

MOONSTONE

BUSINESS SCHOOL OF EXCELLENCE



OCCUPATIONAL CERTIFICATE: COMPLIANCE OFFICER (NQF 6)

BROCHURE

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240 credits
SAQAID 91671

DESCRIPTION

The Occupational Certificate: Compliance Officer provides the skills and knowledge required to perform compliance services to companies in different industry sectors, enabling these companies to effectively manage their compliance risks and discharge their responsibilities in complying with various regulatory and legislative requirements. The qualification also provides students with the opportunity to prepare a portfolio of evidence demonstrating their practical work experience through working under the supervision of, or in a contractual/apprenticeship agreement with, a Compliance Officer in their work environment for the duration of their studies so that upon successful completion of their studies they will gain access to the External Integrated Summative Assessment (EISA) with the Compliance Institute Southern Africa (CISA).

The qualification is approved by the Financial Sector Conduct Authority as a recognised qualification for Compliance Officers.

WHAT WILL THE QUALIFICATION ENABLE YOU TO DO?

Qualified students will be able to conduct enterprise-wide risk management, apply compliance principles and practices, design and implement various compliance plans and strategies, conduct compliance monitoring, and interact with various industry roleplayers.

Completion of this qualification will enable the student to gain access to the EISA with CISA.

WHO SHOULD APPLY?

- Any current Compliance Officer.
- Any prospective Compliance Officers working under the supervision of, or in a contractual agreement with, an existing Compliance Officer (with five or more years of compliance experience).

ADMISSION REQUIREMENTS

- Matric/Grade 12 or a recognised NQF Level 4 qualification (to meet QCTO FLC requirements, a candidate must have passed English, another official language, and Mathematics or Mathematical Literacy with an E symbol or higher).
- Work under the supervision of, or in a contractual/apprenticeship agreement with, an existing Compliance Officer (a workplace agreement is to be signed between MBSE, the student, and the mentor).

Requirements for successful online learning:

1. Technology:

- Students can access their study material from any device connected to the internet. However, it is highly recommended that an up-to-date laptop or computer is used when completing course assessments.
- Students require stable internet connectivity. Preferably, their device should be plugged into an ethernet cable or be connected to a Wi-Fi device with a strong signal. It is not recommended that students use hotspots on their mobile devices for assessment activities.
- Sufficient data is required to access study material and resources, and to complete online assessments.
- Up-to-date Microsoft Office (Word, Excel, and PowerPoint) and a PDF reader.
- Google Chrome should be used as the internet browser.

2. Time management, self-discipline, and communication skills:

In an online learning programme, the responsibility lies with students to engage actively with their course content, with other students, and with their course lecturer. It is therefore critical for success to:

- Set aside 14 to 28 hours per week to attend to studies.
- Follow the suggested study plan/semester schedule and actively spend the time you have set aside to engage with the learning content and activities.

FEES

The qualification fees are available at <https://www.mbse.ac.za/qualification-fees/>.

Payment is made per cycle. A discount may apply if the full payment is made up-front.

Please contact our office for more information: help@mbse.ac.za

COMPLIANCE INSTITUTE SOUTHERN AFRICA (CISA) FEES

The fee for the External Integrated Summative Assessment (EISA) is not included in the MBSE tuition fees, and is payable directly to CISA at the end of your studies with MBSE. You may contact CISA directly for the fees once you have received your EISA-ready Statement of Results (SOR) from us.

TEXTBOOK FEES

There are two prescribed textbooks:

- The A-Z of Compliance. G Gibson. Juta: latest edition
- The GACP (latest copy from CISA)

Students need to buy the textbooks from the respective suppliers.

All ancillary fees (re-assessments, re-registrations, etc.) are not included and will be quoted separately when/if they become applicable.

IMPORTANT DATES

We have two intakes a year. The application closing dates are communicated on www.mbse.ac.za.

METHOD OF TRAINING

Online learning (access to material and assessment submissions is online).
 Zoom/MS Teams sessions may be held from time-to-time.

LEARNING MATERIAL

Students will have online access to their study material, which will include a study guide, videos, self-assessments, and relevant additional resources.

CONTENT

The qualification consists of the following Knowledge (theoretical), Practical, and Workplace modules:

KM = Knowledge Module

PM = Practical Module

WM = Workplace Module

MODULE CODE	MODULE NAME	CREDITS
CYCLE 1/SEMESTER 1		
CO KM01	Enterprise-wide Risk Management	6
CO KM05	Project Management	3
CO KM06	Generic Management Principles	3
CYCLE 2/SEMESTER 2		
CO KM04	Change Management	6
CO KM02	Compliance Principles	12

CYCLE 3 / SEMESTER 3		
CO KM03	Compliance Practice	30
CO PM02	Define, Maintain, and Advise on the Regulatory Universe	12
CYCLE 4/SEMESTER 4		
CO PM01	Design and Implement Compliance Risk Management Frameworks	9
CO PM03	Develop and 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 Report	12
CO PM06	Interact with Industry Roleplayers	3
WORKPLACE COMPONENT (COMPLETED OVER THE TWO-YEAR DURATION OF THE QUALIFICATION)		
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

ASSESSMENTS

FORMATIVE COMPONENT (MBSE)

As there are no classes to attend, students may progress through each module at their own pace. However, there are specific deadlines for the formative assessments that must be adhered to.

Each Knowledge or Practical Module has a:

- Practical assignment (case study, submitted online); and
- Online assessment (can take various forms).

Some modules (usually the practical modules) will have an online discussion forum in which students must participate.

Workplace Modules will consist of a detailed logbook, requiring the candidate to complete workplace-based tasks. It must be signed-off by the candidate's Compliance Officer (mentor). Specified evidence must accompany the workbook logs.

SUMMATIVE COMPONENT

Once a student has completed all the modules, MBSE will issue a Statement of Results (SoR) that will allow him or her to apply to write the External Integrated Summative Assessment with CISA within two years after the SoR is issued.

HOW TO APPLY

Navigate to www.mbse.ac.za to complete an online application. Please have these documents ready when applying:

- Copy* of your Matric/Grade 12 or NQF level 4 equivalent;
- Copy* of any other qualification you hold;
- Copy* of your ID/Passport; and
- Up-to-date CV (per Department of Employment and Labour standard¹).

*Copies do not have to be certified if they are the original documents. MBSE reserves the right to ask for certified copies.

Copies must be clear and legible, and all text/information must be visible or readable without using special tools. PDF format is preferred.

¹<https://www.gov.za/issues/compiling-curriculum-vitae-0>

ACCREDITATION AND CERTIFICATION

Moonstone Business School of Excellence (Pty) Ltd (MBSE) is an accredited Skills Development Provider of the Quality Council for Trades and Occupations (QCTO) for this qualification, governed by the Revised Occupational Qualifications Sub-Framework Act 67 of 2008. SDP code: SDP1228/16/0040.

MBSE is also a provider endorsed by the Compliance Institute Southern Africa (CISA).

MBSE acknowledges that certification in occupational 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.

MBSE is also a registered Private College under the Continuing Education and Training Act 16 of 2006 (2018/FE07/028).

This qualification is recognised by the Financial Sector Conduct Authority for Category 1 Compliance Officers.

Institutional occupational training

Students are awarded an Occupational Certificate, issued by the QCTO, upon the successful completion of the External Integrated Summative Assessment, which will be set by CISA.