10964NAT

Certificate IV in Compliance and Risk Management

The 10964NAT Certificate IV in Compliance and Risk Management builds core skills to design, implement and maintain effective compliance frameworks, supporting professionals to meet modern regulatory demands across industries using principles-based standards.

NATIONALLY RECOGNISED TRAINING

10964NAT Certificate IV in Compliance and Risk Management

Release #1 | Release Date: 01/12/2026

Course Description

The course holistically combines governance, risk and compliance management, together with change management, legal and regulatory requirements, and leadership in the workplace. This qualification reflects the role of individuals who provide work in compliance and risk management roles in a great variety of organisations, including financial services, banking, superannuation, insurance, government, education, utilities and all others that must make compliance and/or risk-based decisions. They work with legislation and regulation governing their organisations, internal policy making and procedural implementation, documenting risk issues and treatments including monitoring and evaluation, as well as dealing with government regulatory bodies and agencies.

Target Cohort

This course is intended for:
- Existing workers (1+ years' experience) seeking to upskill
- Existing workers aiming for leadership/management roles
- Existing workers seeking RPL/Credit transfer
- Existing workers pursuing higher positions
- Industry changers

Entry Requirements

There are no entry requirements to study this course. However, the ACI requires learners to:
- Be over the age of 18 years
- Have English language, literacy and numeracy skills at or above ACSF Level 3 and complete an LLND assessment
- Have a minimum of 12 months' experience (full-time equivalent) in a role involving compliance, risk management, regulatory obligations, law, auditing, workplace health and safety, or security.
- Have access to a workplace to complete assessment tasks (or use a simulated workplace environment)

Course Duration & Delivery

- Delivery Mode: Online
- Duration: Up to 18 months
- Self-paced study hours: 4 hours approximately per week

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Version: 1.01 | Last Updated: DEC25
Accountable Role: CEO
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Outcome Standards for RTOs (2025): ✓ (Standard 2.1, 2.2,2.3, 2.4,2.5,2.6, 4.4)
Compliance Requirements (2025): ✓(Division 1 – Clause 7, 8 & Division 2 – Clause 20)

Assessment Information

Assessment methods may include:

- Written assessments
- Practical skills
- Case studies
- Projects/portfolio of evidence

Resources to be provided by the VET Student

- A computer to access online learning materials and undertake online assessments
- Reliable internet and have video recording capabilities to record and submit assessment. Including access to:

- Internet access through Google Chrome or other internet browsers
- MS Word, MS PowerPoint or equivalent applications
- Adobe Acrobat Reader
- A Unique Student Identifier (USI) that can be obtained at www.usi.gov.au

Resources and services to be provided by the RTO

- A safe, inclusive and engaging learning environment
- Pre-enrolment processes to ensure the course is appropriate and suitable for VET Students' needs
- Access to LMS with personal secure login
- All Learning and Assessment resources
- Public liability Insurance Cover (for on- and off-site training)
- Risk assessed facilities, equipment and processes for safety and duty of care, including accessibility
- Policies and procedures to ensure and monitor delivery of high-quality services

Course Fees

Fees (GST exempt)
- Member: $2,800.00
- Non-Member: $3,750.00

Refund Policy

Refer to the Student Handbook for detailed terms and policies, including refund conditions and withdrawal procedures

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Support Services

All students have access to:
• LLND support
• Wellbeing and counselling referral
• Trainer support (via email, phone, or online platform)
• Accessibility options for learners with disability

Recognition of Prior Learning (RPL) & Credit Transfer

All students may apply for RPL or Credit Transfer. More information is available in the Student Handbook or from Australian Compliance Institute and RTO Website address.

Units of Competency

Code	Title
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
PSPREG034	Assess compliance
PSPREG036	Act on non-compliance
PSPREG043	Undertake compliance audits

The RTO reserves the right to adjust elective units to meet training package requirements.

Please refer to the Enrolment Form, for the terms and conditions of enrolment, which includes Enrolment and Selection; Training Guarantee; Course Fees, Payments and Refunds; Course Fees paid in Advance; Recognition of Prior Learning (RPL) or Credit Transfer.

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