness of risk and compliance processes and controls for an organisation.

Range effectiveness includes – design effectiveness, operational effectiveness.

1.2 Implement and monitor tests to assess the effectiveness of risk and compliance processes and controls when managing testing for an organisation.

Range effectiveness includes – design effectiveness, operational effectiveness.

Outcome 2

Review results of risk and compliance testing and implement risk treatment improvements in an organisation.

Performance criteria

2.1 Review results of testing to determine any areas for improvement to risk and compliance processes and controls for an organisation.

2.2 Formulate recommendations for improvements to risk and compliance processes and controls for an organisation.

2.3 Implement recommendations for improvements to risk and compliance processes and controls for an organisation.

2.4 Evaluate progress of the treatment of risks and compliance-related risks in an organisation.

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.