



Course Outline

Compliance Policy and Framework

The training will provide attendees with the knowledge to develop and implement an effective compliance policy and framework within their organisation.

The main purpose of a compliance policy is to set out an organisation's commitment and approach to compliance and what is expected of all employees.

A compliance framework sets out an organisation's approach, methodology and standards in respect of compliance management. The compliance framework should provide internal compliance stakeholders with a robust and structured set of standards for consistent and effective application of the organisation's compliance management practices.

Who should attend:

This course will benefit those who either need to:

- Develop a compliance policy and framework for their organisation; or
- Review and/or update their organisation's existing compliance policy and framework; or
- Assess the appropriateness and effectiveness of their organisation's existing compliance policy and framework.

Course Delivery Method and Duration

The complete course will be facilitated over two (2) days (5 hours per day) allowing for ten (10) hours in total time.

The training will be delivered in a webinar making use of informative slides while also allowing for facilitation and group discussion. Attendees will be provided with example templates of a compliance policy and framework that can be customised and adapted to their organisation's needs. The break between session 1 and 2 will be 4 weeks apart to allow for delegates:

- 3 weeks to work on homework; and
- 1 week for questions.

CPD

10 hours.

Pricing

See the calendar event for current pricing.



Session 1

The first session will assist those:

- Who have little or no experience in the development of a compliance policy and framework and the content thereof, or
- Those who have experience in drafting, reviewing or updating their organisation's compliance policy and framework but wish to get a refresher on the principles and content thereof.

This session will provide attendees with the necessary background information for developing, implementing and reviewing/maintaining an effective compliance policy and framework against best practice requirements.

Example templates will be provided during this session and attendees.

Session 2

The second session will assist those:

- Who are in an advanced stage of the process of drafting/ reviewing their organisation's compliance policy and framework and wish to obtain input in respect of the content and/or alignment thereof to best practice requirements.

It is a pre-requisite for the second session that attendees have:

- Either an existing compliance policy and framework that they are reviewing and want to obtain input on the content or alignment of.
- At least a comprehensive outline and draft of a compliance policy and framework that they want to clarify content aspects of.
- Submitted a list of questions/ areas of concern that they want to address at least a week before the scheduled session.

In addition, attendees of the second session must have either:

- Attended the first session, or
- Have experience in the development or review of an organisation's compliance policy and framework and have good knowledge of the contents thereof as set out in the Generally Accepted Compliance Practice Framework (GACP) of the Compliance Institute Southern Africa.

The second session will be held at least 4 weeks after the first session to give attendees an opportunity to develop or review their own documents or detailed outlines thereof.

This session will follow an interactive question and answer workshop approach to address any questions and challenges attendees may have and to provide further clarity, guidance and advice to address these. It should be noted that the purpose of this session is to assist attendees with challenges that they are having or clarity that they need to assist in aligning



their organisation's compliance policy and framework to best practice requirements. It is not intended to critique and provide detailed feedback on their respective compliance policies and frameworks. Attendees will benefit from the shared experiences of the facilitator as well as other attendees.

Course Content Overview

This training will provide attendees with the knowledge, guidance and tools to develop and/or maintain an effective compliance policy and framework. Aspects that will be covered include:

- Leading compliance practice standards and guidelines relevant to compliance policies and frameworks, including those arising from:
 - The Generally Accepted Compliance Practice Framework (GACP) of the Compliance Institute Southern Africa.
 - The King IV Report and Code on Corporate Governance for South Africa (2016).
 - ISO 37301 (Compliance Management Systems - Requirements with guidance for use).
- The need for, objectives and purpose of a compliance policy.
- The need for, objectives and purpose of a compliance framework.
- The content of a compliance policy, including for example:
 - The organisation's commitment and approach to compliance.
 - The compliance policy statement.
 - The organisation's compliance philosophy.
 - Key compliance principles.
 - Scope and applicability.
 - Establishment of the compliance function.
 - Expectations of key compliance stakeholders including the governing body, management, staff and the compliance function.
- Key aspects that should be addressed by a compliance framework including for example:
 - Compliance strategy and objectives.
 - Governance and oversight of compliance.
 - Compliance stakeholders.
 - The compliance function and structures.
 - Compliance culture.
 - Compliance methodology.
 - Compliance training and awareness.
 - Compliance reporting.
 - Compliance quality assessment and continual improvement.
- Obtaining input, buy-in and commitment to compliance policy and framework.
- Approval of the compliance policy and framework.
- Effective communication, roll-out and implementation of the compliance policy and framework.
- Reviewing the appropriateness and effectiveness of the compliance policy and framework on a periodic basis.

Breakdown of the 2 Sessions

Session 1:

Time	What will be addressed?
(9:00 – 10:15)	<ul style="list-style-type: none"> • Leading compliance practice standards and guidelines relevant to compliance policies and frameworks, including those arising from: <ul style="list-style-type: none"> ○ The Generally Accepted Compliance Practice Framework (GACP) of the Compliance Institute Southern Africa. ○ The King IV Report and Code on Corporate Governance for South Africa (2016). ○ ISO 37301 (Compliance Management Systems - Requirements with guidance for use). • The need for, objectives and purpose of a compliance policy. • The content of a compliance policy, including for example: <ul style="list-style-type: none"> ○ The organisation’s commitment and approach to compliance. ○ The compliance policy statement. ○ The organisation’s compliance philosophy. ○ Key compliance principles. ○ Scope and applicability. ○ Establishment of the compliance function. ○ Expectations of key compliance stakeholders including the governing body, management, staff and the compliance function.
(10:30 – 11:45)	<ul style="list-style-type: none"> • The need for, objectives and purpose of a compliance framework. • Key aspects that should be addressed by a compliance framework including for example: <ul style="list-style-type: none"> ○ Compliance strategy and objectives. ○ Governance and oversight of compliance. ○ Compliance stakeholders. ○ The compliance function and structures. ○ Compliance culture. ○ Compliance methodology. ○ Compliance training and awareness. ○ Compliance reporting. ○ Compliance quality assessment and continual improvement. ○ Obtaining input, buy-in and commitment to compliance policy and framework.

Time	What will be addressed?
(12:00 – 13:00)	<ul style="list-style-type: none"> • Obtaining approval of the compliance policy and framework. • Effective communication, roll-out and implementation of the compliance policy and framework. • Reviewing the appropriateness and effectiveness of the compliance policy and framework on a periodic basis. • Provision and explanation of templates.

Session 2:

Time	What will be addressed?
(09:00 – 10:15)	<ul style="list-style-type: none"> • Facilitated question and answer session in respect of queries, clarity required or challenges being experienced in respect of the content of your compliance policy and its alignment to best practice requirements.
(10:30 – 12:00)	<ul style="list-style-type: none"> • Facilitated question and answer session in respect of queries, clarity required or challenges being experienced in respect of the content of your compliance framework and its alignment to best practice requirements.
(12:15 – 13:00)	<ul style="list-style-type: none"> • Facilitated question and answer session in respect of queries, clarity required or challenges being experienced in respect of. • Obtaining approval of the compliance policy and framework. <ul style="list-style-type: none"> o Effective communication, roll-out and implementation of the compliance policy and framework. o Reviewing the appropriateness and effectiveness of the compliance policy and framework on a periodic basis.

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 private 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 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 holds a Compliance Professional (SA) designation and has a BCompt, MBA and Post-graduate diploma in Compliance Management.