



10131NAT

# CERTIFICATE IV IN COMPLIANCE & RISK MANAGEMENT



# Overview

## INTRODUCTION

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GRCI's Certificate IV in Compliance and Risk Management 10131NAT has been developed to provide 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?

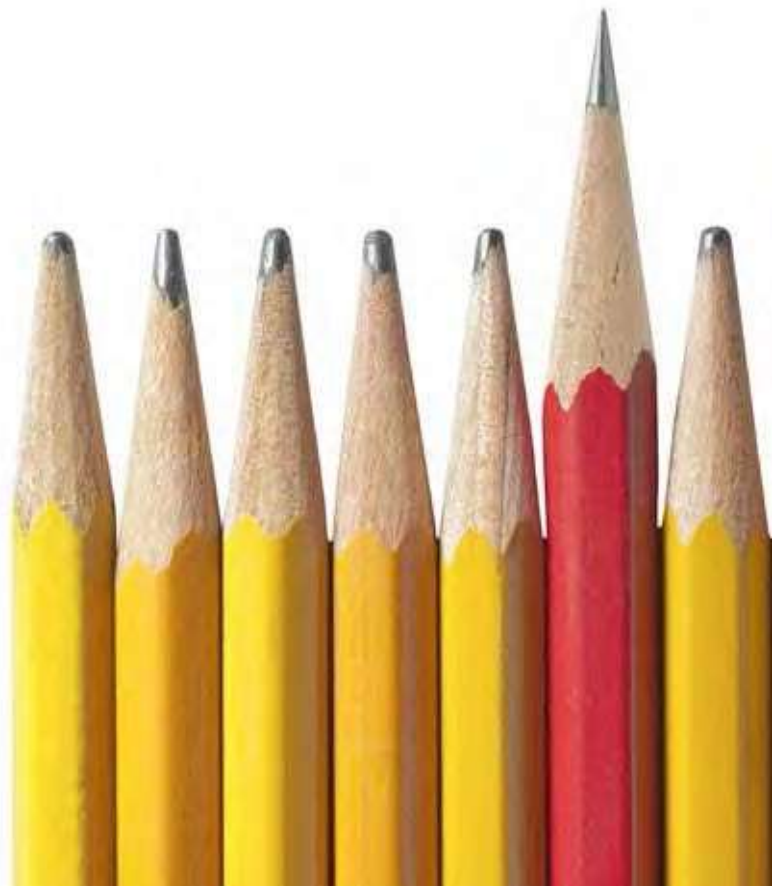
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GRCI's 10131NAT Certificate IV in Compliance & Risk Management is a nationally accredited course.

Providing excellent career development opportunities on completion, the course 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.

The course provides a pathway to a career as a compliance professional and to GRCI's 10184NAT Graduate Certificate in Compliance and Risk Management.

Education  
Leadership  
Recognition



# Membership with GRCI

Join the growing network  
of over 2,500 GRC  
professionals across  
the Asia Pacific

## BENEFITS OF MEMBERSHIP

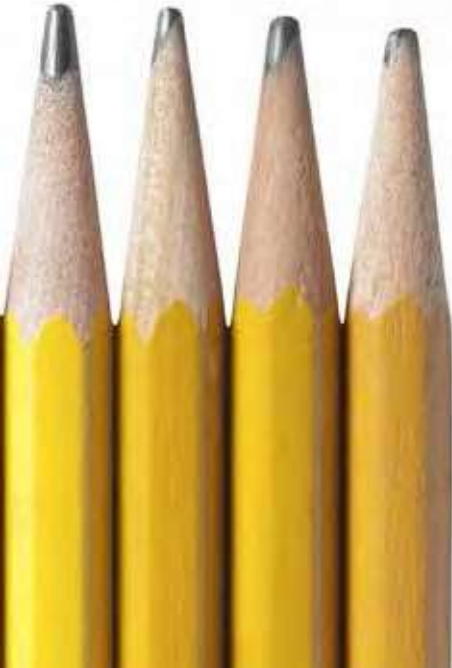
Membership provides you with continued support for your professional development through the provision of resources and tools that keep you up-to-date with industry trends including:

- New career opportunities
- Monthly GRC Professional magazine
- Annual GRC Journal
- Free networking events
- Access to members only working parties and discussion groups
- Access to members only area of the website
- Participation in regulatory engagement groups

On successful completion of the 10131NAT Certificate IV in Compliance & Risk Management, members of GRCI can apply for Associate GRCI accreditation. You must be a financial membership of GRCI, maintain continuous professional development (CPD) and abide by the code of conduct. The Associate GRCI designation permits the use of the post nominal AssocGRCI in professional profiles and other stationery. In addition, significant savings on course fees are available to members.

For details click <https://goo.gl/IK2YRI> or go to [www.theGRCInstitute.org](http://www.theGRCInstitute.org) and use the Education tab to access GRCI Accreditation

To join your professional association, email [admin@thegrainstitute.org](mailto:admin@thegrainstitute.org) or call +61 2 9290 1788 and one of our staff members will be able to help.



# Program

## MODULE

## DETAIL

### 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 19600: 2014 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: 2009 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 AND 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 organisation's standards and values

### 3. COMPLIANCE OBLIGATION, LEGISLATION AND REGULATION

- Describe compliance obligations; particularly the impact of the legislative and regulatory environment
- Articulate the steps of a legislative and regulatory change program
- Outline engagement issues which influence the development of legislative and regulatory reform

### 4. AWARENESS, COMMUNICATION AND TRAINING

- Define and described 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 internal

## MODULE

## DETAIL

5. ISSUES AND BREACH  
MANAGEMENT

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

6. MANAGING COMPLIANCE  
PROJECTS

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

## 7. COMPLIANCE MONITORING

- Define compliance monitoring and why it needs to be performed
- 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 & Learning Outcomes

## ASSESSMENT

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

*Note: Should a take-home assignment be deemed 'not satisfactory', students are eligible to resubmit up to two times without additional costs. If further resubmissions are required they will be charged \$AUD250.00 +GST to cover marking costs.*

## AWARD

Successful students will be awarded the 10131NAT Certificate IV in Compliance and Risk, a nationally recognised course. On completion, students can apply to be accredited as an Associate of GRCI and may display the post nominal AGRCI. Detail at <https://goo.gl/IK2YRI>

Note: To be awarded the AGRCI accreditation you must be a financial membership of GRCI, maintain continuous professional development (CPD) and abide by the code of conduct.



## UNITS OF COMPETENCE

Upon successful completion of the course and assessments you will be awarded the following units of competency from the Certificate IV in Compliance and Risk 10131NAT.

UNIT	DESCRIPTION
BSBCOM401	Organise and monitor the operation of compliance management system
BSBCOM402	Implement processes for the management of breaches in compliance requirements
BSBCOM403	Provide education and training on compliance requirements and systems
BSBCOM404	Promote and liaise on compliance requirements, systems and related issues
BSBCOM405	Promote compliance with legislation
BSBMGT401	Show leadership in the workplace
BSBRSK401	Identify risk and apply risk management processes
PSPREG017	Undertake compliance audits
BSBCOM406 FNSORG401	Conduct work within a compliance framework / Conduct individual work within a compliance framework
BSBWRT401	Write complex documents
FNSRSK401	Implement risk management strategies
PSPREG005	Assess compliance
PSPREG404C	Investigate non-compliance
PSPREG008	Act on non-compliance



# Registration

## ENTRY REQUIREMENTS

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

In preparing for the course, students should take some time to review the following industry standards:

ISO 19600: 2014 Compliance Management

ISO 31000: 2009 Risk Management

A small pre-reading activity will be sent to enrolled students approximately one week prior to the course.

For course dates and locations, please visit the GRCI website [www.thegrainstitute.org](http://www.thegrainstitute.org).

## REGISTER TODAY

ONLINE [www.thegrainstitute.org](http://www.thegrainstitute.org)

PHONE Australia +61 2 9290 1788

FAX +61 2 9262 3311

ADDRESS Level 1, 50 Clarence St, Sydney NSW 2000

MAIL GPO BOX 4117 Sydney NSW 2001

EMAIL [education@thegrainstitute.org](mailto:education@thegrainstitute.org)



## FEES (GST EXEMPT)

GRCI MEMBERS	\$2,430
NON-MEMBERS	\$2,977

Course fees include:

- Course tuition (two days including meals)
- All course materials
- Phone and email support
- Graduation and Certification (AGRCI)

## DISTANCE LEARNING

GRCI MEMBERS	\$2,000
NON-MEMBERS	\$2,500

## COURSE EXEMPTION

Experienced professionals may be eligible to demonstrate their competence and expertise through recognition of prior learning (RPL).

Applicants are required to submit a portfolio of evidence demonstrating their skills and expertise corresponding to each of the course competencies.

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

## IN-HOUSE TRAINING

GRCI's Certificate IV program or individual modules can also be delivered in-house as part of your organisational training framework.

The course can be 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 or Office Administrator:  
+61 2 9290 1788