

A photograph of a person's hands holding a pen over a laptop on a desk. In the background, there is a glass of iced coffee and a white mug. The scene is lit with warm, natural light, suggesting a professional or educational setting.

MOONSTONE
BUSINESS SCHOOL OF EXCELLENCE

**OCCUPATIONAL CERTIFICATE:
COMPLIANCE OFFICER
(NQF 6)**

BROCHURE

2019

OCCUPATIONAL CERTIFICATE: COMPLIANCE OFFICER (NQF 6)

NQF LEVEL 6

240 credits at NQF 6
(SAQA ID NR. 91671)

DESCRIPTION

Compliance Officers generally provide compliance services to the management of a company, to assist them in discharging their responsibilities in complying with various regulatory, and legislative requirements.

Every company and organisation is required to comply with these various regulations, thus they need an expert at their disposal with knowledge and experience in legal matters, compliance risk management, as well as the compilation, implementation and reporting of compliance strategies.

Moonstone Business School of Excellence's Occupational Certificate: Compliance Officer (NQF level 6) qualification equips our students with these expert skills, and practical experience. This gives the student confidence in their own working abilities, and advance their career.

Qualified students will be able to conduct Enterprise-wide Risk Management, apply compliance principles, commit to the compliance practices, design and implement various compliance plans and strategies, conduct compliance monitoring, and interact with various industry role-players.

Our qualification is not just aimed at preparing a student for compliance within the financial sector, but also compliance departments from other sectors.

This occupational qualification will form the apex of the compliance functionary learning path, and will allow access to the Integrated External Summative Assessment (EISA) with the Compliance Institute of South Africa (CISA).

Moonstone Business School of Excellence is an accredited Skills Development Provider, with the Quality Council for Trades & Occupations.

CONTENT

The qualification consists of the following Theory, Practical and Workplace Modules:

Module Code	Module Name	Credits
CO KM01	Enterprise-wide Risk Management	6
CO KM05	Project Management	3
CO KM02	Compliance Principles	12
CO PM01	Design and Implement Compliance Risk Management Frameworks	9
CO PM06	Interact with Industry Role Players	3
CO KM06	Generic Management Principles	3
CO KM04	Change Management	6
CO PM02	Define, Maintain and Advise on the Regulatory Universe	12
CO PM03	Develop, Facilitate Compilation of and Review Compliance Risk Management Plans	12
CO PM04	Conduct Compliance Monitoring	12
CO PM05	Compile and submit internal and external compliance reports	12
CO KM03	Compliance Practice	30
CO WM01	Compliance Risk Management Design and Implementation Processes	18
CO WM02	Regulatory Universe Definition and Maintenance Processes	24
CO WM03	Compliance Risk Management Plan Development Processes	24
CO WM04	Compliance monitoring Processes	24
CO WM05	Compliance Reporting Processes	24
CO WM06	Industry Regulator, Supervisor and Stakeholder Interactions	6

REGISTRATION DATES

Applications are open throughout the year.

First semester Registration: February.

Second semester Registration: June.

DURATION

Part-time: 2 Years

ADMISSION REQUIREMENTS

Matric/Grade 12 or a recognised NQF Level 4 qualification.

FEES

MBSE FEES

Tuition Fee: (2019) R 27 700 (VAT Excl.)

COMPLIANCE INSTITUTE OF SOUTHERN AFRICA (CISA) FEES

External Integrated Summative Assessment (2019) R 3 640 (VAT Excl.)

CERTIFICATION

Moonstone Business School of Excellence (Pty) Ltd acknowledges that certification in vocational education and training and the content of the certificate are regulated by the National Board of Education and governed by the SAQA Act, 1995 (Act No 58 of 1995) as well as Regulation 1 of the Regulations for the Registration of Private Higher Education Institutions, 2002 (hereafter referred to as “the Regulations”).

Institutional vocational education and training Learners are awarded an occupational qualification upon the successful completion of the EISA which will be set by the Assessment Quality Partner (AQP) Compliance Institute.

The specific occupational qualification will be issued by the Quality Council of Trades and Occupations (QCTO).

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