# COMPLIANCE PROFESSIONAL SA (CProf SA) DESIGNATION INFORMATION BRIEF TO CANDIDATES

1. **INTRODUCTION**

The Compliance Institute SA (‘the Institute’) is the SAQA-registered professional body for compliance officers in South Africa. Our professionalism framework provides for career progression and the awarding of designations based on certain criteria which were determined following extensive consultation with our members.

# THE PROFESSIONALISM FRAMEWORK

The professionalism framework consists of four (4) levels of membership and 2 formally registered designations, i.e. CPrac(SA) and CProf(SA).



# ELIGIBILITY REQUIREMENTS

Candidates must have been:

* + Awarded the CPrac(SA) designation
	+ Operating at least 3 years (post-CPrac) at a strategic, senior management level in compliance, or have been providing compliance consulting / outsourced services

# PRE-ASSESSMENT

Candidates should meet the relevant competency requirements to ensure that they are ready for the CProf(SA) assessment. Candidates are advised to complete the self-assessment (see Excel spreadsheet) before registering for the CProf(SA) assessment.

Candidates should have answered ‘Yes’ to at least 90% of the questions. If not, s/he should strongly consider gaining the requisite experience before attempting the CProf(SA) assessment. Candidates should submit a detailed CV along with the completed questionnaire.

NB!! The candidate accepts the risk that the Institute may find that the candidate does not meet the entry and competency requirements. In such cases, the candidate will forfeit the assessment fee and will have to re-apply once they meet the criteria.

# FORMAT OF THE ASSESSMENT

* 1. **Inbox exercises (written assessment)**

The assessment is computer-based, i.e. candidates have to record their responses in MS Word. The assessment will be in the form of ‘Inbox exercises’ which consist of a series of typical compliance scenarios which deal with common job-related situations such as dealing with performance problems, operational crises, and potential issues with regulators.

The purpose of an inbox-based assessment is to mimic real life as closely as possible so that candidates’ responses can be assessed as if s/he were performing the tasks in the work place.

Although the candidate will be evaluated on the technical aspects of compliance, the assessment focus is on professional judgement in terms of:

* Design and implementation at a senior level
* Prioritisation
* Planning
* Make sound judgments and decisions
* Management style
* Evaluation of situations
* Analysis of information
* Opinions, strategic views, ethical judgements
* Providing advice
* Awareness of wider impacts and future consequences

Typical written outputs include:

* To-do lists
* Action plans
* Opinions / advice
* E-mails
* Letters
* Notes in preparation of phone and conference calls, meetings, hearings, etc.

# Work experience

In addition to the computer-based assessment, the candidate must submit evidence of work experience which will be evaluated by CProf (SA)’s who have been trained in the Institute’s assessment practices.

# CV

Applications should be accompanied by a detailed CV evidencing the work experience gained.

# Panel interview (borderline cases)

Borderline candidates may be scheduled for structured panel interviews conducted by at least 3 CProf (SA)’s at a future date. However, this will not apply to candidates who have participated in the pilot assessment. Borderline candidates are defined as those candidates whose knowledge and abilities are just enough, or who have a 50:50 probability of passing or failing the assessment.

The CProf(SA) assessment may be attempted a maximum of 3 times, where after the Institute may recommend an intervention before allowing the candidate to attempt the assessment one final time.

# ASSESSMENT PREPARATION

* + **Approximately one month before the assessment date, there will be a preparation session to prepare candidates on the format of the assessment and how to approach it.**
	+ There is currently no study material or specific academic qualifications prescribed for the CProf(SA) designation. The focus is on the ability of the candidate, *inter alia*, to operate at a strategic level and to exercise professional judgement.
	+ Candidates are advised to review the Generally Accepted Compliance Practice framework (‘GACP’) to ensure that their theoretical knowledge is intact.
	+ The assessment is open-book and the GACP will be available to the candidates in electronic format (it will be pre-loaded on the computers on which the assessment will be completed).

# A research brief is distributed to candidates 7 calendar days prior to the assessment date.

* + The research brief includes:
		- Information about the organisation upon which the assessment is based
		- Market conditions impacting on the particular industry / organisation
		- Regulatory environment in which it operates
		- Internal policies, procedures, extracts from audit reports, financial statements, etc.
	+ The candidate should familiarise him/herself with the information and can also do his/her own further research. It is important to be aware of current trends and recent incidents of non-compliance, issues, etc. A question may be posed that focuses on these aspects and it would help you if you know about the latest developments.
	+ In fact, at the CProf(SA) level it is expected that a compliance officer should be aware of macro-economic, social, political and other relevant information / developments impacting the environment in which the organisation operates (i.e. external context).
	+ The purpose of the research brief is to allow the candidate to prepare him/herself to have the mind-set of the compliance officer for that organisation and to have knowledge of the organisation as if s/he were employed there.

# ASSESSMENT OUTCOME

The assessment outcome will focus on assessing professional judgement versus conformance to pre-defined standards.

* + No marks will be awarded
	+ The outcome will simply state:
		- Does not meet requirements
		- Improvement needed
		- Meets requirements
		- Exceeds requirements

# APPEALS

The candidate has the right to appeal should s/he disagree with the assessment outcome, or if s/he is of the opinion that the assessment was unfair. The Appeals policy, process and application form is available on the Institute’s website.

# ARRANGEMENTS

* + The research brief will be distributed to candidates 7 calendar days before the assessment date.
	+ The assessment dates are available on the Institute’s website.
	+ You will be advised of the specific date and time of your assessment.
	+ You are advised to arrive early, as parking is at a premium. You should be seated at least 30 minutes before the assessment commences to allow sufficient time for administrative purposes.
	+ Candidates should provide their evidence of work experience as soon as possible any time from registration before the assessment date.
	+ If you have any enquiries, please contact the Compliance Institute SA on professionalism@compliancesa.com