Faculty of Law
Compliance Management

Non-subsidised Programmes (NSP)

FACULTY OF LAW

Our Future
Reimagined
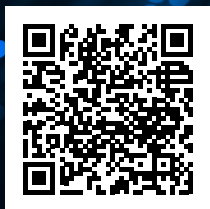
Programme Overview
The Faculty of Law: Non-subsidised Programmes at the University of Johannesburg, offers a practical programme leading to the programme in Compliance Management.

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. Proactive 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 coordinated compliance function in line with global best practices. Revoking of business licenses, heavy fines and even imprisonment are only a few of the possible consequences that businesses and 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 Legal Principles 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.

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

Added Benefits: Upon registration you will receive:
1. Generally Accepted Compliance Practice (GACP) e-File. The **Generally Accepted Compliance Practice © (GACP)** framework consists of principles, standards and guidelines that act as a benchmark for compliance best practice that organisation and their Compliance Officers should apply.
2. 1-year membership to the Compliance Institute of Southern Africa paid by UJ.
3. Compliance Management File.
4. 15 CPD Points which will be awarded by the Compliance Institute of Southern Africa.

Programme Content
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:**
   ▪ 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.
   ▪ Reference will be made to similar frameworks internationally.

2. **Enterprise-wide risk management (ERM) framework:**
   - The development of ERM and the implications will be discussed, as well as relevant principles and schools of thought on risk management.
   - The interaction between compliance risk and other risk types will be discussed.
3. **Regulatory framework:**
   - The development and philosophy of the national and international regulatory environment will be discussed.
   - The mandate, authority and scope of different regulators in various industries will be covered.
4. **Compliance risk management frame- work and process:**
   - An overview of the compliance framework, including compliance policy, charter, manual and programme.
   - An overview of the compliance risk management process, including Identification, assessment, management and monitoring, will be discussed in detail.
   - 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 regards 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:**
   - Environmental legislation and the impact on compliance risks;
   - The reporting framework for sustainability matters and the implication for compliance officers.

Assessments
Participation at a three- day workshop as well as written tests and a final examination will be written in October/November.

Lectures and Workshops
The programme will run from **June until October**. Attendance of all sessions of the workshop is a prerequisite for continuation with the programme. Contact sessions will be held periodically over the programme.

Admission Requirements
A Bachelor's degree pitched at NQF Level 7 or appropriate equivalent qualification.

Application Dates
Applications open from **31 August 2024** and close **30 May 2025**, unless the date is extended.

Documents Required
- Certified copy of ID;
- Certified copy of matric certificate. Any other school leaving certificate must be evaluated by SAQA: Tel No. 012 431 5000;
- Certified copy of tertiary qualification certificate/s (if applicable);
- Certified copy of the academic record of your qualification/s (if applicable);
- Certified copy of marriage/decree of divorce certificate (if applicable)

Programme Fees

Fees for 2024	% increase for 2025
R19 950.00	Generally, between 5-10%

A full upfront payment of the course fees is required upon registration. It is advised that students start making payments towards their fees by depositing money into their student account on a monthly basis upon being admitted for the programme. The course fee includes the cost of the textbook.

The UJ registration levy and ICT levy is not refundable if registration is canceled: R1 150.00

Non-refundable International Levy - SADC students: R1 000.00

Contact your course coordinator for the final course fees.

Please be aware that SADC students also pay an international levy. SADC/International students must also contact the International Office of UJ on 011 559 4399 or **Email:** international1@ uj.ac.za prior to registration.

Students whose fees are paid by a bursary sponsor or employer must request for a tax invoice from the NSP financial officer, Mr Isaac Moagi - imoagi@uj.ac.za

Students who do not pay the full fees will not be permitted to register and thus will not be able to attend classes.

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 applicants is **LAWSLP**.
- Password/Pin reset: If you have previously created a password/pin, you will be prompted to login with that password/pin. You can click on the "Forgot Password/Pin" button if you cannot remember your password/pin and follow the instructions to reset your password/pin.

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

Administrative Enquires
More details on the programme are available from the Faculty of Law: NSP. Please contact the course coordinator: Ms Busi Mpofu, **Tel:** 011 559 3982, **Email:** busim@uj.ac.za

COMPLIANCE
INSTITUTE
SOUTHERN AFRICA