**Programme outline:**

**An introduction to compliance**

1. Standards for compliance best practice

* A brief history of compliance in South Africa
* Key standards for compliance practice – GACP, King IV, ISO Standards and relevant legislation
* Identification of key compliance role-players

1. Compliance roles and responsibilities

* Roles and responsibilities of key compliance role-players
* An overview of the role of the compliance function

1. The structure of the compliance function

* The need for independence
* Conflicts of interest
* Compliance resourcing
* Review of the compliance function

1. An overview of some of the most important compliance documents
2. The culture of compliance and compliance’s relationship with ethics
3. An overview of the regulatory environment

* The regulatory environment
* The role of the regulators
* Interaction with regulators

1. An overview of the compliance risk management process

* Compliance risk identification
* Compliance risk assessment
* Compliance risk management
* Compliance risk monitoring

1. Other compliance activities

* Compliance reporting
* Compliance training