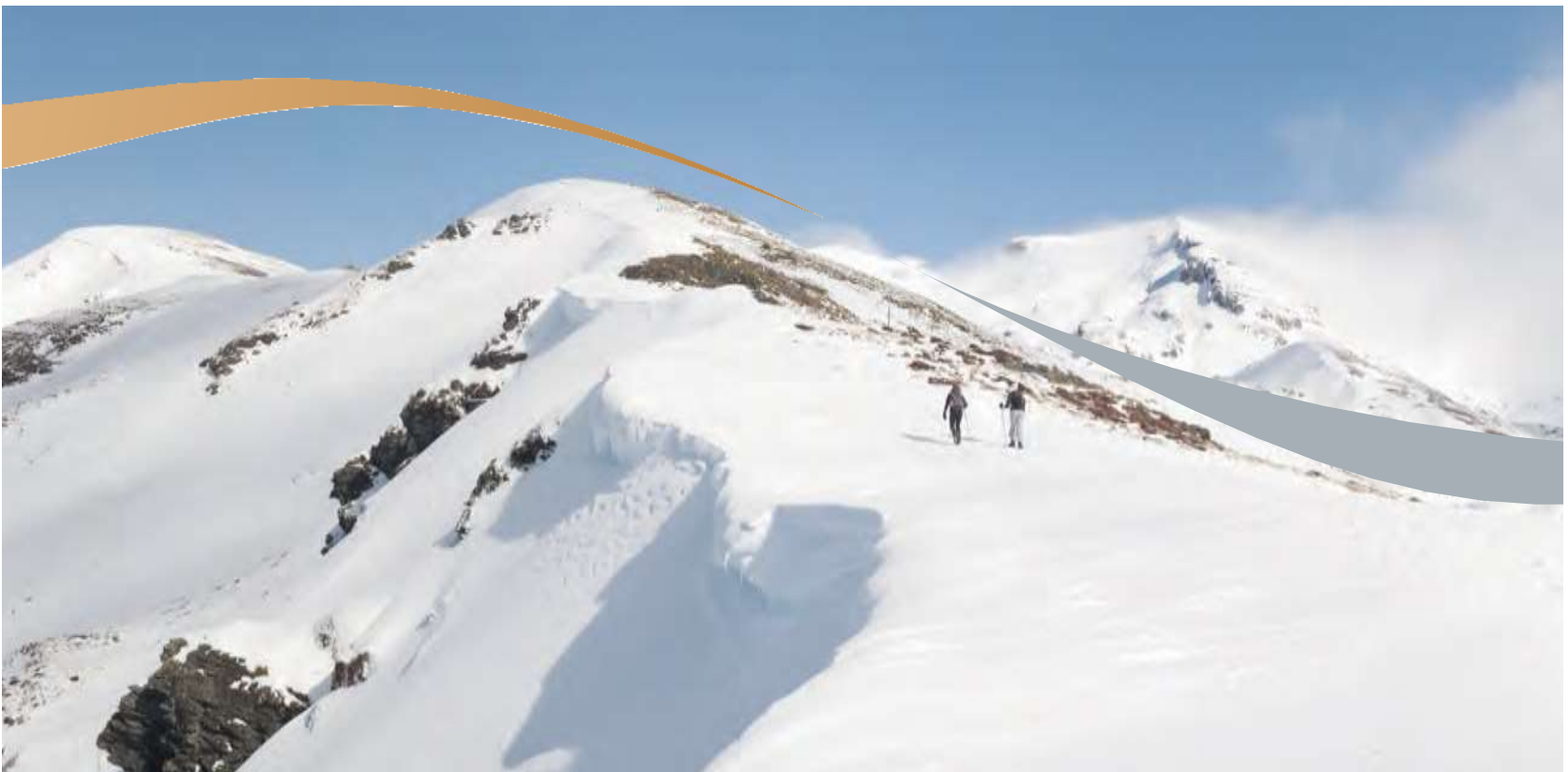




10184NAT

GRADUATE
CERTIFICATE IN
COMPLIANCE & RISK
MANAGEMENT



Overview

INTRODUCTION

GRCI's nationally recognised accredited course, 10184NAT Graduate Certificate in Compliance & Risk Management, is principles-based course designed exclusively for senior governance, risk and compliance professionals looking to further develop skills for career progression to the most senior level. Drawing on the experience of our expert faculty, GRCI has developed a comprehensive program combining presentations, masterclasses, collaborative and individual activities and case studies and workplace assessments.

Those who successfully complete the course will have skills to excel in leadership positions and, as financial members of GRCI and an on-going commitment to continuous professional development (CPD), can apply for Certified Compliance Risk Professional (CCRP) accreditation. For details click <https://goo.gl/IK2YRI> or go to www.theGRCInstitute.org and use the Education tab to access GRCI Accreditation

WHY ENROL?

The 10184NAT Graduate Certificate in Compliance & Risk Management has been created by industry experts and is developed to challenge and reward through the provision of insightful and competency-linked course materials, tutorage and activities. This course offers you a career advantage through demonstrable skill development over an intense study period of four days. You will also become part of a strong network of professionals supported by GRCI, including special events exclusively for alumni.

COURSE DELIVERY

The program is delivered through face-to-face or distance learning models:

Face to Face

Residential (Staying onsite)

Participants will be guided through the course content and assessments throughout a four-day intensive program and will benefit from sharing experiences, knowledge and challenges with industry peers. The intensity and depth of contact during the intensive provides an unsurpassed opportunity to build lifelong networks for mentoring and support.

Non-Residential (Day student only)

Delivered in the same way as above over a four-day intensive program, with the option to just attend class from 8am to 5:30pm and save on the cost of accommodation and meals.

Distance

Designed for those who may wish to study part time, the distance learning model allows for some learning flexibility. Please check our website for more information on this mode of study at www.thegrainstitute.org.

COURSE DURATION

From course pre-reading to final assignment submission, the 10184NAT Graduate Certificate in Compliance & Risk Management would take approximately six to twelve months, equating to approximately 600-1200 hours for someone new to compliance and risk. Others may take less.

**For senior
practitioners
taking the next step into
a leadership role.**



**Become part of a
strong network of
senior professionals.**

Timetable for on-course sessions and residential info

TIME		DAY 1	DAY 2	DAY 3	DAY 4
8:00 AM		Registration Overview 8:10am	Breakfast	Breakfast	Breakfast
8:30 AM		Compliance Management, Programs & Systems Designing and developing compliance frameworks components	Strategy, Leadership & Change Management Compliance strategy – engagement & implementation	Managing Organisational Risks Risk management issues and organisations	Revision Updates Final workshop Individual Student Presentations
10:30 AM		Morning Tea	Morning Tea	Morning Tea	Morning Tea
10:45 AM		Compliance Management, Programs & Systems Continued	Strategy, Leadership & Change Management Continued	Managing Organisational Risks Continued	Individual Student Presentations Continued.
12:30 PM		Lunch	Lunch	Lunch	Lunch
1:30 PM		Compliance Management, Programs & Systems Establishing and managing a compliance function	Strategy, Leadership & Change Management Being a leader and change management agent	Investigations, Systemic Analysis & Problem Solving Investigations – strategy and process	Presentations Continued.
3:00 PM		Afternoon tea	Afternoon tea	Afternoon tea	Afternoon tea
3:15 PM		Strategy, Leadership & Change Management Compliance strategy – engagement & implementation	Managing Organisational Risks Risk management issues and organisations	Investigations, Systemic Analysis & Problem Solving Continued	Presentations Continued. Assessor feedback
5:00 PM	Arrival & Check-in for residential students	Wrap-up & Close	Wrap-up & Close	Wrap-up & Close	Wrap-up & Close
7:00 PM		Dinner	Dinner	Dinner	

Program for on-course & distance

MODULE	DETAIL
<p>1. COMPLIANCE, MANAGEMENT, PROGRAMS AND SYSTEMS</p>	<ul style="list-style-type: none"> o Discuss each element of a compliance framework (benchmarked against ISO 19600) o Design and develop elements of a compliance program and make process changes as required o Articulate the structural components of a complaints management program and how to integrate complaints information into compliance monitoring and review o Describe ways to integrate information management and technology systems into supporting a compliance program o Outline the strategic elements of establishing a Compliance department o Discuss key issues in managing a Compliance department o Develop a professional development strategy for Compliance personnel
<p>2. STRATEGY, LEADERSHIP AND CHANGE MANAGEMENT</p>	<ul style="list-style-type: none"> o Outline a process to provide strategic direction to the organisation through embedding an effective compliance program into the organisation's strategy and processes o Describe each element of the strategic implementation of compliance process o Describe how the use of Maturity Models in Compliance assists with implementation of a strategic compliance plan o Develop engagement and communication strategies for aligned delivery of a compliance program with organisation objectives o Articulate the attributes and strategies to manage a compliance change management process o Discuss the elements of a strategic change management process to implement compliance change o Demonstrate how leadership attributes successfully deliver each stage of a change management program

MODULE	DETAIL
3. MANAGING ORGANISATIONAL RISKS	<ul style="list-style-type: none">• Discuss issues concerning the definition of 'risk' and 'risk management'• Outline the elements of a risk management structure supporting a risk management plan benchmarked against AS/NZS ISO 31000:2009• Define Enterprise Risk Management• Describe and apply the elements of the COSO/ERM framework• Articulate how to embed risk management throughout an organisation• Develop and implement a stakeholder engagement process with regulators in relation to regulatory and legislative risks
4. INVESTIGATIONS, PROBLEM SOLVING AND SYSTEMATIC ANALYSIS	<ul style="list-style-type: none">• Outline the six subjects of a compliance investigation strategy• Describe in detail the compliance investigation program elements and how they interact with each other• Articulate how to approach specific compliance investigation strategic issues, including whistleblowers and fraud• Develop and implement a problem solving methodology for complex compliance problems• Discuss how to conduct a systemic analysis of compliance issues



Assessment & Learning Outcomes

ASSESSMENT

- Five short pre-course activities including two surveys
- On-course assessments, including homework tasks
- Take home/work 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 10184NAT Graduate Certificate in Compliance and Risk Management, a nationally accredited qualification. Students will also be able to apply to be accredited as a Certified Compliance and Risk Professional and may display the post nominal CCRP

UNITS OF COMPETENCE

To complete the course, 10184NAT Graduate Certificate in Compliance and Risk Management, participants need to complete all modules and assessments to cover all 10 core units in the following list. Units are grouped to give a 'real world' feel to the assessments. If all units modules are not completed participants may be entitled to receive a Statement of Attainment.

CORE UNITS	DESCRIPTION
BSBCOM603	Plan and establish compliance management systems
BSBLDR805	Lead and influence change
FNSPRM604	Prepare, supervise and monitor application of practice guidelines
MSS407001A	Prepare for and implement change
MSS407003A	Analyse process changes
MSS407012A	Lead a problem solving process to determine and solve root cause
PSPMNGT608B	Manage risk
PSPMNGT701B	Provide strategic direction
PSPMNGT704A	Undertake enterprise risk management
PSPREG701A	Manage investigations program



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

<http://www.thegrainstitute.org/cmspages/page/1866>



RTO ID: 91640

Registration

ENTRY REQUIREMENTS

Students must have at least five years experience in a compliance, risk or governance-related role with two of those years in a senior/management position. Students must submit a CV to demonstrate the work experience required.

In preparing for the course, students must complete a pre-course assessment which will be provided approximately one month prior to the course date.

For course dates and locations, please visit the GRCI website www.theGRCInstitute.org or contact GRCI +61 2 9290 1788

REGISTER TODAY

ONLINE www.thegrcinstitute.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@thegrcinstitute.org

ON-COURSE FEES (GST EXEMPT)

	Residential	Non-Residential
MEMBERS	\$6,988	\$5,788
NON-MEMBERS	\$8,038	\$6,838

Course fees include:

- o Course tuition
- o All course materials
- o Accommodation for the duration of the course
- o Pre-arranged return transport from Sydney CBD and airport
- o Meals and drinks (excluding alcohol)
- o Graduation & accreditation post nominal CCRP

	Distance
GRCI MEMBERS	\$5,200
NON -MEMBERS	\$6,100

Course fees include:

- o All course materials (in full or part)
- o Graduation & accreditation post nominal CCRP
- o First set of assessments
- o Phone, email and student network assistance (opt-in)

COURSE EXEMPTION

Experienced professionals may be eligible to demonstrate their competence and expertise through recognition of prior learning (RPL) or by completing the full course by distant learning. Contact GRCI for RPL and distant learning fees

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.



Course Credit for further studies:

On successful completion of this certificate students can apply for further study at a Graduate Diploma or Master Degree, such as MBA, at universities or Higher Education Providers that accept units in compliance and/or risk management towards their course.



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