

## ***Assignment Two***

### **International Diploma in Governance, Risk and Compliance**

**Due date: 11 September 2017**

**Total 100 marks**

#### ***Guidance***

- Please state which region/jurisdiction you are from in the header of each page.
- Please submit one document only in a Microsoft Word format.
- Save the assignment as your candidate ID number e.g. CON-00001236564.
- Word count should be between 2,500 and 3,500 words. This includes all footnotes, in text references and appendices but excludes any bibliography, reference or contents page(s). **NB Appendices should only be used in exceptional circumstances and should consist of only brief extracts or tables.**
- Further advice on all aspects of assignment writing and submission is available in the Student Support Area.

### **Question**

You are an experienced governance, risk and compliance (GRC) professional, currently employed as the Head of Compliance at International Business (IB), a firm regulated in a sector and jurisdiction of your choice.

A range of projects and activities are currently being undertaken throughout IB, spanning numerous different departments. These are intended to reinforce IBs corporate objectives and help embed its newly revised code of conduct. A number of the projects focus on areas within IB where weaknesses were identified during a recent series of internal reviews.

One such area related to the roles of the compliance and risk functions within IB. Consequently, representatives of each of these departments has been invited to join a project team which aims to improve understanding of the roles of the different assurance functions within the firm and the benefits such functions bring to its various stakeholders. The team is currently working with the training department to develop a focused set of induction materials for new staff joining the firm. This material will then be used as the basis for materials on the same topic for distribution to all existing staff within IB.

Your focus is the compliance function. The induction material you are asked to prepare will be used as the basis of training for all new staff joining IB, irrespective of level or job role. Therefore, the training department has asked that guidance is provided on how the material might best be delivered. As the material will subsequently act as the basis of guidance on this topic that will be available to all existing staff, guidance is also required on how this material could usefully be adapted for delivery via the online learning portal.

You wish to ensure this induction material, and the training resulting from it, strongly supports the positive compliance ethos within the firm which you and your team have worked hard to develop. You therefore plan to structure it accordingly.

Prepare this induction material, to include the detail of any slides to be used and supporting notes for use by the trainers, together with any additional support material you believe necessary to ensure effective delivery. Note that at this stage it is not necessary to produce an actual presentation, only the content to be included in this.

**Total 100 marks**