Course Outline

Title: Introduction to Public Sector Compliance

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	15 hours	n/a	Virtual on Microsoft Teams	3 days – 5 hrs per day

Overview:

The course provides an introduction to leading compliance practice requirements for effective compliance management within the public sector.

Who should attend:

This training will benefit anyone within the public sector who:

- Is a compliance manager
- Is a senior compliance officer
- Is a junior compliance officers
- Has any form of compliance function responsibilities
- Is tasked with the establishment/ implementation of a compliance function and compliance management system/ framework.

Outcomes:

- Understanding the background, need and requirements for an effective compliance management system and framework by public entities, departments and institutions.
- Identifying the structure and key components of an effective compliance management system within the public sector.
- Understanding the objectives and selected key minimum standards of the various components of an effective public sector compliance management system and framework.
- Understanding the relationship between and interrelatedness of the various components of a public sector compliance management system and framework.

What is covered:

Outline:

1. Leading compliance practice for the public sector
2. Background to a compliance management system and framework for the public sector
3. Creating an enabling environment for an effective compliance management system
    - 3.1. Establishing a Compliance Management System
    - 3.2. Understanding the context
        - 3.2.1. Institutional context
        - 3.2.2. Compliance is obligatory
        - 3.2.3. Risk based compliance approach
        - 3.2.4. Compliance stakeholders
        - 3.2.5. Embedding compliance
        - 3.2.6. Compliance maturity
    - 3.3. Compliance Governance and Oversight
    - 3.4. Key Compliance Documents
        - 3.4.1. Compliance Policy
        - 3.4.2. Compliance Framework
        - 3.4.3. Other Compliance Documents
    - 3.5. The Compliance Function
        - 3.5.1. Establishing the function
        - 3.5.2. Status and independence
        - 3.5.3. Resources
        - 3.5.4. Outsourcing
    - 3.6. Defining Compliance Roles and Responsibilities
        - 3.6.1. Accounting Officer/ Authority
        - 3.6.2. Audit committee
        - 3.6.3. Management
        - 3.6.4. Officials
        - 3.6.5. Compliance Function
    - 3.7. Compliance culture
    - 3.8. Compliance Training and Awareness
    - 3.9. Review and Continual Improvement of the Compliance Management System
4. Compliance Methodology
    - 4.1. Establishing Compliance Maturity levels
    - 4.2. Establishing a Compliance Risk Management Process
        - 4.2.1. Developing and Maintaining a Compliance Risk Profile
        - 4.2.2. Developing and Maintaining Compliance Risk Management Plans (CRMPs)
        - 4.2.3. Compliance Monitoring
        - 4.2.4. Non-Compliance, Compliance Exposures and Non-Conformance
    - 4.3. Other Key Activities
        - 4.3.1. Communication and Consultation
        - 4.3.2. Compliance Reporting
        - 4.3.3. Compliance Record Keeping
        - 4.3.4. Compliance Planning

Format of the course

- The training is held in a classroom style, either virtually or face-to-face.
- Theoretical training with practical examples where relevant.

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 (CProf(SA)) and has a BCompt, MBA and Post-graduate diploma in Compliance Management.