



COMPLIANCE
INSTITUTE
SOUTHERN AFRICA

Course Outline

Compliance monitoring

At a glance:

Cost per person Incl. vat	CPD Points and Accreditation	Accreditations/Partnerships /Memberships	Method of Delivery / Format	Duration
Refer to the latest advertised events for current rates	12 hours	n/a	Virtual on Microsoft Teams	3 days – 4 hrs per day

What is covered:

Compliance Monitoring fits in as an element of the compliance process.

- A brief explanation of the compliance process and the development of Compliance Risk Management Plans (CRMPs).
- An overview of compliance monitoring, the need and objectives as well as consequences of noncompliance.
- Explaining the risk-based compliance monitoring approach with controls.
- Types of Compliance Monitoring
- Monitoring Tools
- The Compliance Monitoring process

Outline:

- The methodology for the monitoring of compliance by regulators
- The methodology for compliance monitoring by management
- The methodology for compliance monitoring by the compliance officer
- The starting point of compliance monitoring o Independent monitoring
- Effectiveness reviews
- Materiality Sampling
- Statistical sampling and non-statistical sampling
- Working papers
- The compliance report
- Recommendations that should be addressed in the compliance report
- The review process and the relevant role players
- Issues Log



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- The review process to evaluate the implementation of the Compliance Risk Management Plans throughout your organisation

Who should attend:

- Corporate clients
- Compliance officers
- Compliance administrators
- Novices to compliance management

Format of the course

- The training is held in a classroom style, either virtually or face-to-face.
- Theoretical training.
- Case studies form part of the learning process.

Bio of presenter/s:

Daryl Glass



Daryl worked at the Liberty Group between 1992 and 2007 and served in various capacities including as Head of Forensic Services and Head of Group Compliance and Group Compliance Officer for all entities within the Group

Since 2007, Daryl has run a business consultancy practice whose main focus is on Governance, Risk, Compliance and Forensic services. He has provided services to a broad range of South African and international clients within both the private and public sectors across various industries. Daryl's focus is to equip and enable organisations, their governing bodies and management to efficiently and effectively manage all forms of risk and meet relevant leading practice requirements. He led the development of the Public Sector Compliance Framework as a consultant to National Treasury.

Daryl participates extensively in the development and delivery of the core compliance training programmes of the Compliance Institute of Southern Africa and also previously served as a Director of the Institute between 1999 and 2006. Daryl has and does serve in various capacities on or as an advisor to the boards of several other organisations.

Daryl is a Certified Compliance Professional and has a BCompt, MBA and Post-graduate diploma in Compliance Management.