



## **Compliance Quality Assessment Improvement Programme (QAIP)**

The training will provide attendees with an in-depth knowledge of the Compliance Quality Assessment (QA) framework and what the Compliance Function's Key Stakeholders can expect from this framework. In addition, tools enabling the Assessment of a Compliance Function will be discussed and demonstrated. The major objectives of a QA are to:

- Assess the Compliance Function's conformity to the Generally Accepted Compliance Practice framework (GACP),
- Evaluate the Compliance Function's efficiency and effectiveness in carrying out its mission as set forth in its Charter and expressed in the expectations of the organisation's management and Audit Committee (AC),
- Offer advice and recommendations to enhance the management and work processes of the Compliance Function, and
- Assist the Compliance Function in its pursuit of adding value.

### **Who should attend:**

The training programme has been developed such that it will provide guidance to the Oversight Committee of the Governing Body, Executive Management and Compliance Management what they could expect from a Compliance Quality Assurance and Improvement Programme. It will also be essential to any person tasked to quality assure a compliance function and ideal for Heads of Control Functions, Senior Compliance Officers, Internal Audit Executives, Internal Auditors and External Quality Assurance Consultants.

### **Programme delivery methodology and programme outline:**

The training will be delivered in a webinar, allowing for facilitation and group discussion. It will make use of informative slides and the demonstration of "My Compliance Assessment Tool" to assist and guide the learners throughout the assessment process. The training will equip the learners with the guidelines and tools in terms of:

- Key aspects of Compliance Quality Assessment relating to the various Stakeholders of the Compliance Function.
- Developing a Compliance Quality Assessment and Improvement Programme.
- Populating the various Guides within "My Compliance Assessment Tool", which will ultimately provide the assessor with an overall Conformance and Effectiveness of the Compliance Function.

- Planning the Quality Assessment.
- Determining conformance measurement criteria relevant to different sizes and categories of organisations.
- Obtaining Supporting Documentation and relevant Evidence for the Assessment.
  - A detailed list of Organisational Information and Key Governance and Compliance Documents that need to be considered during the assessment.
  - Guidelines for Interviews with Head of Compliance, Executive and Governing Body Members, Compliance Staff and External Auditors.
  - Guidelines for assisting in the conduct of a Survey of Executive Management and Compliance Staff.
- Guidelines per GACP Standards, which are aligned with the ISO 19 600 and ISO 31 000 standards
- Measuring and Reporting on the:
  - Conformance per GACP Standards
  - Efficiency of the Compliance Function
  - Effectiveness of the Compliance Function
  - Value Add of the Compliance Function

## Programme duration

The complete programme will be facilitated over two (2) days (5 hours per day) allowing for ten (10) hours productive time. The programme allows for certain stakeholders and role players to attend specific sessions that are relevant to them and is priced accordingly.

## Breakdown of the 2 days

	Who should attend?	What will be addressed?	Price (incl. VAT)
<b>Day 1</b>			
<b>Session 1 (9:00 – 11:00)</b>	All Key Stakeholders / Role Players in the Compliance Process, including: <ul style="list-style-type: none"> <li>• Directors,</li> <li>• Compliance Management, and</li> <li>• People responsible for performing the Quality Assessment.</li> </ul>	<ul style="list-style-type: none"> <li>• What is the Compliance Quality Assessment and Improvement Programme all about?</li> <li>• What are the benefits of and the need for conducting Quality Assurance Reviews?</li> <li>• What are the Key Aspects in terms of the Compliance Function that Executive / Senior Management and the Governing Body Oversight Committee on Compliance should be concerned about?</li> <li>• What are the Governance aspects of a Compliance Function that should be measured in terms of the Quality Assessment and Improvement Programme?</li> <li>• What are the key deliverables from Quality Assessment and the Improvement</li> </ul>	<b>Member: R760.00</b>  <b>Non-member: R910.00</b>

	Who should attend?	What will be addressed?	Price (incl. VAT)
		<p>Programme that Executive / Senior Management and the Governing Body Oversight Committee should expect?</p> <ul style="list-style-type: none"> <li>• What process should the Governing Body Oversight Committee on Compliance implement / expect to monitor any improvements required?</li> </ul>	
<b>Session 2 (11:30 to 14:30)</b>	<ul style="list-style-type: none"> <li>• Compliance Management and</li> <li>• People responsible for performing the Quality Assessment.</li> </ul>	<ul style="list-style-type: none"> <li>• Development of a Quality Assessment and Improvement Programme, including an example of such a Programme (document and process). What are the key aspects that should be considered in such a Programme?</li> <li>• What are the responsibilities of the Head of Compliance and Compliance Management in the programme?</li> <li>• How will this review assist in the Overall Combined Assurance process and reliance by other Assurance Providers.</li> <li>• The different types of Quality Assurance Reviews and who will typically conduct such reviews will be explored.</li> <li>• Introduction to the Compliance Quality Assessment Tool, “My Compliance Assessment Tool”, to assess the Quality of the Compliance Function.</li> <li>• An overview of “My Compliance Assessment Tool” which incorporates the various assessment Guides utilised to conduct a Quality Assurance Review of the Compliance Function will be explored.</li> </ul>	<p><b>Member: R1,138</b></p> <p><b>Non-member: R1,370</b></p>
<b>Day 2</b>			
<b>Session 3 (9:00 to 14:00)</b>	<ul style="list-style-type: none"> <li>• People responsible for performing the Quality Assessment.</li> </ul>	<p>Day two will be a practical session which will include the following:</p> <ul style="list-style-type: none"> <li>• A case study will be discussed and utilised to complete “My Compliance Assessment Tool”</li> <li>• Guides contained in “My Compliance Assessment Tool” will be completed based on the Case Study information (Thus a Demonstration as well as self-exploration of the workings of the Tool based on case study).</li> <li>• Conducting of an Overall Assessment and forming an overall Opinion in terms of Conformance and Effectiveness.</li> </ul>	<p><b>Member: R1,900</b></p> <p><b>Non-member: R2,280</b></p>

	Who should attend?	What will be addressed?	Price (incl. VAT)
		<ul style="list-style-type: none"> <li>• Compilation of the Quality Assessment Report and Finalisation of the Assessment.</li> </ul>	
		<b>TOTAL</b>	<b>Member rate: R3,798</b>  <b>Non-member rate: R4,560</b>

## Costs if you attend:

Session	Member rate	Non-member rate
Session 1 only	R760	R910
Session 2 only	R1,138	R1,370
Session 3 only	R1,900	R2,280
Session 1 and 2 only	R1,898	R2,280
Session 1,2 and 3	R3,798	R4,560

\* Pricing includes VAT

## Study Material & Tools

- The Generally Accepted Compliance Practice framework (GACP)
- My Compliance Assessment Tool which features
  - Automated built-in overall assessment scores
  - Documenting of planning considerations
  - Tracking of review notes
  - References to supporting documents / evidence
  - Sign-off and review indicators

**CPD:** The complete training course counts for 10 hours of verifiable CPD.

## Programme Assessment

A voluntary assessment will be conducted at the conclusion of the training to test attendees' overall knowledge.

The assessment is provided for those attendees who want to conduct Independent Quality Assessments for External Organisations in the future, and who will be required to demonstrate knowledge of the QA process.

## Bio of presenter/s:



Gert van Wyk has a wealth of experience in the Governance, Risk and Compliance disciplines.

He has the following qualifications and designations: M Com, FIIASA, CIA, PIA, CRMA, CA (SA), CPrac (SA), CProf (SA).

Gert spent five years at KPMG before joining the Absa Group, where he held senior positions including Group Compliance Officer, Head of Operational Risk and Chief Internal Auditor.

He was previously the Chair of the Audit, Risk and Governance Committee of the Compliance Institute Southern Africa and the Chair of the Risk Committee of the South African Department of Home Affairs.

He is a member of the South African Institute of Chartered Accountants, the Compliance Institute Southern Africa and the Institute of Internal Auditors.

He serves on the Examination Committee of the Institute of Internal Auditors and is a moderator of the Compliance Institute Southern Africa's CPrac (SA) Board Exam.

During the past number of years, he has conducted more than 80 External Quality Assurance reviews on behalf of the Institute of Internal auditors.