

**STATEMENT OF WORK EXPERIENCE****Skills Development Provider:**

Forensic Academy Africa (Pty) Ltd

**Accreditation Number:**

07-QCTO/SDP151025042452

<b>Qualification Number:</b>	91671
<b>Qualification Title:</b>	Occupational Certificate: Compliance Officer

<b>Learner Details</b>	
<b>Full Name and Surname:</b>	
<b>ID Number:</b>	
<b>Learner Cell Phone #:</b>	

<b>Employer Details</b>	
<b>Name of Institution:</b>	
<b>Postal Address:</b>	
<b>Supervisor Name and Surname:</b>	
<b>Supervisor Position:</b>	
<b>Work Telephone #:</b>	
<b>Work E-Mail:</b>	

**242207000-WM-01, Compliance risk management design and implementation processes, NQF Level 6, Credits 18**

<b>WM-01-WE01</b>	<b>Assist management in the design, development and implementation of compliance frameworks</b>	
<b>Scope Work Experience</b>		
WA0101	Assist management to implement or review compliance structures that will encourage a compliance culture	Tick
WA0102	Design and develop or review and revise compliance policies or charters and manuals	Tick
WA0103	Facilitate approval of a compliance policies or charters and manuals by senior management and governance committees (for example board or audit committee)	Tick
WA0104	Assist in implementing new or revised compliance policies or charters and manuals	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0101	Approved up-to-date compliance policies or charters and manuals	
SE0102	Records indicating implementation of new or revised policies or charters	

<b>WM-01-WE02</b>	<b>Communicate key aspects of the compliance policies or charters and manuals to compliance stakeholders</b>	
<b>Scope Work Experience</b>		
WA0201	Communicate the compliance policies or charters and manuals to staff	Tick
WA0202	Communicate the compliance policies or charters and manuals to management	Tick
WA0203	Communicate the compliance policy or charter and manual to other compliance stakeholders	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0201	Compliance stakeholders sign-off of policies or charters and manuals	

<b>WM-01-WE03</b>	<b>Develop, advise and create awareness of role and responsibility descriptions</b>	
<b>Scope Work Experience</b>		
WA0301	Develop a role and responsibility description for a compliance function	Tick
WA0302	Develop a role and responsibility description for compliance officers	Tick
WA0303	Develop a role and responsibility description for top management and management	Tick
WA0304	Develop a role and responsibility description for staff	Tick
WA0305	Assist management in becoming aware of their responsibilities relating to compliance with regulatory requirements	Tick
WA0306	Assist management in becoming aware of their responsibilities relating to the management of compliance risk	Tick
WA0307	Provide input or advice to other compliance stakeholders in respect of their compliance related roles and responsibilities	Tick

WA0308	Advise management and other compliance stakeholders on the minimum standards to be adopted for purposes of establishing a compliance function	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0301	Documented roles and responsibilities	
SE0302	Communication documents and presentations	

<b>WM-01-WE04</b>	<b>Design and assist with the implementation of a compliance function for the organisation</b>	
<b>Scope Work Experience</b>		
WA0401	Design the structures and processes for an effective compliance function for the organisation	Tick
WA0402	Assist with the implementation of the structures and processes for an effective compliance function	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0401	Implemented compliance functions	

<b>WM-01-WE05</b>	<b>Advise management on compliance frameworks</b>	
<b>Scope Work Experience</b>		
WA0501	Develop or review compliance framework of the organisation	Tick
WA0502	Advise management on implementing and maintaining an appropriate compliance framework which meets the compliance-related objectives of the organisation	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0501	Advice to management in the form of opinions, letters, memoranda, presentations	
SE0502	Compile the organisation's compliance framework	

<b>Contextualised Workplace Knowledge (For Employer Guidance Only – NO submission required)</b>	
1	Organisational values and ethical standards
2	Compliance culture based on the organisation's values and ethical standards, with reference to code of ethics and conduct
3	Documentation formulation and distribution protocols
4	Tracking process
5	Organisation's products and services
6	Applicable regulatory requirements
7	Relevant regulatory framework
8	Guidelines for interacting with regulators and supervisors
9	Guidelines for interacting with stakeholders
10	Organisational risk management methodology and approach
11	Organisational structures
12	Organisational policies and rules

**242207000-WM-02, Regulatory universe definition and maintenance processes, NQF Level 6, Credits 24**

<b>WM-02-WE01</b>	<b>Identify, assess and prioritise the applicable regulatory requirements that the organisation is required to comply with</b>	
<b>Scope Work Experience</b>		
WA0101	Identify and analyse the organisation's regulatory risk universe in accordance with the organisation-approved methodology	Tick
WA0102	Facilitate a workshop with relevant business owners to categorise and assess the applicable regulatory requirements in order to prioritise the risks in terms of high, medium or low	Tick
WA0103	Apply Generally Accepted Compliance Practice when monitoring and advising on the regulatory universe	Tick
WA0104	Research regulatory requirements in relation to own environment, business or organisation	Tick
WA0105	Explain applicable regulatory requirements (to enable management business to determine practical implications)	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0101	Prioritised regulatory universe and compliance risk profile for an organization	
SE0102	Research notes and summaries	

<b>WM-02-WE02</b>	<b>Apply Generally Accepted Compliance Practice in embedding the compliance process in the organisation</b>	
<b>Scope Work Experience</b>		
WA0201	Monitor and review current practices, identify misunderstandings, areas of concern or non-conformance	Tick
WA0202	Develop action plans	Tick
WA0203	Support the implementation of action plans and review progress against the objectives	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0201	Compliance process integrated into the risk management framework of the organisation	
SE0202	Actions plans and progress reports	

<b>WM-02-WE03</b>	<b>Provide compliance advice and services to compliance stakeholders</b>	
<b>Scope Work Experience</b>		
WA0301	Evaluate current compliance practices and identify areas of concern	Tick
WA0302	Participate in the decision-making processes or, e.g. in respect of new product or new business committees	Tick
WA0303	Evaluate proposals and review against compliance criteria	Tick
WA0304	Compile and provide compliance related advice to management in respect of existing and new business	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0301	Compliance advice to management in the form of letters, memoranda and presentations	
SE0302	Minutes of new product or new business committees reflecting compliance related input or advice	

<b>WM-02-WE04</b>	<b>Communicate the regulatory universe and risk profile to relevant stakeholders</b>	
<b>Scope Work Experience</b>		
WA0401	Communicate the implications of the regulatory requirements in a business relevant format and manner to management	Tick
WA0402	Communicate the implications of the regulatory requirements in a business relevant format and manner to staff	Tick
WA0403	Communicate the implications of the regulatory requirements in a business relevant format and manner to other stakeholders	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0401	Regulatory universe communicated to compliance stakeholders across an organisation	

<b>WM-02-WE05</b>	<b>Assist in the design, development and delivery of compliance awareness and training interventions</b>	
<b>Scope Work Experience</b>		
WA0501	Assist management in creating compliance awareness	Tick
WA0502	Assist management in developing compliance training strategy / plans	Tick
WA0503	Deliver compliance-related awareness and training interventions	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0501	A compliance training plan, training records and awareness session training intervention evaluation forms	

<b>Contextualised Workplace Knowledge (For Employer Guidance Only – NO submission required)</b>	
1	Organisational risk management methodology and approach
2	Regulatory requirements applicable to own environment
3	Organisation's products and services to facilitate business relevant compliance solutions
4	Organisational values and ethical standards
5	Management structure of organisation
6	Compliance culture based on the organisation's values and ethical standards, with reference to code of ethics
7	Compliance culture based on the organisation's values and ethical standards, with reference to code of conduct
8	Documentation formulation and distribution protocols
9	Corrective action and tracking process
10	Organisation's products and services
11	Applicable regulatory requirements
12	Relevant regulatory framework
13	Guidelines for interacting with regulators / supervisors
14	Guidelines for interacting with stakeholders
15	Organisational structures
16	Organisational policies and rules

**242207000-WM-03, Compliance risk management plan development processes, NQF Level 6, Credits 24**

<b>WM-03-WE01</b>	<b>Develop compliance risk management plans in accordance with Generally Accepted Compliance Practice</b>	
<b>Scope Work Experience</b>		
WA0101	Develop at least three compliance risk management plans	Tick
WA0102	Conduct risk assessments before taking into account controls (i.e.inherent risk)	Tick
WA0103	Identify existing controls and facilitate assessment of the adequacy and effectiveness thereof in mitigating compliance risk	Tick
WA0104	Facilitate the determination of additional or required controls to mitigate compliance risk	Tick
WA0105	Conduct post control risk assessment (residual risk after taking into account controls)	Tick
WA0106	Where controls are not adequate or effective or where additional controls are required, advise and consult with management on the action required and responsibility for the implementation of controls and agree on target dates	Tick
WA0107	Document the final compliance risk management plan	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0101	Risk management plans	
SE0102	Supporting documents	
SE0103	Communications to management	

<b>WM-03-WE02</b>	<b>Facilitate the implementation of controls documented in risk management plans</b>	
<b>Scope Work Experience</b>		
WA0201	Communicate at least three compliance risk management plans to affected parties	Tick
WA0202	Obtain agreement from the parties on the actions required and due dates	Tick
WA0203	Monitor progress in implementing the plan	Tick
WA0204	Provide support and guidance to the parties where required	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0201	Records of agreements reached, responsible parties and due dates for each action required	
SE0202	Monitoring reports, difficulties encountered and actions taken to resolve these	

<b>WM-03-WE03</b>	<b>Provide input for the prioritisation of the development of compliance risk management plans</b>	
<b>Scope Work Experience</b>		
WA0301	Use the compliance risk profile to prioritise the development of risk management plans	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0301	List of highest risk regulatory requirements prioritized for risk management plan development, as approved by management	

<b>WM-03-WE04</b>	<b>Facilitate and/ or effect the periodic review and update of risk management plans</b>	
<b>Scope Work Experience</b>		
WA0401	Determine the coverage and timeframe for review and updating of risk management plans	Tick
WA0402	Establish whether there are any updates to the regulatory requirements that should be addressed in the risk management plan	Tick
WA0403	Conduct a review of relevant fields in risk management plans	Tick
WA0404	Update or facilitate the update of risk management plans	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0401	Reviewed and updated risk management plans, as accepted by management	

<b>Contextualised Workplace Knowledge (For Employer Guidance Only – NO submission required)</b>	
1	Business focus / specialisation
2	Existing control framework
3	Existing identified risks
4	Specialised business processes
5	Laws rules and standards applicable to won environment
6	Organisational risk management methodology and approach
7	Organisational values and ethical standards
8	Documentation formulation and distribution protocols
9	Organisation's products and services
10	Applicable regulatory requirements
11	Relevant regulatory framework
12	Organisational structures
13	Organisational policies and rules
14	Business roles and responsibilities

<b>WM-04-WE01</b>	<b>Develop a compliance monitoring plan</b>	
<b>Scope Work Experience</b>		
WA0101	Obtain input from compliance stakeholders in preparation for the development of a compliance monitoring plan	Tick
WA0102	Determine the scope and objectives of the monitoring in conjunction with stakeholders	Tick
WA0103	Determine the monitoring coverage	Tick
WA0104	Determine the monitoring frequency and timeline	Tick
WA0105	Allocate compliance monitoring tasks	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0101	Documentation reflecting the determination of or provision of input in respect of a compliance monitoring coverage plan or programme for an organisation, such as specification of the regulatory requirements to be monitored and the frequency or timeline for monitoring interventions	

<b>WM-04-WE02</b>	<b>Present a compliance monitoring plan to management and governance stakeholders for approval</b>	
<b>Scope Work Experience</b>		
WA0201	Develop a presentation and or documentation for presentation of the compliance monitoring plan to management and governance stakeholders	Tick
WA0202	Present a compliance monitoring plan to management and governance stakeholders	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0201	Approved compliance monitoring plan	
SE0202	Minutes of a meeting reflecting approval (for example from a compliance committee meeting or audit committee meeting)	

<b>WM-04-WE03</b>	<b>Implement appropriate monitoring methodologies</b>	
<b>Scope Work Experience</b>		
WA0301	Determine the monitoring methodology to be used	Tick
WA0302	Implement the monitoring methodology in conjunction with stakeholders to assess the adequacy and effectiveness of controls identified	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0301	Compliance monitoring methodology manual or guide	
SE0302	Monitoring working papers	

<b>WM-04-WE04</b>	<b>Monitor compliance with applicable regulatory requirements relevant to the organisation and its products and / or services</b>	
<b>Scope Work Experience</b>		
WA0401	Apply the Generally Accepted Compliance Standards and Principles relating to monitoring	Tick
WA0402	Apply monitoring methods and tools	Tick
WA0403	Test the adequacy and effectiveness of controls	Tick
WA0404	Conduct substantive testing if necessary	Tick
WA0405	Prepare monitoring working papers	Tick
WA0406	Record and evaluate the monitoring findings	Tick
WA0407	Prepare a compliance report that is appropriate for the type of monitoring undertaken and the target audience thereof	Tick
WA0408	Provide recommendations based on the findings as documented in working papers	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0401	Formal compliance monitoring reports submitted to and accepted by management and compliance governance stakeholders	
SE0402	Compliance monitoring working papers	

<b>WM-04-WE05</b>	<b>Define compliance stakeholder roles and responsibilities in business relating to compliance monitoring</b>	
<b>Scope Work Experience</b>		
WA0501	Define and communicate compliance monitoring roles and responsibilities of business stakeholders	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0501	Compliance roles and responsibilities included in management and staff job profiles	
SE0502	Job profile for management and staff reviewed and updated	

<b>WM-04-WE06</b>	<b>Provide compliance monitoring advisory services within the business</b>	
<b>Scope Work Experience</b>		
WA0601	Advise management on compliance monitoring responsibilities and compliance monitoring results	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0601	Provide management with advice in respect of 12 monitoring interventions	

<b>Contextualised Workplace Knowledge (For Employer Guidance Only – NO submission required)</b>	
1	Business focus / specialisation
2	Existing control framework
3	Existing identified risks
4	Specialised business processes
5	Laws rules and standards applicable to won environment
6	Organisational risk management methodology and approach
7	Organisational values and ethical standards
8	Documentation formulation and distribution protocols
9	Organisation's products and services
10	Applicable regulatory requirements
11	Relevant regulatory framework
12	Organisational structures
13	Organisational policies and rules
14	Business roles and responsibilities

**242207000-WM-05, Compliance reporting processes, NQF Level 6, Credits 24**

<b>WM-05-WE01</b>	<b>Develop a compliance monitoring plan</b>	
<b>Scope Work Experience</b>		
WA0101	Determine reporting stakeholders, for example executive committee, audit committee, board	Tick
WA0102	Determine governance requirements relating to compliance reporting	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0101	Lists of reporting stakeholders and governance requirements in relation to compliance reporting	

<b>WM-05-WE02</b>	<b>Determine the compliance reporting requirements to stakeholders and regulators / supervisors in terms of regulatory and/or organisation requirements</b>	
<b>Scope Work Experience</b>		
WA0201	Analyse regulatory requirements relating to reporting to regulators / supervisors	Tick
WA0202	Determine regulatory reporting requirements relevant to the organisation	Tick
WA0203	Determine stakeholders and organisation's reporting requirements	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0201	List of regulatory and other reporting requirements	

<b>WM-05-WE03</b>	<b>Implement and maintain compliance reporting processes</b>	
<b>Scope Work Experience</b>		
WA0301	Allocate responsibility for the submission of reports to designated persons	Tick
WA0302	Collect, collate and analyse input from management and stakeholders within submission deadlines	Tick
WA0303	Keep records of the reports received	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0301	Documented compliance reporting processes	
SE0302	Records of all reports	

<b>WM-05-WE04</b>	<b>Generate reports in the appropriate format</b>	
<b>Scope Work Experience</b>		
WA0401	Develop a reporting plan, including, dates, appropriate formats and submission requirements as required by the relevant policies and procedures	Tick
WA0402	Collect, compile and analyse the information	Tick
WA0403	Compile and submit the required reports	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0401	Compliance reporting plan	
SE0402	Relevant reporting packs	
SE0403	Reports to regulator	

<b>Contextualised Workplace Knowledge (For Employer Guidance Only – NO submission required)</b>	
1	Organisational structures
2	External regulatory structures, reporting requirements and formats of reports
3	Organisation-specific reporting requirements, and related policies and procedures, including dates and reporting cycles
4	Documentation formulation and distribution protocols
5	Record keeping requirements and related policies and procedures

**242207000-WM-06, Industry regulator, supervisor and stakeholder interactions, NQF Level 6, Credits 6**

<b>WM-06-WE01</b>	<b>Develop and implement registers of regulators/supervisors</b>	
<b>Scope Work Experience</b>		
WA0101	Identify regulators applicable to the organisation	Tick
WA0102	Implement and maintain a register of regulators	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0101	Register of regulators and supervisors and the related governance requirements	

<b>WM-06-WE02</b>	<b>Coordinate communication channels / liaison with regulators and supervisors</b>	
<b>Scope Work Experience</b>		
WA0201	Facilitate agreement on responsibilities and roles of internal stakeholders relating to the relationship with regulators and supervisors	Tick
WA0202	Coordinate communication channels and liaison with regulators and supervisors	Tick
WA0203	Monitor communications and communication channels regulators and supervisors	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0201	Record of communication and liaison with regulators and supervisors	

<b>WM-06-WE03</b>	<b>Develop policies and procedures to address the management of the relationship with regulators/ supervisors</b>	
<b>Scope Work Experience</b>		
WA0301	Draft revise regulator / supervisor relationship management policies and procedures	Tick
WA0302	Define the role of the compliance function in managing regulator relationships	Tick
WA0303	Obtain management input and buy-in for the policy and procedures	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0301	Approved regulator / supervisor relationship management policies and procedures	

<b>WM-06-WE04</b>	<b>Implement processes to manage relationships with regulators/ supervisors across jurisdictions</b>	
<b>Scope Work Experience</b>		
WA0401	Facilitate processes to implement the regulator or supervisor relationship management policies and procedures	Tick
WA0402	Monitor the implementation of the regulator or supervisor management policies and procedures	Tick
WA0403	Identify difficulties and challenges in the relationship with the regulator or supervisors	Tick
WA0404	Review and adjust the processes and amend the procedures to ensure that the purpose of the policy is being achieved	Tick
WA0405	Participate in regulator and supervisor working groups	Tick
WA0406	Consistently demonstrate the ability to appropriately implement regulatory requirements	Tick
<b>Supporting Evidence (For Employer Guidance Only – NO submission required)</b>		
SE0401	Correspondence with regulators and supervisors	
SE0402	Records of interactions with internal stakeholders who are implementing the policies and procedures	

<b>Contextualised Workplace Knowledge (For Employer Guidance Only – NO submission required)</b>	
1	Organisation's products and services
2	Relevant regulatory requirements
3	Relevant regulatory framework
4	Relevant regulator or supervisor contacts, contact details and relationship requirements
5	Compliance risk appetite of organisation
6	Organisational regulatory universe
7	Organisation specific documentation formulation and distribution protocols
8	Size of organisation
9	Business type
10	Various business units
11	Business specific stakeholders
12	Organisation approved risk management methodology

<b>Knowledge and Practical Modules</b>	Acknowledging that additional assignments are to be assessed by the Skills Development Provider	Tick
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<b>External Integrated Summative Assessment</b>	Acknowledging that the External Integrated Summative Assessment is to be Externally Assessed at an accredited Assessment Centre, quality assured by the relevant Quality Partner.	Tick
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**We, the Employer and the Learner, declare that the above requirements were met and that they were monitored.**

<b>Declaration by Learner</b>	Date	Learner Signature
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<b>Declaration by Employer</b>	Date	Supervisor Signature
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<b>Office Use Only</b>	Statement of Workplace Experience on file at Skills Development Provider	Thus, done and signed virtually using the last date of the parties above.	 <p>Forensic Academy Africa www.forensicacademy.africa CM: 2012/033010/07 - VAT: 4080179262</p>
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