

MANDELA INSTITUTE

RISK, COMPLIANCE AND GOVERNANCE LAW

Postgraduate Certificate Course

R18 000
INCLUDING VAT

5
DAYS

DAILY
LECTURES
08:30 – 16:30

24 TO 28 MAY
OR
25 TO 29 OCTOBER

UNIVERSITY OF THE
WITWATERSRAND,
JOHANNESBURG



WITS
SCHOOL OF LAW



RISK, COMPLIANCE AND GOVERNANCE LAW

Description	Recent events in the financial sector have re-emphasised the need for heightened efforts aimed at promoting, developing, managing and maintaining risk management controls across all the sector as well as individual institutions' activities. Attaining these objectives necessitates, among other core elements, individuals who have a complete grasp of new and rapidly changing global and local initiatives, processes and procedures that ensure that a financial institution's activities are compliant with legal and regulatory requirements. The Risk, Compliance and Governance Law postgraduate certificate course seeks to reinforce and embed knowledge of how to design, implement and maintain financial institutions' internal and external systems of control. It is aimed at individuals in the banking, pensions, insurance and capital markets who are tasked with promoting the demanding and complex task of fulfilling risk and compliance awareness culture in their organisations. It is also suitable for individuals who would want to acquire an in-depth understanding of relevant laws and regulations and other internal procedures that enhance compliance with good governance.
Outcomes	<p>At the end of the course, the student should be able to:</p> <ul style="list-style-type: none"> • Explain existing regulatory as well as supervisory mechanisms that ensure the creation of a deep, efficient, transparent and accountable financial sector • Demonstrate an effective understanding of the role of the compliance officer/manager in the firm • Identify the elements or characteristics of an effective risk management, compliance and governance framework in the financial institution • Evaluate the risk of internal and external systems of control in their institution • Design, implement and maintain an effective risk, compliance and governance structure.
Content	<p>The course consists of the following modules:</p> <p>Compliance</p> <ul style="list-style-type: none"> • The South African regulatory environment • The international regulatory environment (UK and USA) • The case for compliance – why comply? • The compliance framework • The regulator and its objectives • The role of the compliance function and the compliance officer • The building blocks of an effective compliance programme <p>Corporate Governance</p> <ul style="list-style-type: none"> • The need for good corporate governance • Corporate governance principles • Creating a governance culture • The legislative framework <p>Risk Management</p> <ul style="list-style-type: none"> • An overview of the compliance risk management process • Training and awareness • Business risk vs compliance risk • Loss of reputation – case studies <ul style="list-style-type: none"> • Risk management and good governance <p>Financial Markets</p> <ul style="list-style-type: none"> • Understanding financial markets • Financial sector regulation • Market abuse, market manipulation and insider trading • Case studies (local and international) • Comparative analysis – South Africa, UK and USA <p>Financial Crime</p> <ul style="list-style-type: none"> • Money laundering • Bribery and corruption • Financing terrorism • Data security • Financial sanctions • High risk clients and politically exposed persons • The Financial Action Task Force recommendations • South African legislative framework • UK legislative framework • USA legislative framework.
Assessment	Role plays, research assignment and examination.
Certificate Criteria	<p>The following certificate can be obtained:</p> <ul style="list-style-type: none"> • <i>Certificate of Competence</i>: To obtain a certificate of competence, students are required to attend and participate in 75% of the lectures and to complete the assessments as required in the course. • Please note that a Certificate of Attendance is not available for this course.
Accreditation	This postgraduate certificate course is accredited by the university in accordance with its statutory mandate. It does not lead to a qualification registered on the National Qualifications Framework. No credit may be granted towards the PG Dip in Law or LLM degrees.
Course Dates	This is a block release course where participants attend daily lectures from 08:30 to 16:30 during the period 24 to 28 May 2021 OR 25 to 29 October 2021.
Venue	Chalsty Teaching and Conference Centre, Oliver Schreiner School of Law, University of the Witwatersrand, Johannesburg, West Campus, Wits.
Cost	R18 000 including VAT
Covid-19 Arrangements	Courses will be delivered through online lecturing should lockdown regulations prevent contact classes. Students are required to have basic computer skills and stable internet connection.

Detail	Information
Entry Requirements	<ul style="list-style-type: none"> • A relevant <i>Bachelor of Laws</i> or <i>Bachelor of Commerce in Law</i> or <i>Bachelor of Arts in Law</i> or equivalent qualification is a prerequisite for admission to the postgraduate certificate courses; OR • Applicants with any other undergraduate qualifications must complete the bridging course <i>Introduction to Law for Non-Lawyers</i> or equivalent courses first as well as have relevant legal work experience in the specific legal field before they would be considered for other courses. <p>You will be required to submit a copy of your Bachelors Degree, academic record as well as a copy of your identity document or passport. NB: ONLY applicants with an LLB qualification may apply for credit for MI short courses towards the Postgraduate Diploma or LLM degrees. Kindly note that all foreign qualifications must be submitted with a SAQA Evaluation Letter.</p> <p>Applications for the <i>Labour Dispute Resolution Practice</i> courses and applications based on <i>other undergraduate qualifications and work experience</i> need to include the following documents with the completed application form:</p> <ul style="list-style-type: none"> • A detailed motivation on why the applicant wants to enrol for the courses • A detailed Curriculum Vitae highlighting • Certified copies of Qualifications and Academic Records • Certified copy of Identity Document or Passport.
How to Apply	<ul style="list-style-type: none"> • Complete the Online Application Form on the website. • Kindly ensure that you provide all the correct details on the online application form and should your employer be responsible for the payment please complete the relevant section before submitting, as invoices cannot be amended afterwards for employer details. • Please also submit all supporting documents as stipulated in the entry requirements with application form.
Application Dates	<p>1st Semester courses: 5 September 2020 to 29 January 2021</p> <p>2nd Semester courses: 1 April 2021 to 30 June 2021</p> <p>No late applications will be accepted</p>
Payment of Fees	<ul style="list-style-type: none"> • ALL fees must be paid <u>10 days before</u> the start of the semester course or the start of the block release course. Registration is conditional on payment of full tuition fees. • The tuition fees are the responsibility of the individual attending the course. For sponsored students, the individual need to ensure that the sponsor or sponsor organisation have enough time to process the payment. After the payment has been made, please ensure that the proof of payment is send.
Cancellation of Courses	<ul style="list-style-type: none"> • Cancellation by registrant less than 10 calendar days before the start of the semester/course will result in liability for full payment of the fees. • Cancellation by registrant more than 30 calendar days before commencement of the semester/course will result in an administration fee of 15% of the total course fee. • Cancellation by registrant after commencement of the semester/course will result in liability for the full amount and forfeiture of all fees paid. • The Mandela Institute from the School of Law, University of the Witwatersrand reserves the right to postpone or cancel a course due to lack of demand. • In the event of cancellation, or reasonable postponement time, all fees paid will be refunded to the person/entity that made the original payment. • Cancellation of Registration can only be done on a Cancellation of Registration Form. Please e-mail us on Mandela.Institute@wits.ac.za to request a Cancellation of Registration Form.
Registration and Enquiries	<p>Senteni Nsibande E mandela.institute@wits.ac.za</p> <p>T +27 11 717 8435 w www.wits.ac.za/mandelainstitute/short-courses/</p>