

TRAINING & DEVELOPMENT

**Compliance Management and
Compliance Risk Management**



 **PROTECHT**
 **RiskNZ**



RiskNZ

RiskNZ is the leading non-profit association for risk professionals in New Zealand. The Society brings together people and organisations managing risk under the guiding vision that New Zealand prospers when risk is well managed. Our focus is to organise regular opportunities for members to meet and experience a wide variety of professional development and networking opportunities.

The society supports special interests groups, encourages research, informs public thinking, influences government, and conducts other activities to achieve risk management best practice in the private and public sectors.

Training and Development

RiskNZ is proud to partner with Protecht to bring the latest in training and development opportunities.

www.risknz.org.nz



Protecht helps create the risk leaders of tomorrow by providing risk training that meets people where they are in their risk management journey.

It is an online learning platform that enables delivery of Protecht's risk methodology training to individuals or organisations that is backed by decades of industry experience, an understanding of risk management challenges learned through ongoing engagement with Protecht customers and the risk community, and a commitment to high quality training materials.

Protecht Academy courses are broken down into two Catalogs:

Organisational Risk Excellence

Primarily intended for groups and organisations

Risk Management Mastery

Aimed at individuals or for teams looking to up-skill in a specific area.

See all courses available [here](#):

Note: By completing and submitting a course application form (online, emailed request or in any other form that was used to make a training booking), you are agreeing to [Protecht Academy User Terms & Conditions](#) and [RiskNZ's Training Terms and Conditions](#).



Compliance Management and Compliance Risk Management

This course, presented by David Tattam, Chief Research and Content Officer at Protecht, covers both Compliance Management and Compliance Risk Management.

The focus is on the development of an efficient risk-based approach to compliance management and what that means in practice from recording compliance obligations to setting up a risk-based approach to monitoring compliance. The management of compliance risk is also covered using an ERM framework.

The course also covers the ISO 37301 standard and aligns the concepts to this standard.

Compliance Management and Compliance Risk Management Content

1. Why we need compliance management

- Why we have regulations – society's risk appetite
- Organisation objectives related to compliance
- The changing face of compliance

2. What is compliance management and compliance risk management?

- Defining compliance
- Mandatory and voluntary requirements
- Scoping the compliance function
- Defining compliance risk management

3. What are compliance obligations?

- Sourcing obligations
- Translating into plain language obligations

4. Compliance risk and compliance controls

- ISO 31000 and ISO 37301 definitions of risk
- A risk-based approach to compliance
- The link to operational risk
- Introducing risk bow ties and the components of risk
- Controls over compliance and compliance risks

5. Compliance management

- Understand compliance obligations
- Convert to plain language
- Risk rating obligations
- Preparing the organisation to comply
- Manage ongoing compliance
- Compliance attestations
- Record and analyse results
- Reporting and analytics

6. Compliance change management

- Internal and external changes
- Risk managing external regulatory change
- Risk managing internal systems, process, people, product changes

7. Compliance risk management

- Applying ISO 31000 risk processes to compliance
- Assessing risks leading to noncompliance
- Linking obligations to risk bow ties

8. Risk appetite for compliance

- What is risk appetite for compliance risk?
- Setting an appetite for compliance risk
- What does “zero-appetite / tolerance” mean?

9. Compliance risk assessment

- Linking compliance to risk processes
- Incorporating compliance into risk and control self-assessments

10. Risk metrics for compliance risks

- Identifying risk metrics for compliance risk
- Determining thresholds for compliance risk metrics
- The risk metrics process

11. Compliance controls management

- Identifying key controls for compliance risk
- Obtaining assurance over key controls
- Controls testing and developing a test plan

12. Compliance incident management

- Defining a compliance breach
- Identifying a compliance breach
- Developing a process for breach management
- Meeting external requirements
- Setting up and managing a breach register

13. Compliance reporting

- Objectives of reporting
- Receivers of compliance reports
- Types of compliance reports
- Defining your reports

14. Compliance roles and responsibilities

- Introduction to the 3 lines model
- Compliance across the 3 lines
- Features of strong compliance culture
- Challenges and solutions for effective compliance management

Course expectations

- Watch 16 videos
- Access 9 downloadable materials
- Answer 10 quiz questions
- 5 downloadable materials

Timings

- 4.5 hours of video content
- Approximately 5 hours for the whole course

Register, Receive Invoice, Payment, Set-up with Log In To Course

RiskNZ Members: \$875+GST | Non-member: \$1000+GST

Next steps

Register now via: adminofficer@risknz.org.nz Please contact RiskNZ directly if you would like to discuss packages to implement this training across your organisation. Bulk discounts are available.