



COMPLIANCE INSTITUTE

SOUTHERN AFRICA

Course Outline

Introduction to compliance

At a glance:

Cost per person Incl. vat	CPD Points and Accreditation	Accreditations/Partnerships /Memberships	Method of Delivery / Format	Duration
Refer to the latest advertised events for current rates	12 hours	n/a	Virtual on Microsoft Teams	3 days – 4 hrs per day

What is covered:

- Standards for compliance best practice
 - A brief history of compliance in South Africa
 - Key standards for compliance practice – GACP, King IV, ISO Standards and relevant legislation
 - Identification of key compliance role-players
- Compliance roles and responsibilities
 - Roles and responsibilities of key compliance role-players
 - An overview of the role of the compliance function
- The structure of the compliance function
 - The need for independence
 - Conflicts of interest
 - Compliance resourcing
 - Review of the compliance function
- An overview of some of the most important compliance documents
- The culture of compliance and compliance's relationship with ethics



COMPLIANCE INSTITUTE

SOUTHERN AFRICA

6. An overview of the regulatory environment

- The regulatory environment
- The role of the regulators
- Interaction with regulators

7. An overview of the compliance risk management process

- Compliance risk identification
- Compliance risk assessment
- Compliance risk management
- Compliance risk monitoring

8. Other compliance activities

- Compliance reporting
- Compliance training

Who should attend:

- Corporate clients
- Compliance officers
- Compliance administrators
- Novices to compliance management

Format of the course

- The training is held in a classroom style, either virtually or face-to-face.
- Theoretical training.
- Case studies form part of the learning process.