

Occupational Certificate Compliance Officer

Written by Administrator

Saturday, 13 May 2023 06:00 - Last Updated Saturday, 13 May 2023 06:24

OCCUPATIONAL CERTIFICATE COMPLIANCE OFFICER

SAQA ID

NQF Level

Minimum No. of Credits

Duration

91671

6

240

2 Years

Spectrum Tuition Fees Structure

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Tuition Fees

Annual Registration Fees

Programme Tuition cost

R36, 000.00

R1, 000.00

R36, 000.00 Payable to Spectrum

Fees exclude re-assessments fees per module (R1, 000.00); Annual re-registration fees (R1, 000.00). T

Institute of Compliance

EISA Exam Fees

CPrac(SA) Designation Fee

Programme Total cost

R4, 250.00

R1, 250.00

Payable directly to the Compliance Institute Southern Africa (CISA)

Total Investment Costs: R41, 500.00

Tuition Options

- Full Time: Monday to Friday
- Part Time; Weekday Evenings and Saturdays
- Online/Virtual Sessions
- Distant Learning

Who can apply?

Anyone who is interested in pursuing a career in compliance practices, quality management and risk assessment will find this programme of interest. The programme will benefit employees who are already working in the field of compliance, risk and quality control environment without the relevant qualification.

Admission Requirements

- The minimum entry requirement is Matric/Grade 12 the National Senior Certificate starting a Diploma or Degree or the National Certificate (Vocational) with appropriate subject combinations and level of achievement; or
- Recognised NQF Level 4 Qualification.
- Mature Age Exemption for students above the age of 23 years as set out in the Higher Education Regulations; or
- Recognition of Prior Learning (RPL)

The qualifying learner must be able to work under supervision of a Compliance Officer or have an apprenticeship/Internship/workplace Integrated Learning agreement with an employer. Spectrium Graduate School of Business will sign a mentorship agreement between three parties: Spectrium Learner and mentor to ensure that practical and workplace skills are properly implemented.

Programme Description

Compliance Officers are responsible for **ensuring that all corporate processes and procedures comply with the law**. And not only the law — a Compliance Officer is also responsible for ensuring that company operations comply with internal and international risks and quality standards too. Therefore Compliance

management is a discipline in its own right and requires application of a range of competencies that extend beyond the field of law, risks and quality management. This Occupational Certificate Compliance Officer provides the skills needed by risk, compliance and quality management personnel and competencies required when managing simple to moderately complex tasks. The Qualification includes compliance management competencies required locally and internationally as well as a selection of general management skills that are essential to a compliance practitioner

This is the underlying qualification required for a professional development pathway. Learners who obtain this qualification are eligible to become registered Compliance Practitioners. After obtaining more experience in the field and meeting additional professional development requirements they become eligible to write the Board Exam for Compliance Professionals.

Compliance Practitioners may articulate horizontally or diagonally to the related fields of Risk Management, Internal Audit or other specific assurance functions such as occupational health and safety.

Why you must enrol for this programme?

Learners who successfully complete the qualification will be able to:

- Mastermind compliance policies and protocols on behalf of the organization
- Help organizations manage risks and avoid lawsuits by ensuring business operations are performed in compliance with state and federal laws
- Develop and implement a compliance program to ensure the organization operates in accordance with national and international laws
- Develop, monitor and update general policies and processes related to ethics and compliance to ensure it is up-to-date
- Act as an independent evaluation and review body to ensure that incidents and compliance concerns within the company are evaluated, investigated and resolved in a confidential, objective and independent manner
- Collaborate with other areas such as Risk Management, Legal, Internal Audit, IT and HR to direct compliance incidents to the appropriate channels for their investigation.
- Regularly inform the Board of Directors about the company's E&C situation, the status of the E&C program as well as risks and incidents

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- Determine compliance metrics and establish a system for tracking them
- Sign off on any marketing and advertising collateral to ensure it is compliance
- Remain up to date on laws related to the organization and update policies accordingly
- Identify areas of potential vulnerability and E&C risk; develop and implement action plans to prevent, detect and / or mitigate E&C issues and provide general advice to avoid similar situations in the future
- Communicate compliance-related issues to employees across all divisions of the organization
- Perform compliance audits to determine whether establish protocols are being followed and where they can be improved
- Maintain up to date written documentation and policies related to the organization's business activities
- Create compliance resource library for staff members to reference when they have questions

Programme Structure

Applied Knowledge Modules

Module Code

Description

No. of Credits

242207000-KM-01

Enterprise Risk Management

6

242207000-KM-02

Compliance Principles

12

242207000-KM-03

Compliance Practice

30

242207000-KM-04

Change management

6

242207000-KM-05

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Project Management

6

242207000-KM-06

Generic Management Principles

3

Total KM Credits

60

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Applied Practical Skills Modules

Module Code

Description

No. of Credits

242207000-PM-01

Design and implement Compliance Risk Management Frameworks

9

242207000-PM-02

Define, maintain and advise on the regulatory universe

12

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242207000-PM-03

Develop, facilitate compilation of and review compliance risk management plans

12

242207000-PM-04

Conduct compliance monitoring

12

242207000-PM-05

Compile and submit internal and external compliance reports

12

242207000-PM-06

Interact with industry regulators, supervisors and stakeholders

3

Total PM Credits

60

Workplace Modules

Module Code

Description

No. of Credits

242207000-WM-01

Compliance risk management design and implementation processes

18

242207000-WM-02

Regulatory universe definition and maintenance processes

24

242207000-WM-03

Compliance Risk Management Plan development processes

24

242207000-WM-04

Compliance monitoring processes

24

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242207000-WM-05

Compliance risk management design and implementation processes

24

242207000-WM-06

Compliance reporting processes

12

242207000-WM-07

Industry regulator, supervisor and stakeholder interactions

6

Total number of credits for Work Experience Modules

120

Recommended Study Material

Generally Accepted Compliance Practice (GACP) 2018 - principles, standards and guidelines

Code of Ethics and Professional Conduct (included in the GACP)
King IV Code

Internal Formative Assessment (IFA) – Spectrum Graduate School

To be awarded the Compliance Certificate you must

- Complete integrated course projects for each module
- Write and Pass the examination for each module
- Perform one year's experience in compliance related tasks or assignment
- Upon completion of all internal assessment (knowledge, practical and workplace modules of the curriculum) Spectrum Graduate School of Business will issue the learner with a Statement of Results (SoR), which will enable to them to apply for External integrated Assessment with the Compliance Institute of Southern Africa.

Compliance Institute of Southern Africa (CISA)

External Integrated Summative Assessment (EISA)

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CISA is an Accredited Quality Partner (AQP) of the Quality Council for Trades and Occupations (QCTO) to conduct external integrated summative assessments.

To register for the EISA, learners must submit a completed [EISA Exam Registration Form](#) and attach a copy of their ID document and the Statement of Results to the Institute

Exam preparation: Upon acceptance into the exam, you will receive a Board exam guide and will be invited to an exam prep session

Certification

Upon completion students will be issued with an Occupational Certificate: Compliance Officer by the Quality Council for Trades and Occupations (QCTO) - upon the successful completion of the IFA by Spectrium and EISA set by the Compliance Institute of Southern Africa (CISA).

EISA Exam Dates and Venue

Online Exams – Virtual

- You will need the following:
- A functioning webcam
- A functioning microphone
- Fibre internet with minimum 10MB up and download speed
- Sufficient data and uninterrupted internet connectivity
- A suitable environment or a room to conduct online assessment

Exam Venue: CI SA – In person

Exam date: 07 June 2023

Registration closing date: 07 April 2023

Exam Prep Date: 19 April 2023

Step by Step Process to register for EISA with the CISA

Step 1 – Register for the upcoming exam: You will be required to create a profile

Step 2 – Upload your Statement of Results (SoR) Spectrum and the EISA Exam Registration Form.

Step 3 – Review and approve the application

Step 4 – Invoicing & payment

Step 6 – Attend the Board Prep Session

Step 7 – Attend the technical dry-run

Step 8 – Write the exam

Step 9 - Results communicated to the QCTO within 21 working days after the exam

Step 10 - QCTO confirm results to CISA within 3-4 weeks thereafter

Step 11 - CISA issues the Statement of Achievement (SoA) results to the examinees

Step 12 - QCTO issues the certificates to CISA within 1 week

Step 13 - CISA sends the certificates to the examinees

Programme Intake Dates

3 January

1 April

1 July

1 October

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Career Opportunities

Qualifying learners could follow a career within the government sectors in:

- Compliance Officer
- Compliance Practitioner
- Independent compliance consultant
- Independent Compliance Officer
- Independent Compliance Practitioner

Available study Options

This programme can be introduced to the organization in the following ways:

- Learnership/Internship
- Recognition of Prior Learning (RPL)
- Distant Learning
- In – House (OPTIONS AVAILABLE: A minimum of 5 Delegates)

Job Opportunities

Jobs are immediately available in the following areas:

Compliance Officer, Compliance Practitioner, Independent compliance consultant, Independent Compliance Officer and Independent Compliance Practitioner

Job Placement

We seek to place our graduates with industry where there is demand either for permanent positions, project-based or internship. Our career orientation team is out to assist you with the job search.

Programme Benefits to you

- Immediate employment
- Professional recognition
- National International recognition
- Well sought after qualification across all industries.
- Hands on Experience in local government programmes.

Benefits to the organisation

- Effective KPA management by employees
- Excellent Job performance
- Better and quality service delivery

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- Better understanding of job descriptions

- Clarity of Roles and Responsibilities