

Faculty of Law

Compliance Management

Centre for Continuing Education Programmes



UNIVERSITY
OF
JOHANNESBURG

FACULTY OF LAW



**The Future
Reimagined**

The Faculty of Law of the University of Johannesburg, offers a practical programme leading to the programme in Compliance Management.

This programme introduces students to the main aspects of the compliance function. It is aimed at equipping compliance professionals in the financial services industry with basic technical skills and knowledge in order to achieve the objectives of the compliance function.

Effective compliance is pivotal to organisational success. Pro-active compliance improves productivity, and competitiveness and fosters sound relations with regulators. The programme covers methods and processes that will enable compliance professionals to design, improve and maintain a fully co-ordinated compliance function in line with global best practices. Revoking of business licences, heavy fines and even imprisonment are only a few of the possible consequences that businesses and/or individuals could face in cases of non-compliance with applicable regulations.

About The Programme

Duration: 6 months

Note that this programme is credit bearing to ONLY the Postgraduate Diploma in Compliance.

Method of tuition: Distance learning where study units are available online with a three-day practical session (morning workshops) for which attendance is **compulsory** supported by four contact sessions (two hours each) that are not compulsory.

Assessment: Participation at a three-day workshop as well as written tests and examination. Assignments covering the course content are made available to students.

Outcome: Successful students will receive a Certificate in Compliance Management from the University of Johannesburg.

Programme Contents

The programme is designed to enhance the students' understanding of the following topics and to provide them with appropriate principles, standards and guidance on how to operate within these frameworks in multiple industries, including financial services, mining, manufacturing and parastatals:

1. Corporate governance framework:

- a. The King IV Code on corporate governance will be discussed as the context, with specific focus on relevant chapters for the topics: (i) the governance of risk, (ii) compliance with laws, codes, rules and standards, (iii) internal audit and (iv) integrated reporting and disclosure.
- b. Reference will be made to similar frameworks internationally.

2. Enterprise-wide risk management (ERM) framework:

- a. The development of ERM and the implications will be discussed, as well as relevant principles and schools of thought on risk management.
- b. The interaction between compliance risk and other risk types will be discussed.

3. Regulatory framework:

- a. The development and philosophy of the national and international regulatory environment will be discussed.

- b. The mandate, authority and scope of different regulators in various industries will be covered.

4. Compliance risk management framework and process:

- a. An overview of the compliance framework, including compliance policy, charter, manual and programme.
- b. An overview of the compliance risk management process, including Identification, assessment, management and monitoring, will be discussed in detail.
- c. Case studies will focus on Generally Accepted Compliance Practice (GACP) and will demonstrate how to approach topics such as:
 - i. Governance of compliance;
 - ii. Responsibility of management with regard to compliance;
 - iii. How to establish a compliance function;
 - iv. Roles and responsibilities of the compliance function;
 - v. Fit and proper requirements for compliance officers;
 - vi. Independent reviews and how they should be conducted;
 - vii. Materiality and how to deal with it in a compliance-risk context.
 - viii. Generic skills for a compliance function will be discussed and topics to be covered include:
 - ix. Understanding of project management principles;
 - x. Report-writing skills;
 - xi. Presentation skills and how to adapt for different audiences;
 - xii. Management of change and organisational development.

5. Forward looking trends in compliance risk management will include discussions on:

- a. Environmental legislation and the impact on compliance risks;
- b. The reporting framework for sustainability matters and the implication for compliance officers.

When?

The programme will run from **June until October** using a web conference platform. Attendance of all sessions of the workshop is a prerequisite for continuation with the programme. Contact sessions will be held periodically over the programme. The workshop will be presented in **June** at the University of Johannesburg. Attendance of all sessions of the workshop is a prerequisite for continuation with the programme.

* Dates subject to final confirmation

Who Should Attend?

The programme will be of particular benefit to compliance officers, compliance managers, accountants, financial directors, internal audit managers, risk managers and financial advisers.

Entry Requirements

A bachelors degree in Law or Commerce pitched at NQF Level 7 or appropriate equivalent qualification.

Assessment and Outcome

Tests will be written during the programme and a final examination will be written at the end of October or early November. These will be offered via web-based facilities.

Foreign Students

Non-South African students should enquire from the Faculty about the legislative requirements.

Please note: If an applicant is accepted for the programme in Compliance Management, it does not grant automatic admission to the Postgraduate Diploma in Compliance. A student must make the minimum payment in order to register for this Programme.

Applications

Please attach **certified** copies of your ID document/passport, matric, academic record and all qualifications to your online application form.

Fees

Please contact the Law: CEP office to confirm the course fees.

Non-South African students pay an additional international levy. Kindly contact our office to confirm.

Tuition fees include access to the University's library, study material and the technology assisted learning system, Blackboard.

Students who fail to pay all fees will not be permitted to attend lectures.

Administrative Enquiries

More details on the programmes are available from the Faculty of Law. Please contact the Course Coordinator: Ms Busi Mpopu, Tel: 011 559 3982/3739, Email: busim@uj.ac.za

Online Application

TO MAKE AN ONLINE APPLICATION
(No Application Fee is payable)

- The Course Code is: **S4CMCQ**
- The Mode of Study is DB – “APK Continuing Education Programmes Part-Time”.
- For a quicker and easier application process for first-time (new) applicants use the link below:
Short Web Application
https://registration.uj.ac.za/pls/prodi41/wuj012pkg.wuj012_startup
- And the RETURNING student web link is:
https://registration.uj.ac.za/pls/prodi41/w99pkg.mi_login
- For both processes above the “token” that must be used by applicants is **LAWSLP**.

For assistance regarding Applications please contact the University call centre on (+27) 11 559 4555 or at mylife@uj.ac.za



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