



COMPLIANCE MASTERCLASS PROGRAMME BROCHURE

1. PROGRAMME OVERVIEW

The ASISA Academy Compliance Masterclasses have been designed to:

- Build capacity of compliance practitioners in the financial services sector to meet the growing compliance demands.
- Continuously align industry compliance practices to those at the global level.
- Enable progression of individuals from Regulatory Subject Matter Expert to Compliance Practitioner.
- Sharpen the fiduciary skills and enhance the compliance knowledge of newly appointed financial services executives and senior management.

The programme comprises a series of engaging 3-hour online masterclasses for compliance professionals with at least 5 years' compliance experience AND where at least one of these years has been at middle management level where the person has reported directly to the Head of Compliance.

2. DELIVERY MODE AND FEES

The programme will be delivered in the form of 7 engaging live online morning masterclasses of 3 hours each (9h00-12h00). The 7 masterclasses will run in the order shown in section 4 with all 7 being scheduled over a 4-month period.

Every masterclass takes the form of an online interactive workshop and will draw on the expertise of experienced professionals in the industry.

We prefer to limit our class sizes to a maximum of 20 students which allows for a very supportive learning environment in which no committed participant gets left behind.

The fee per person for each masterclass will be R1,500 + VAT subject to a minimum of 6 people enrolling in a class.

3. PROGRAMME CHAMPION

Our programme champion hosts each masterclass and will present many of the sessions himself but will also draw on the broad ASISA membership for expert presenters on specialist topics.



Russell du Bois - Member South African Institute of Financial Markets

Russell is a member of the core team of ASISA Academy Programme Champions where he anchors a range of Collective Investment Schemes programmes, graduate development and work readiness programmes and the compliance sprints. He has worked in the financial services industry for over thirty years in banking, stockbroking, investment management and collective investments including roles as head of Sales and Marketing and Operations for Nedbank Unit Trusts.

4. MODULES AND LEARNING OUTCOMES

MODULE NUMBER AND NAME	LEARNING OUTCOMES By the end of this masterclass a delegate will be able to...
1. Defining and driving compliance strategy	<ul style="list-style-type: none"> • Conceptualise, define and implement a compliance strategy that is consistent with a company's strategy and context. • Contrast a Compliance Practitioner with a Regulatory Subject Matter Expert. • Describe a compliance culture that advances overall governance effectiveness. • Contrast a defensive (reactive policing) approach with a value enhancing (strategic) approach. • Describe ways to get buy-in from senior stakeholders to a strategic compliance approach that will enrich the firm's competitive advantage.
2. Designing and implementing compliance models and structures	<ul style="list-style-type: none"> • Design and implement fit-for purpose compliance models that enable effective management of compliance and regulatory risk and align with the company's business model and ISO37301 recommendations. • Design and implement compliance structures that align with the company's needs, structures and ISO37301 recommendations. • Design and implement compliance reports and dashboards that effectively communicate the compliance situation in a company and keep key stakeholders accountable.
3. Designing and implementing compliance policies	<ul style="list-style-type: none"> • Design and implement globally benchmarked compliance policies and other related policies e.g. whistleblowing. • Select fit-for-purpose compliance management methodologies and frameworks for: <ul style="list-style-type: none"> ○ Monitoring risk ○ Gauging risk appetite ○ Risk rating ○ Regulatory universe awareness ○ Compliance Risk Management Plans (CRMPs) ○ Key Performance Indicators (KPIs) ○ Risk and Control Self-Assessments (RCSAs)
4. Measuring Compliance Effectiveness	<ul style="list-style-type: none"> • Allocate accountability and responsibility to ensure a successful compliance programme. • Manage the compliance programme by outcomes rather than by amount of effort. • Define compliance metrics to measure the effectiveness of the compliance programme. • Develop and show how to implement fit-for-purpose enforcement mechanisms to achieve optimal compliance outcomes. • Build attestation frameworks.
5. Compliance thought leadership	<ul style="list-style-type: none"> • Get buy-in from key stakeholders to implement and maintain an effective compliance programme. • Share strategies to win the confidence of the Board. • Build research capability and a "think tank" within the compliance function to remain relevant and up to date with compliance trends. • Scan the environment for influences that will impact the company's compliance programme.
6. Optimising stakeholder management	<ul style="list-style-type: none"> • Describe the best approaches to engage with regulators to achieve various specific objectives. • Strategically locate the role of compliance in influencing government policies through regulatory advocacy.
7. Licence to operate requirements	<ul style="list-style-type: none"> • Position compliance as a trusted advisor to the business decision makers. • Interpret and implement regulatory requirements to advance commercial outcomes while managing compliance risk.

5. ASISA ACADEMY VISION & CONTEXT

The ASISA Academy creates and delivers high quality solutions to meet the skills development needs of South African Savings, Life Assurance and Investment Management organisations. Our learning solutions are informed by and responsive to industry realities, delivered in an academically sound and practitioner-led manner. The Academy serves the following three target markets:

1. People already employed by ASISA members and other industry stakeholders to ensure that the skills base within our industry allows us to compete with the best in the world.
2. Young people entering or considering a career in the industry to bridge the gap between the theories learned at university and the realities of the work environment so that students can become work-ready while still studying. Internships form a core part of this offering.
3. Retirement fund trustees and principal officers to raise the levels of their financial literacy.

More than 14,000 people in the Southern African financial services sector have participated in ASISA Academy programmes since 2008, with over 1000 industry presenters involved.

The ASISA Academy is a Level 1 B-BBEE provider.

6. CONTACT INFORMATION

For more information contact the ASISA Academy Business Development team via:

email: learn@asisaacademy.org.za
landline: +27 21 673 1620
website: www.asisaacademy.org.za