THE KPI INSTITUTE

CERTIFIED GOVERNANCE AND COMPLIANCE AUDIT
The KPI Institute
C-GCA
Framework v 2.0 2021
PROFESSIONAL

CERTIFIED GOVERNANCE & COMPLIANCE AUDIT PROFESSIONAL

2021 EDITIONS:
> 22 - 26 MARCH
> 16 - 20 AUGUST

This course is a great opportunity to access the best practices in the field of Governance & Compliance, to gain the necessary knowledge and skills to diagnosing and auditing the maturity of this system, as well as finding the best solutions to achieving the next maturity level.

Main benefits:

> Learn how to implement a structured framework for assessing your governance and compliance practices;

> Gain the necessary knowledge and skills to conduct assessments using a proprietary Governance and Compliance Capability Maturity Model;

> Discover best practices in the field of governance & compliance audit, and find out how to integrate them in your organization.

Over the last years, The KPI Institute's team has:

> Documented 21,000+ KPIs from 16 functional areas and 25 industries;

> Reviewed 1,000+ performance reports from 125 countries;

> Referenced 30,000+ resources as part of the documentation process.

Course overview

The Certified Governance & Compliance Audit Professional course is a unique accreditation designed to provide you with the necessary knowledge, skills and confidence to effectively diagnosing and auditing the maturity of Governance and Compliance architectures for 5 capabilities: Culture, Stakeholders, Systems, Enablers and Reinforcement, as well as providing an overview of the necessary steps that will ensure going forward to the next maturity level.

Participants' profile

> **Executives, directors, high-level managers, auditors, legal experts or professionals specializing in governance, risk management or compliance**

High-level decision-makers will find this course useful, as it offers them insight into defining, developing, and enhancing an organizational culture that relates and interacts well with performance, risk, governance, and compliance. You will also better understand the role and functions performed by a compliance officer and his team. develop your very own strategic governance, risk management, and compliance plan.

> **Mid-level managers, compliance officers, governance professionals, GRC professionals**

Managers, officers, and their deputies will find this certification quite useful, as it enables them to develop their very own strategic governance, risk management, and compliance plan. Furthermore, we'll showcase how to identify high-risk areas and compliance issues in your organization, by employing a risk-based audit methodology.

> **Legal professionals, regulatory representatives, and managers responsible for governance, risk management, and compliance activities**

For practitioners and professionals who share an interest in governance, risk management, and compliance (GRC), or are employed in a supporting GRC role, this course will further clarify some of the more intricate concepts in this field, like how to interact with the general regulatory environment or why is governance so essential for regulatory compliance. Moreover, you will learn how to implement GRC processes that are effective and efficient.

⊕ Key business benefits

> Ensure you will use the right tools for the right processes, and you will have the right people in the right place for your Governance and Compliance system;

> Identify gaps of your current Governance and Compliance system and build a strategic, sustainable development plan to overcome them;

> Learn how to turn good Governance and Compliance practices into best practices;

> Educate stakeholders to be oriented towards continuous learning and improving;

> Increase the efficiency of internal processes and every other action, by developing and running an efficient Governance and Compliance system.

⊕ Learning objectives

> Understand key best practices in Governance and Compliance;

> Apply the Governance and Compliance Maturity Model Assessment;

> Plan and conduct a Governance and Compliance Audit;

> Elaborate recommendations for improvement;

> Write an audit report.

Agenda

Day 1 - 4h

Introduction to Governance and Compliance

> What is governance?
> The role of governance;
> Key terminology in governance and compliance audit;
> Audit typology and principles;
> Governance and Compliance Capability Audit;
> Governance and Compliance audit planning and preparation.

Day 2 - 4h

Governance and Compliance Assessment Model

> Maturity models;
> Governance and Compliance Capability Model;
> Culture;
> Stakeholders;
> Systems;
> Enablers;
> Reinforcement;
> Assessment methodology.

Day 3 - 4h

Evidence-based Assessment

> Documentation assessment methodology;
> Documents checklist;
> Sampling methodology;
> Assessment criteria;
> Case study.

Day 4 - 4h

Perception-based Assessment
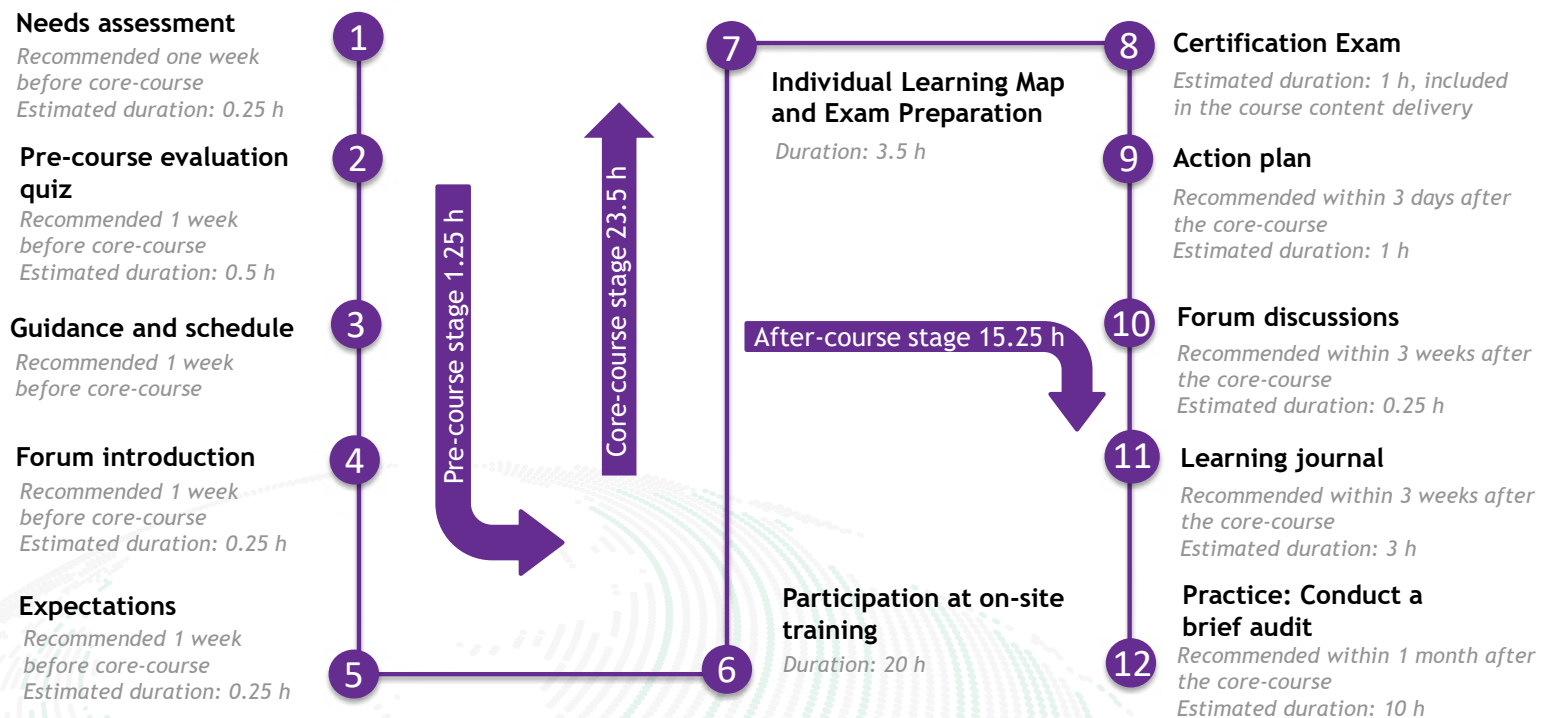
> Key stakeholders' identification for survey;
> Data gathering using the survey;
> Statistical analysis of survey responses;
> Key stakeholders' identification for interviews;
> Guidance for interviews;
> Case study.

Day 5 - 4h

Finalizing the Audit

> Data Interpretation from all 3 sources;
> Audit deliverables;
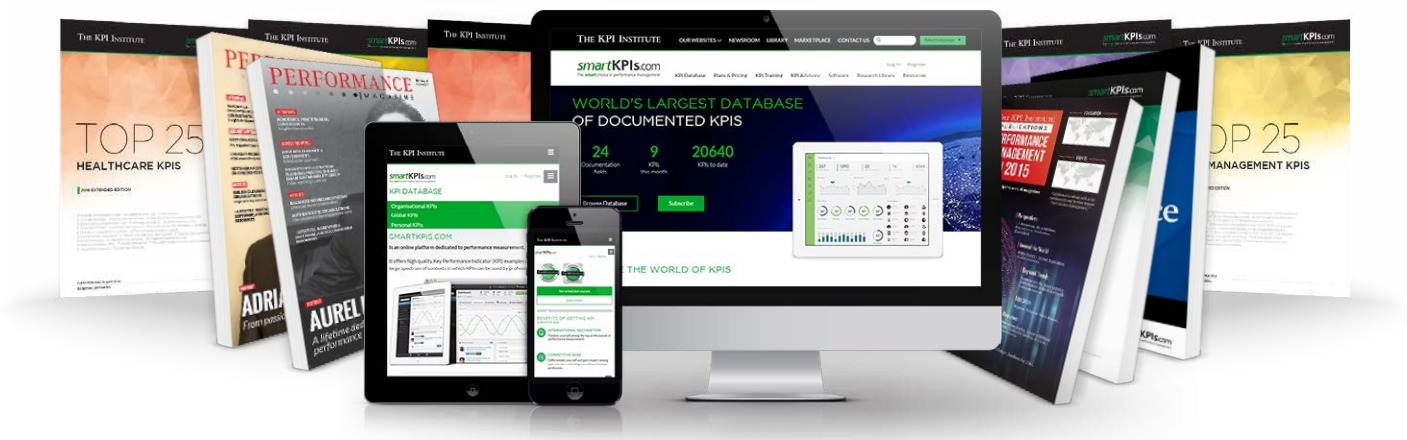> Audit closing session;
> Review and Certification Exam.

Certification Process

Needs assessment
Recommended one week before core-course
Estimated duration: 0.25 h

1

Pre-course evaluation quiz
Recommended 1 week before core-course
Estimated duration: 0.5 h

2

Guidance and schedule
Recommended 1 week before core-course

3

Forum introduction
Recommended 1 week before core-course
Estimated duration: 0.25 h

4

Expectations
Recommended 1 week before core-course
Estimated duration: 0.25 h

5

Pre-course stage 1.25 h

Core-course stage 23.5 h

6

Participation at on-site training
Duration: 20 h

7

Individual Learning Map and Exam Preparation
Duration: 3.5 h

8

Certification Exam
Estimated duration: 1 h, included in the course content delivery

9

Action plan
Recommended within 3 days after the core-course
Estimated duration: 1 h

After-course stage 15.25 h

10

Forum discussions
Recommended within 3 weeks after the core-course
Estimated duration: 0.25 h

11

Learning journal
Recommended within 3 weeks after the core-course
Estimated duration: 3 h

12

Practice: Conduct a brief audit
Recommended within 1 month after the core-course
Estimated duration: 10 h

The certification process is finalized only when you complete all of the 3 stages of the learning experience. You will receive:

› Certificate of Completion (soft copy): after completing pre-course activities and passing the Certification Exam;
› Certificate of Attendance (soft copy): after participating at the 5 days of live session course;
› Certified Professional diploma (soft copy): after you have successfully completed all of the 3 stages of the learning experience and the full payment was received by contractor;
› CPD Certificate of Attendance (soft copy): once successfully obtained the Professional status.

Educational resources

Course materials

> Course slides;
> Course notes;
> Course quiz.

Governance and Compliance Maturity Assessment Toolkit

> Conceptual framework presentation;
> Methodology;
> Evidence-based Assessment Template I;
> Documents Checklist for Auditee;
> Evidence-based Assessment Template II;
> Perception-based Assessment;
> Survey Invitation Template;
> Maturity Levels Descriptions.

Premium subscription on smartKPIs.com

> Available for 6 months, providing access to 500 fully documented KPIs and over 20,000 KPIs enlisted and one research report from the Top 25 KPIs series.

Facilitator

Alin Sonda

**Head of Performance Audit Services,
The KPI Institute**

Alin Sonda is the Head of Performance Audit Services at The KPI Institute, a research institute specialized in business performance which operates research programs in 12 practice domains ranging from strategy and KPIs, to employee performance and from customer service to innovation performance. The KPI Institute is also considered today the global authority on Key Performance Indicators (KPIs) research and education.

He is an experienced professional that worked for over 10 years in the banking sector. He acquired skills in performance measurement and improvement, training, coaching and coordinating teams, sales and project management, auditing and financial analysis.

As a trainer, Alin has facilitated open, online and in-house training courses on Key Performance Indicators and Performance Auditing, designed to support performance measurement and improvement. He drives value for client organizations by training professionals, providing consulting services and solutions, to improve performance management practices.

As a sales coordinator for key accounts, Alin has developed the sales strategy, monitored products performance and trained consultants to deliver great customer service.

For more than 3 years he was an Internal Auditor, gaining an analytical perspective on operations and valuable insight on risk assessment and auditing methods and procedures. As an auditor, he holds valuable experience in the design and implementation of internal processes to properly identify and assess risk and compliance with regulations and reporting requirements. His expertise and knowledge range from auditing and risk assessment to operational and overall performance improvement.

Course Fees

Language	Date	Time zone 1	Time zone 2	Standard Fee	Special Fee
English	> 22 - 26 March	09:00-13:00 GST	13:00-17:00 GMT +8	~~USD $ 1,500~~	USD $ 1,250
	> 16 - 20 August	18:00-22:00 GST	09:00-13:00 CST (US)	~~USD $ 1,500~~	USD $ 1,250

Join as a Group

Customized Live Online Group Training Programs

The KPI Institute offers Customized Live Online Group Training Programs that provide a perfect blend of research, best-practice and best-in-class instructional design.

Leveraging on our extensive research work, our highly skilled faculty, our expertise in providing customized learning solutions, and our next-generation online technology, our Group learning programs are unique, readily-available learning experiences that deliver results for both your employees and your organization.

This fully customized training solution supports organizations of all sizes, to provide their employees with development opportunities in an efficient, impactful, and cost-effective way.

Benefits of customized live online sessions

▶ **Flexibility and convenience**

Participants can learn from anywhere and the course can be scheduled in consecutive days throughout one week or selected days over 2 or more weeks. Participants can access learning materials from anywhere, anytime.

▶ **Customized course content**

Course content, case studies, and exercises will be customized based on the group's industry or selected functional areas, as well as by assessing current needs and competency development requirements.

▶ **Business continuity**

You can continue your work, with daily sessions, scheduled for a maximum of 4 hours, to ensure both information assimilation and work-related task completion efficiency.

▶ **Virtual collaborative learning**

Facilitated inter-company learning is enabled, leading to Virtual Teams Cooperation and Communication, with the help of specialized E-Learning technology.

▶ **Cost effectiveness**

You will save approximately 40% of your investment when compared to traditional face-to-face in-house solutions, due to the logistical burdens being removed from both customer and contractor.

Customized Live Online Group Courses	Online Live Format	Content details
Certification	5 Days - 4h/Day	Fully customized certification course
Masterclass	3 Days - 4h/Day	75% of the certification course content, selected based on group requirements
Essentials	2 Days - 4h/Day	50% of the certification course content, selected based on group requirements
Awareness Session	4 h	1 or 2 selected sessions from the certification content, depending on the length

Group sizes range from a minimum of 10, to a maximum of 25 participants.

Should you be interested in scheduling a live online Group training course, email us at office@kpiinstitute.org or contact one of the region representatives.

Online Coaching (up to 4h)

▶ One of our consultants and facilitators will be dedicated to help customers individually achieve their business objectives, evaluate current system or tools, and provide feedback on how to improve current strategy, performance measurement, and management practices.

▶ Our dedicated coaches are industry, capability, and functional area experts, who will guide the participants.

▶ They will work closely with the attendees and help them address their individual areas of improvement.

▶ We can assist in providing coaching on all the topics that we cover through our certification programs detailed in this brochure.

*Live coaching will be provided via conference call. The session scheduling will be established either via email/conference call, for all delegates, or individually between each participant and the facilitator.
**Hours to be accessed when required by scheduling as per customer preference and facilitator availability.

Get in touch with us for a customized quotation

Registration

✎ 3 ways to register

Online
marketplace.kpiinstitute.org

Direct contact
Call us and we will assist you with the registration process

Asia-Pacific Delegate
Sasikala Annamalai
Senior Business
Development Manager
E: sasikala.annamalai@kpiinstitute.com
M: +60 12 591 1366

Worldwide Delegate
Alexandru Muntean
Head of Customer Engagement
E: alex.muntean@kpiinstitute.com
M: +40 747 060 997

Registration form
Email us with your registration details

⬡ Payment

Credit card
Pay by credit card using the online facility.

Bank transfer

1. Send an email containing your contact details and registration request;
2. An email confirmation containing the tax invoice and bank account details will be sent to you;
3. Proceed with the attendance fee payment by bank transfer;
4. Send through email the proof of the payment transaction completion;
5. A tax receipt together with the registration confirmation will be sent to you via email (after the attendance fee payment is confirmed).

Kindly ensure that your payments reflect the Total Amount of the invoice that will be presented to you. It is your responsibility to cover all bank fees due to Telegraphic / Wire transfer.

Registration form

By filling your contact data, you agree to receive further information about our events. Your privacy is very important to us. We will not sell, rent or share your personal information under any circumstances.

Participant details:

Mr. ☐   Mrs. ☐

....
First name   Last name

....
Job title

....
Email   Phone

....
Organization

....
Department   Date of training course

....
Training course

....
City   Country

Registration cancellation procedure

Any withdrawals have to be announced at least two weeks before the beginning of the course, through fax or e-mail. In this situation, the attendance fee will be refunded, minus $400 retained for administrative expenditure. The attendance fee will not be refunded if the withdrawal from the course takes place less than 2 weeks before its start date. If you are unable to attend the course after the registration process has been completed, you may delegate another person to attend the course in your place, without paying any further fees. If you have confirmed and paid the attendance fee, but you didn't attend the course, the fee will not be refunded. If you only partially attend the course (one day or a limited number of sessions), you will not benefit from any attendance fee reduction or refund.

Terms of Agreement

If there are no other standing agreements, this form represents a valid contract between the parties.

I agree to the above terms and conditions.

....
Signed   Date

Company stamp ....

The Customer acknowledges and agrees that all materials provided by The KPI Institute, including but not limited to the live presentations, any audio-visual presentations, and the handout materials distributed pre, during and after the training course, shall at all times remain the sole and exclusive property of The KPI Institute. They cannot be made public, and can only used for the purpose of the individual course participant's benefit. In no event shall the Customer use the live presentations, any audio-visual presentations, and/or the handout materials for any other purpose, including but not limited to the offering of any course, training or seminar that in any manner competes with the course or any portion thereof. This provision shall survive the termination or expiration of this Agreement.

THE KPI INSTITUTE

Performance
Strategy   Transformation
Innovation   Systems   People
Sustainability   Productivity   Capability

Measurement   Benchmarking   Analytics
Audit   Evaluation   Appraisal
Excellence   Competence
Happiness

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