

10980NAT
GRADUATE
CERTIFICATE IN
COMPLIANCE
AND RISK
MANAGEMENT



For Senior
Practitioners
Taking The
Next Step Into
A Leadership
Role.

INTRODUCTION

The Australian Compliance Institute's nationally recognised accredited course, 10980NAT Graduate Certificate in Compliance and Risk Management, is a principles-based course designed exclusively for senior compliance and risk professionals looking to move to the most senior level. Drawing on the experience of our expert faculty, the Australian Compliance Institute has developed a comprehensive program combining presentations, masterclasses, collaborative and individual activities, case studies and workplace assessments.

WHY ENROL?

The 10980NAT Graduate Certificate in Compliance and Risk Management was developed to challenge and reward through the provision of insightful and competency-linked course materials and facilitator led activities. This course offers you a career advantage through demonstrable skill development with a particular emphasis on leadership level essential compliance skills. Upon completion you will join a strong network of professionals supported by the Australian Compliance Institute including special events exclusively for alumni.

PROGRAM

MODULE

1

COMPLIANCE, MANAGEMENT, PROGRAMS & SYSTEM

- Discuss each element of a compliance framework (benchmarked against ISO 37301)
- Design and develop elements of a compliance program and make process changes as required
- Articulate the structural components of a compliance management program and how to integrate compliance information into compliance monitoring and review
- Describe ways to integrate information management and technology systems into supporting a compliance program
- Outline the strategic elements of establishing a Compliance department
- Discuss key issues in managing a Compliance department
- **Develop** a professional development strategy for Compliance personnel

2

STRATEGY, LEADERSHIP & CHANGE MANAGEMENT

- **Outline** a process to provide strategic direction to the organisation through embedding an effective compliance program into the organisational strategy and processes
- Describe each element of the strategic implementation of compliance process
- Describe how the use of Maturity Models in Compliance assists with implementation of a strategic compliance plan
- Develop engagement and communication strategies for aligned delivery of a compliance program with organisation objectives
- Articulate the attributes and strategies to manage a compliance change management process
- Discuss the elements of a strategic change management process to implement compliance change
- Demonstrate how leadership attributes successfully deliver each stage of a change management program

3

MANAGING ORGANISATIONAL RISKS

- 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 ISO 31000: 2018
- Define Enterprise Risk Management
- Describe and apply the elements of the COSO/ERM framework
- Articulate how to embed risk management throughout an organisation

PROGRAM

4

INVESTIGATIONS,
PROBLEM SOLVING &
SYSTEMIC ANALYSIS

- 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 whistleblowing and fraud.
- Develop and implement a stakeholder engagement process with regulators in relation to regulatory and legislative risks.
- Develop and implement a problem-solving methodology for complex compliance problems.
- Discuss how to conduct a systemic analysis of compliance issues.

ASSESSMENT

- Five short pre-course activities including two surveys.
- On-course assessments, including homework tasks.
- Take home/work 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.

COURSE DELIVERY:

Face to Face (F2F):

Participants will be guided through the course content and assessments over 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 opportunity to build lifelong networks for mentoring and support.

Live Stream Sessions (Four full day course or some courses offered over eight half days):

Participants will be guided through the course content and assessments throughout the sessions, and will benefit from sharing experiences, knowledge, and challenges with industry peers. The relationship built through the depth of contact with your peers during the sessions, provides an opportunity to build lifelong networks for mentoring and support.

Distance Learning:

Designed for those who may wish to study part time, the distance learning model allows for some flexibility. From course pre-reading to final assignment submission, the distance learning option would take approximately six to twelve months.

AWARD

Successful students will be awarded the 10980NAT Graduate Certificate in Compliance and Risk Management, a nationally accredited qualification with skills to excel in leadership positions. Those students who are also financial members of the Australian Compliance Institute will be eligible to apply to be accredited as a Certified Compliance and Risk Professional and may display the post nominal CCRP.

Benefits of the CCRP 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

To complete the course, participants need to complete all modules and assessments to cover all 9 core units in the following list. However, if all units' modules have not been completed participants may be entitled to receive a Statement of Attainment.

UNIT	DESCRIPTION
BSBAUD601	Establish and manage compliance management systems
BSBLDR601	Lead and manage organisational change
MSS407024	Prepare for and implement change
MSS407023	Quantitatively analyse impact of process change
MSS407026	Lead a process to determine and solve root cause for a complex problem
PSPGEN135	Manage risk
PSPGEN120	Provide strategic direction
PSPGEN136	Undertake enterprise risk management
PSPREG049	Manage investigations program



NATIONALLY RECOGNISED
TRAINING

RTO 91640

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 transcripts, to ascertain suitability. If accepted, the applicant will then be advised of the cost of the RPL process. On payment of the fees, they will receive the RPL kit to record their 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.

REGISTRATION

ENTRY REQUIREMENTS

Students must have at least five years' experience in a compliance or risk 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-module assessment which will be provided shortly prior to the course date.



FEES (GST EXEMPT)

FACE TO FACE:

ACI Members - AUD \$6,750
Non Members - AUD \$9,000

LIVESTREAM:

ACI Members - AUD \$5,700
Non Members - AUD \$7,600

DISTANCE LEARNING:

ACI Members - AUD \$5,400
Non Members - AUD \$7,200

Course fees include course tuition, all course materials, email support, graduation & certification (CCRP) for qualifying ACI members.

COURSE FEES INCLUDE:

All course materials, catering for F2F sessions, graduation and accreditation post nominal CCRP, email assistance for final assessments and distance learners.

COURSE CREDIT FOR FURTHER STUDIES

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

Register today | www.compliance.org.au **OR** email us at education@compliance.org.au

