OCCUPATIONAL CERTIFICATE

Compliance Officer

SAQA ID	NQF LEVEL	CREDITS	QUALITY PARTNER
91671	6	240	FASSET

OVERVIEW

This qualification aims to prepare a learner to provide compliance services to assist management to discharge their responsibilities to comply with applicable regulatory requirements.

WHAT YOU WILL BE ABLE TO DO

- Design and implement compliance risk management frameworks.
- Define, assess, maintain and advise on the regulatory universe.
- Develop, facilitate compilation of and review compliance risk management plans.
- Conduct compliance monitoring.
- Compile and submit internal and external compliance reports.
- Interact with industry regulators, supervisors and stakeholders.

MODULES

Knowledge Modules:

- Compliance Officer
- Compliance Principles
- Compliance Practice
- Change Management
- Project Management
- Generic Management Principles

Practical Skill Modules:

- Design and Implement Compliance Risk Management Frameworks
- Define, Maintain and Advise on the Regulatory Universe
- Develop, Facilitate Compilation of and Review Compliance Risk Management Plans
- Conduct Compliance Monitoring
- Compile and submit internal and external compliance reports

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- Interact with Industry Regulators, Supervisors and Stakeholders

Work Experience Modules

- Compliance Risk Management Design and Implementation Processes
- Regulatory Universe Definition and Maintenance Processes.
- Compliance Risk Management Plan Development Processes
- Compliance monitoring Processes
- Compliance Reporting Processes
- Industry Regulator, Supervisor and Stakeholder Interactions

CAREER OPPORTUNITIES

Once qualified, learners would be employed in a variety of compliance functions within large organisations. Alternatively, learners could set up their own independent practices to provide outsourced compliance services to smaller businesses.

ENTRY REQUIREMENTS

A recognised NQF Level 4 qualification granting access to tertiary studies at NQF Level 6.

ASSESSMENT

Integrated Assessment: An assignment will be completed and submitted during the work experience period.

An external integrated summative assessment, conducted through the relevant QCTO Assessment Quality Partner is required for the issuing of this qualification. The external integrated summative assessment will focus on the Exit Level Outcomes and their associated assessment criteria. It will be conducted through a combination of a written assessment and the evaluation of the assignment completed during the work experience component.

The written examination will be conducted at an approved assessment site and marked by registered assessors.

The assignment will be evaluated at the employer's premises by a panel comprising a member of the professional body and the employer.

ACCREDITATION

Type	Accreditation number	Valid until
QCTO SDP	06-QCTO/SDP031025124220	30 Nov 2026

Verify any accreditation and download letters at www.gcc-sd.com/accreditations

Run this qualification as a learnership

Request a proposal: www.gcc-sd.com/request-a-proposal?qualification=compliance-officer-91671