GRCI
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10964NAT CERTIFICATE IV IN COMPLIANCE AND RISK MANAGEMENT

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Education,
Leadership,
Recognition

INTRODUCTION

The 10964NAT Certificate IV in Compliance and Risk Management will equip GRC Professionals with the core skills they need to meet the demands of an increasingly complex regulatory environment.

The principles-based course is designed to provide governance, risk and compliance practitioners the skills and knowledge to implement and maintain an effective compliance program across any industry or sector using the professional standards as a benchmark.

WHY ENROL?

The 10964NAT Certificate IV in Compliance and Risk Management is a nationally accredited course that delivers up-to-date compliance, risk and governance content and the practical skills required to develop, implement and manage a compliance program. It is also a unique opportunity to strengthen personal networking with like-minded professionals.

PROGRAM

MODULE

1 COMPLIANCE AND RISK FRAMEWORKS	- Define COMPLIANCE and the roles at each level of an organisation to deliver a compliance framework - Articulate the elements of the International Compliance Standard ISO 37301: 2021 and how they are used to develop a compliance framework - Discuss the relationship between compliance and risk management. - Apply the structural elements of the International Risk Management Standard ISO 31000: 2018 to assess, treat and monitor compliance risks - Develop a compliance risk register and supporting compliance plan on how to treat the risks
2 CULTURE OF COMPLIANCE & ETHICS	- Define and describe compliance culture, integrity, ethics and values - Articulate the importance of ethical decision-making - Outline strategies and compliance programs in order to impact the organisational standards and values
3 COMPLIANCE OBLIGATION, LEGISLATION & REGULATION	- Describe compliance obligations: particularly the impact of the legislative and regulatory environment. - Articulate the steps of legislative and regulatory change program - Outline engagement issues which influence the development of legislative and regulatory reform
4 AWARENESS, COMMUNICATION, & TRAINING	- Define and describe the three key elements of an effective compliance communication program: Awareness, Communication and Training (ACT) - Develop an ACT plan - Consider and assess critical factors that contribute to the success of implementing an ACT plan, including budgets, internal and external

MODULE

5	- Describe the elements of a consequence management program
ISSUES AND BREACH MANAGEMENT	- Design and develop an issues and breach management process
	- Establish a standard process to investigate breaches and manage the outcomes

6	- Define what is a compliance project and when it is required
MANAGING COMPLIANCE PROJECTS	- Describe the elements of each stage in a project lifecycle
	- Identify the specific responsibilities of a compliance officer in a project

7	- Define compliance monitoring and why it needs to be preformed
COMPLIANCE MONITORING	- Outline the difference between compliance monitoring and audit function audits
	- Articulate the steps of a compliance monitoring program
	- Outline how to undertake an individual compliance monitoring plan
	- Develop final reports on findings and recommendations

ASSESSMENT

- Pre-module and in-class activities
- Take-home written assignments
- Workplace assessment

Note: Should a take-home assessment be deemed 'not yet satisfactory', students are eligible to resubmit up to two times without additional costs. If further resubmissions are required they will be charged AUD $250.00 + GST to cover additional marking costs.

AWARD

Successful students will be awarded the 10964NAT Certificate IV in Compliance and Risk Management, a nationally recognised course. On completion, those students who are also financial members of the GRC Institute can apply to be accredited as an Associate of GRCI and may display the post nominal AGRCI.

Benefits of the AGRCI accreditation include:

- Competitive edge in the employment marketplace
- Demonstrates commitment to best practices
- Advances the GRC field by promoting standards of practice

Note: the accreditation mark is not able to be used by organisations or to suggest an organisation as an entity, has been accredited.

UNITS OF COMPETENCE

Upon successful completion of the course and assessments you will be awarded the following units of competency from the 10964NAT Certificate IV in Compliance and Risk Management.

UNIT	DESCRIPTION
BSBAUD412	Work within compliance frameworks
BSBLDR411	Demonstrate leadership in the workplace
BSBOPS403	Apply business risk management processes
BSBWRT411	Write complex documents
FNSORG411	Conduct individual work within a compliance framework
FNSRSK411	Apply risk management strategies to own work
PSPREG005	Assess compliance
PSPREG008	Act on non-compliance
PSPREG017	Undertake compliance audits

NATIONALLY RECOGNISED TRAINING

RTO 91640

REGISTRATION

Students should be employed or have experience in a compliance, risk or governance-related role and must submit a CV to demonstrate work experience requirement.

FEES (GST EXEMPT)

FACE TO FACE/ LIVE-STREAMING:
GRCI Members - AUD $2,700
Non Members - AUD $3,300

DISTANCE LEARNING:
GRCI Members - AUD $2,500
Non Members - AUD $3,100

Course fees include course tuition, all course materials, phone & email support, graduation & certification (AGRCI).

IN-HOUSE TRAINING:
10964NAT Certificate IV program or individual modules can also be delivered and tailored to meet the specific needs of your organisation, within the parameters of the national course framework, ensuring optimal value for your business and employees.

If you would like to know more, please contact GRCI's RTO Manager: +61 2 9290 1788

COURSE EXEMPTION:
Experienced professionals may be eligible to demonstrate their competence and expertise through recognition of prior learning (RPL). Initially, applicants will be asked to send a detailed CV, and any relevant transcript, to ascertain suitability. If accepted the applicant will then receive the RPL kit to record their evidence and supporting portfolio.

Applicants may also demonstrate their eligibilty for credit transfer (CT) by providing statements of attainment awarded by other Registered Training Organisations.

**Register today! www.thegrcinstitute.org OR
email us at education@thegrcinstitute.org**