

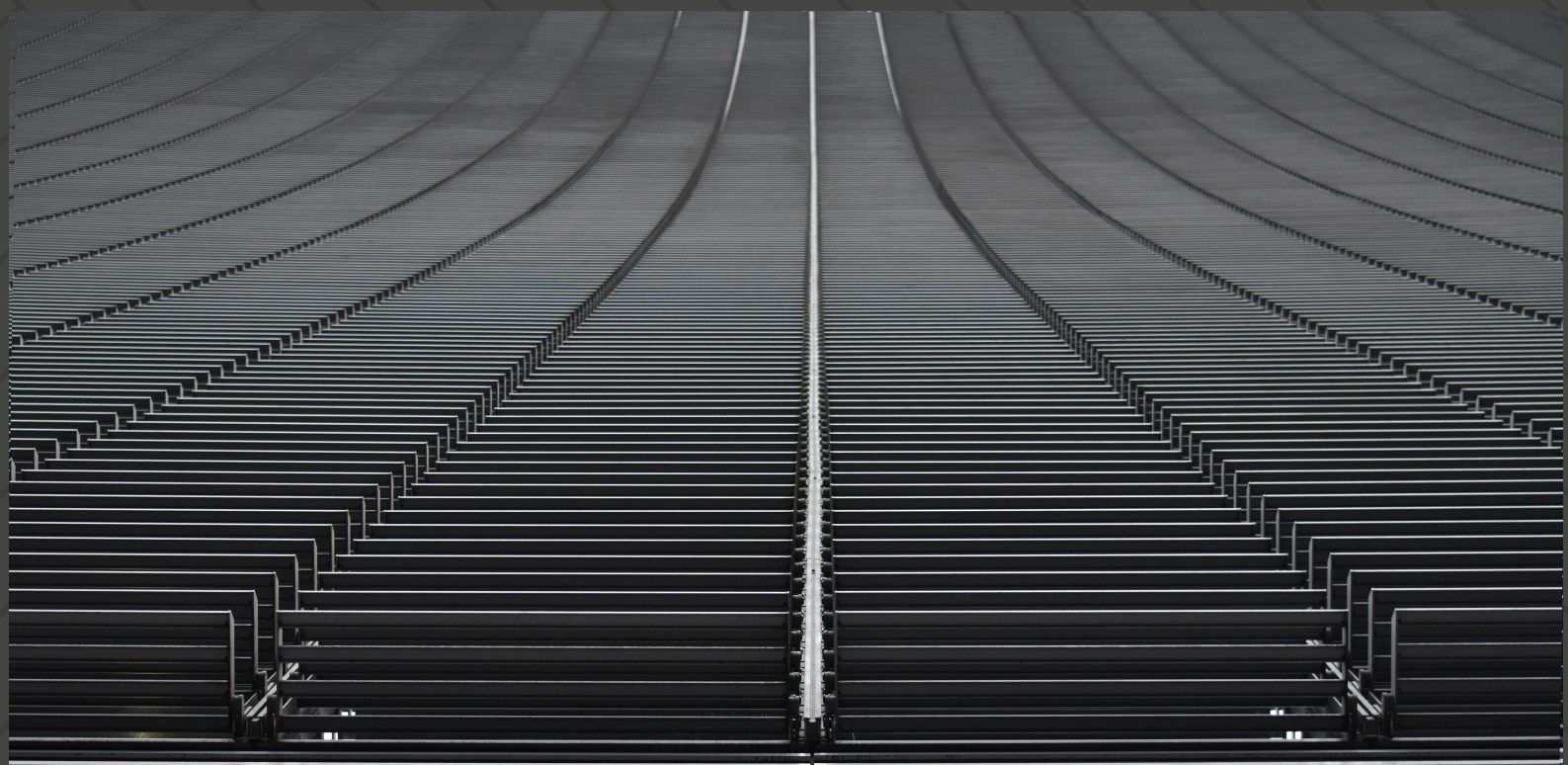


THE  
COMPLIANCE  
ACADEMY

COMPLIANCE FOR THE FUTURE

2017/2018

# TRAINING COURSE BROCHURE





## COMPLIANCE COURSES

### **Protection of Personal Information and related legislation (2 days)**

#### Introduction to Privacy

- international laws,
- PoPI Act No 4 of 2013),
- relevant SA laws,
- standards and frameworks

#### Establishing your Privacy Programme

- governance structures,
- significant functional areas,
- key decision-making

#### Privacy Officer Responsibilities and Tasks

- developing policies and privacy notices,
- conducting privacy impact and risk assessments,
- contract language,
- awareness and training,
- business partners and vendors,
- managing breaches,
- dealing with regulators,
- employee monitoring and discipline

### **Aligning Business Strategy with Ethics and Compliance (1 day)**

Did you know that only 26% of professionals across both the public and private sectors believe that doing the right thing is more important than financial success? That is why as a risk / audit / compliance / forensic officer / board / councillor / risk / audit committee member you need this 1 day course:

- What ethics and compliance responsibilities does the board have
- How Do Organizations Pursue a Culture of “Ethics & Respect”?
- King IV and the Companies Act
- FAIS and compliance training with editable training plans
- Anti-Kickback programs
- Whistleblowing processes
- Third party requirements



### **Standards, Policies & Procedures that work (1 day)**

Policies and procedures play a massive role but thought must also be given to how you will manage the ever-increasing number of policies organisations have today. Managing the writing, editing, distributing and attesting to policies and procedures is no easy task.

- Writing good policies and procedures.
- Effectively managing policies and procedures.
- Social media; compliance in the digital age
- ABC
- Decision making
- Judgement biases

### **The introductory pathway to Principled Performance (1 day)**

To reliably achieve objectives, address uncertainty and act with integrity, you must integrate functions that, in many organizations, are fragmented and siloed.

Adopting a vision of Principled Performance helps organisations reliably achieve objectives while addressing uncertainty and acting with integrity.

- What is principled performance and how to use it
- Effective practices policies and procedures built to align principle performance with business strategy
- Learn, Align, perform and review methodologies
- Leadership

### **Stepping stones to Risk and Compliance (1 day)**

Do you understand how to determine and identify regulatory requirements and establish affirmative defensibility? Do you have an effective Risk Assessment Framework?

In this course you will learn to:

- Create a connected risk view to strategic planning and achievement of objectives
- Company cultures and risk
- Create a risk assessment to developing your organisation's risk profile
- Monitoring techniques
- Use tools for risk identification
- Create a RAG risk assessment
- How Internal Audit can be supported by a connected view of risk



### **Dealing with Anti-Bribery and Corruption Risk (1/2 day)**

There are more and more jurisdictions fining companies that bribe or fail to implement effective anti-bribery, anticorruption and anti-money laundering.

In this course we examine:

- Company cultures and risk
- Anti-Bribery & Corruption Risk Assessment Checklist
- Red flags when dealing with intermediaries
- Documentary accuracy
- Internal control procedures
- Third party ABC
- Training
- Practical course applications

### **South African Anti-money Laundering, anti-corruption and anti-bribery (1 day)**

All employees of a financial institution designated as an accounting or recording institution in terms of the Financial Intelligence Centre Act require this basic course which covers :

- Financial Intelligence Centre Act
- The Protection of Constitutional Democracy Against Terrorist and Related Activities Act 33 of 2004 ("POCDATARA"), The Prevention of Organised Crime Act 121 of 1998 ("POCA"),
- The Prevention and Combating of Corrupt Activities Act 12 of 2004 ("PRECCA"),
- Financial Action Task Force (FATF)
- Moneyval
- Client identification and verification no examples
- Reporting obligations no examples
- Tipping off
- Record keeping
- Penalties
- Sanction lists
- Optional Assessment





## FINANCE COURSES

### Finance

Practical understanding and the ability to use and apply finance. (Essentially a finance for non-financial experts course/s).

General finance, funding and capital management for learners/trainees from any industry who require an understanding and working knowledge of finance. These are generally professionals and management team members, with the course/service being geared to the specific learners/trainees.

This ranges from:

1. A broad overview;
2. Introduction to finance;
3. Applying finance; and
4. Mastering finance.

### Investment / Portfolio Management

Creating your own financial independence Building your own portfolio to ensure your financial independence and creating your future financial security, or having the skills to evaluate, monitor and manage your portfolio manager or financial service provider.

General Industry, primarily for professionals and management team members (junior through to executive directors), as well as people who need or want to develop these skills.

These courses range from:

1. Overview: A broad overview with an explanation of the concept of diversity, portfolio management skills and creating future financial security;
2. Tangible Assets: Property and alternative investments;
3. Interest rate instruments: from cash deposits earning interest through to bonds and money market instruments, etc.;
4. Equities: Listed & unlisted, through to private equity;
5. Funds: From professional funds, exchange traded funds (ETF's) through to hedge funds, etc.;
6. Foreign exchange: From forex investments through to risk management and jurisdiction diversity; and
7. Derivatives : From futures and options, contracts for difference (CFD's), gearing/leverage, hedging through to risk management.



## FINANCE COURSES continued

### **Computational and Applied Mathematics for finance, financial markets and instruments.**

Understanding the mathematics and building models to assist in finance in general and all in the financial markets and instruments, portfolios, etc.

This applies to any Industry, and provides a working knowledge and model development skill for management team members (junior through to executive directors), as well as people who need or want to develop these skills.

These courses are tailored to meet the specific needs of prospective clients, and would include course material with worked examples, certain model templates, and both the training in the use and development of models, as well as consulting opportunities for the assistance with and/or development of models and appropriate computational and applied mathematics. This includes financial engineering where required, and the potential for consulting in the skills area.

### **Risk Management.**

Understanding the requirements for, methods and application of, risk management, from policies, processes, through to models and the implementation and management of the risk function.

This applies to any Industry, and provides a working knowledge of risk management in general and specifically to the nature and type of clients business (i.e. The material, training and consulting where necessary are designed on an ad hoc basis to specifically meet the clients' needs.

These courses are tailored to meet the specific needs of prospective clients, and would include course material with worked examples, certain management templates and checklists, with both the training in the use and application of risk management.



**THE  
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