

# Risk Specialisation Pre-enrolment Form

*Experienced Pathway – Specialisation via Online Course and Practical Experience*

This form is to be completed by members wishing to be considered for enrolment to become a **Risk Specialist** via the Experienced Pathway.

Additional information can be found at  
<https://www.charteredaccountantsanz.com/learning-and-events/specialisations/risk>

## CA ANZ USE ONLY:

Application received date

Approved  Declined

Date

Please complete **ALL** sections and submit to Chartered Accountants Australia and New Zealand as indicated in section 6.

Please print in **BLOCK LETTERS**.

## Section 1 – Personal details

Title	<input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Ms <input type="checkbox"/> Other →	<input type="text"/>	Membership number	<input type="text"/>
Given name/s (in full)	<input type="text"/>		Family name	<input type="text"/>
Preferred name	<input type="text"/>			
Email	<input type="text"/>	Preferred contact phone number	<input type="text"/>	

## Section 2 – Online Course Pre-enrolment

I am interested in enrolling in the following Risk Specialisation Online Course:

Please identify which year and intake is appropriate

<b>Year</b>	→	<b>Intake</b>
<input type="text"/>		<input type="checkbox"/> Intake 1 <input type="checkbox"/> Intake 2

## Section 3 – Practical Experience

### Practical Experience

In accordance with Chartered Accountants Australia and New Zealand's regulation **CR6E4b(iv)** an individual member applying for recognition as a CA Risk Specialist is required to have:

- A **minimum of four (4) years** practical experience within the previous ten (10) years where:
  - At least **20%** of employment is specifically in **risk**, and
  - Up to a maximum of **20%** is related to the **risk**.

Section 3 continued overleaf >

Please outline the details of your practical experience below. (Please attach additional pages to this application if space provided is insufficient.)

**Current Employer name**

Current company street address  Suburb/City

State  Postcode  Country

Position title

Position activities

Employment type  Full-time  Part-time → at  hours per week

Duration of employment  /  /  to  /  /  =  Years /  Months  
(DD/MM/YYYY) (DD/MM/YYYY)

Are you required to hold a Certificate of Public Practice to perform your role?  Yes  No

**Previous Employer name**

Company street address  Suburb/City

State  Postcode  Country

Position title

Position activities

Employment type  Full-time  Part-time → at  hours per week

Duration of employment  /  /  to  /  /  =  Years /  Months  
(DD/MM/YYYY) (DD/MM/YYYY)

### RISK EXPERIENCE

Please confirm your relevant experience by checking the boxes beside each of the following:

#### Risk Specific

- Develop/review appropriate risk management plans, policies and procedures
- Engage with senior management/Board to develop current appetite and tolerance guidance
- Contribute to the development of the risk mitigation plans including control definition and management of related compliance
- Develop/review risk registers for duplications and omissions
- Manage risks through identification, assessment and measurement using business intelligence and data analytics technologies within accepted tolerance and appetite
- Provide status reports to appropriate stakeholders in a timely manner
- Develop/review stakeholder engagement and professional development plan

#### Risk Related

- Provide research benchmarking information to senior management/Board regarding external entities including regulators and competitors
- Provide historic and forecast analytic data including commentary to risk review team
- Preparation/teaching of risk management related subject matter
- Prepare/deliver talks/papers on risk management related matters

## Section 4 – Declaration

I certify that the information given above is true and correct.

Signature

Date

## Section 5 – Privacy Statement

By providing personal information to us in this form you consent to Chartered Accountants ANZ (all boxes must be ticked in order for Chartered Accountants ANZ to progress your application):

- (a) using and disclosing your personal information in accordance with our Privacy Policy, available at [www.charteredaccountantsanz.com/privacy](http://www.charteredaccountantsanz.com/privacy);
- (b) disclosing to third parties your (current or former) status as a member of Chartered Accountants ANZ;
- (c) disclosing to regulators, law enforcement bodies, professional associations and government or statutory bodies the details of any final adverse determinations (including sanctions) in relation to your professional and/or ethical conduct that are made by the Disciplinary Tribunals or Appeal Tribunals (or their predecessor bodies, as they may be reconstituted or renamed from time to time); and
- (d) collecting from third parties information relating to your membership of a trade or professional association or union, your criminal record (if any), your health, religious, religious beliefs or affiliations, racial or ethnic origin and any other sensitive information to the extent that it is reasonably necessary for one more of the functions or activities of Chartered Accountants ANZ.

We collect, use and disclose your personal information in connection with your application, the management and administration of members and/or programs, the provision of products and services and/or to communicate with you. If you do not provide your personal information, we may be unable to process your application. We may disclose your information to agents, contractors and service providers such as where we outsource functions and to other third parties such as local and international professional bodies, ASIC, the Companies Office, and other regulators and government and statutory bodies. By completing this form, unless you opt-out, you consent to us also using and disclosing your information for promotional and marketing purposes. You can opt-out by contacting us at **privacy@charteredaccountantsanz.com** or on 1300 137 322 in Australia or 0800 469 422 in New Zealand. We may also have collected information about you from a third party. It is likely that your personal information will be disclosed to overseas recipients (as provided in our Privacy Policy, including the location of those entities). The Privacy Policy sets out how Chartered Accountants ANZ handles your personal information including how you can seek to access and correct your information or raise a privacy concern with us and how it will be dealt with as well as details about the disclosure of your information to entities overseas. By providing us with your information, you consent to us using, disclosing and otherwise handling your information as set out above and in that Privacy Policy.

## Section 6 – Submitting your application form

Please submit your completed application form to:

**EMAIL** [specialisation@charteredaccountantsanz.com](mailto:specialisation@charteredaccountantsanz.com)  
**OR**

If you have used a 'digital signature'  
simply click the submit button

**Please note:** The Pre-enrolment process will involve seeking advice from the relevant divisions regarding any outstanding quality review or professional conduct issues which relate to the applicant.

For further enquiries or additional information please contact the Chartered Accountants Service Centre on:

**EMAIL** [service@charteredaccountantsanz.com](mailto:service@charteredaccountantsanz.com)

**PHONE AUSTRALIA** **1300 137 322** (inside Australia)

**NEW ZEALAND** **0800 469 422** (inside New Zealand)

**OVERSEAS** **+61 2 9290 5660** (outside Australia)

**WEBSITE** [www.charteredaccountantsanz.com/learning-and-events/specialisations/risk-specialisation](http://www.charteredaccountantsanz.com/learning-and-events/specialisations/risk-specialisation)