

# Tailor make your Regulatory Training Programme

2020

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## About Us

We are a team of professionals with a passion for training and development. With over 15 years' experience in training, coaching and digital learning we strive to bring you cutting edge training solutions that are engaging, interactive and fun.

Our key focus is to service institutions directly by providing them with access to a wide range of training courses developed by **subject matter experts** for purposes of continuous professional development. These include courses relating to regulatory compliance, financial crime, risk management, financial advisory and soft skills development.

## Our Services

### 01 Regulatory CPD Academy

Our online CPD library provides you with access to a wide range of training material delivered in an e-learning format on a learner management system customized for you. You have access to all courses purchased for a period of 1 year at a **costing structure tailored to your needs**. New courses are added periodically to ensure that you receive ongoing, relevant and interactive learning courses. E-learning courses may include learner workbooks, 2D or 3D explainer videos. All courses include assessments with grading.

### 02 Regulatory Workshops

We host annual regulatory workshops based on trending industry topics. These workshops are ideal for compliance, risk and audit professionals. Our facilitators include local and international regulatory specialists who have a passion for creating engaging and immersive learning environments.

**\*\*Available to corporate institutions, training providers and consulting firms\*\***



## 01. Online Regulatory Courses - 2020

Our regulatory CPD library is ideal for risk, audit and compliance officers looking to enhance their knowledge and technical skills. The courses are delivered **online** can be accessed on various platforms allowing for flexible learning. All courses include assessments with grading. Online courses may include eLearning modules or online learning material and workbooks. Learners will receive a certificate of completion which may be used to earn CPD points at professional bodies.

Our CPD offering may include, at an additional cost, access to an e-Coach who will provide advisory support to learners on the topics selected.

	<b>Regulatory</b>	<b>Description</b>	<b>Theme</b>	<b>Estimated Hours</b>
01	Following the financial flows from human trafficking.	Provides an understanding of human trafficking as an organised crime and the role of financial institutions in detecting illicit financial flows.	AML/CFT	4 hours
02	Financial approach to tackling illegal wildlife trade	Explores the world of illegal wildlife trade and the role of financial institutions in identifying and detecting funds from illegal wildlife trade.	AML/CFT	4 hours
03	Money laundering risks and trends in Banking	Provides learners with an understanding of money laundering risk, trends and typologies specific to Banking and effective strategies for conducting an	AML/CFT	4 hours

		AML/CFT business risk assessment.		
04	Money laundering risks and trends in Investment Management	Provides learners with an understanding of money laundering risk, trends and typologies specific to Investment Management and effective strategies for conducting an AML/CFT business risk assessment.	AML/CFT	4 hours
05	Money laundering risks and trends in the Employee Benefits Sector	Provides learners with an understanding of money laundering risk, trends and typologies specific to Employee Benefits and effective strategies for conducting an AML/CFT business risk assessment.	AML/CFT	4 hours
07	Using the risk-based approach to create a competitive advantage	Learners explore the making a risk-based approach and how it can be used to create a competitive advantage.	AML/CFT	4 hours
08	POPIA: Unpacking the principles and assessing the impact	Provides a comprehensive overview of POPIA and strategies for implementing an effective data protection compliance programme.	Data and Privacy	4 hours
09	Building an effective ABC programme	Provides learners with the tools for building an effective ABC programme for customers and service providers.	Anti-bribery and Corruption	4 hours
10	Strategies for building a cybersecurity compliance programme	Explores the concept of cybersecurity and provides strategies for building an effective compliance programme.	Data and Privacy	4 hours
11	Fraud Management 101	Provides an overview of fraud management and investigation techniques available to compliance officers.	Fraud	4 hours
12	An overview of Collective Investment Schemes	Provides an overview of Collective Investment Schemes and the regulatory environment surrounding it.	Market Conduct	4 hours
13	AML vulnerabilities in cryptocurrencies	Explores the world of cryptocurrencies, the AML vulnerabilities and the regulatory structure surrounding it.	AML/CFT	4 hours

14	<b>Financial Crime: Connecting the dots between AML and Fraud</b>	Explores the concepts of fraud and AML and the interrelatedness between the two concepts.	Fraud	4 hours
15	<b>General Data Protection Rules: Assessing the impact on your organisation</b>	Learners are introduced to the provisions of GDPR, the applicability and impact on their organisations.	Data and Privacy	4 hours
16	<b>The virtual RMCP: Management of AML/CFT risks</b>	Learners explore the components of an effective RMCP and the building blocks for a virtual RMCP.	AML/CFT	4 hours
17	<b>Conducting an AML/CFT risk assessment on prospective and existing clients</b>	Learners are provided with the tools required for developing a customer risk assessment with guidance on applying rules and algorithms to assess risks.	AML/CFT	4 hours
18	<b>Foreign Account Tax Compliance Act (FATCA) – Implications for your business</b>	Explores FATCA requirements and the implications for organisations.	FATCA	4 hours
19	<b>Assessing the AML/CFT risks inherent in investment products</b>	Learners are provided with the tools required for developing a product risk assessment with guidance on applying rules and algorithms to assess risks.	AML/CFT	4 hours
20	<b>Understanding beneficial ownership</b>	Explores the concept of beneficial ownership and provides strategies for implementation.	AML/CFT	4 hours
21	<b>Managing compliance in an ever-changing regulatory landscape</b>	Provides the learner with effective compliance management strategies for an ever-changing regulatory landscape.	General Compliance	4 hours
22	<b>Strategies for building an effective Sanctions Compliance Programme</b>	Learners are introduced to sanctions compliance and the strategies for building an effective sanctions programme.	AML/CFT	4 hours
23	<b>Building an effective compliance framework</b>	Learners are provided with an understanding of the components of a compliance programme and how to build an effective compliance framework.	General Compliance	4 hours

24	The importance of adverse media checks in today's AML environment	Explores the use of adverse media in the identification and management of AML/CFT risks.	AML/CFT	4 hours
25	Understanding the international AML regulatory landscape	Explores the international AML regulatory landscape and policy making bodies.	AML/CFT	4 hours
26	Investments 101 for Compliance Officers	Provides compliance officers with an overview of investment management, understanding fund fact sheets and market conditions.	General	4 hours
27	Banking 101 for Compliance Officers	Provides compliance officers with an understanding of the Banking environment and generic banking products.	General	4 hours
28	Financial planning 101 for Compliance Officers	Provides compliance officers with an understanding of financial planning processes and strategies.	General	4 hours
29	Implementing a risk-based approach in the real-estate sector	Provides practical guidance for building an effective risk-based approach for the real estate sector.	AML/CFT	4 hours
30	Introduction to CoFI	Provides an overview of the regulatory provisions of CoFI and highlights the differences between the current and proposed regulatory framework under CoFI.	AML/CFT	4 hours
31	Expressing a risk appetite qualitatively and quantitatively	Learners will gain knowledge in constructing an AML/CFT quantitative risk appetite using key risk indicators and thresholds.	Risk	4 hours
32	Assessing ML/TF risks in money service businesses	Provides learners with an understanding of money services business, the risks and trends and methods to assess ML/TF risks.	AML/CFT	4 hours
33	Establishing an effective training programme	Learners will gain knowledge in establishing effective training programmes and conducting a training needs analysis.	Training	4 hours
34	Exploring the world of underground banking	Learners are introduced to the concept of underground banking and the risks,	Organised Crime	4 hours

		methods and trends for laundering money.		
35	Project Management 101	Provides the learner with basic project management strategies, tools and techniques for managing regulatory projects.	Project Management	6 hours
36	Regulatory Consulting Techniques and Strategies	Explores regulatory consulting techniques, tools and strategies.	Consulting	4 hours
37	Strategies and techniques for investigating financial crime	Provides learners with the knowledge, skills and strategies for investigating financial crime.	Investigation	4 hours
38	Change Management	Learners are introduced to change management methodology and strategies.	Change Management	4 hours
39	The Combined Assurance Model	Provides an understanding of assurance strategies and methodology and techniques for developing a combined assurance model.	Governance	4 hours
40	Building an effective governance programme	Learners are equipped with the knowledge and strategies for implementing an effective governance frameworks and structures.	Governance	4 hours
41	An integrated governance, risk and compliance framework	Learners are equipped with the knowledge and strategies for implementing an integrated governance, risk and compliance framework.	Governance	4 hours
42	AML considerations for doing business in Africa	Learners are provided with an overview of AML considerations when doing business in Africa and can select between a variety of comparative courses available.	Compliance	4 hours per comparative course
43	National Health Insurance Bill	Provides an overview of the provisions of the National Health Insurance Bill.	Compliance	4 hours

## 02 Regulatory CPD Workshops

Our regulatory workshops are based on latest industry trends and topics, are globally informed and delivered by certified professionals. Workshops incorporate training and advisory techniques and are practical, interactive and engaging.

Toolkits and/or workbooks and certificates of attendance are provided to learners for purposes of earning CPD points at their professional bodies.

A minimum of 15 learners are required per workshop.

Workshops	Description	Duration
FICA 101	Provides an overview of the Financial Intelligence Centres Act and provides strategies for practical implementation.  Ideal for those looking for a solid understanding of the FIC Act.	2 days
Introduction to AML/CFT	Provides a comprehensive overview of the local and international AML regulatory landscape, concepts, techniques and strategies for building an effective AML programme.	2 days
Awareness Workshop: Illicit financial flows: Human Trafficking, Illegal Wildlife Trade and Narcotics	An awareness session on policy coherence in combatting illicit financial flows	1 day
Awareness Workshop: Non-proliferation of weapons of mass destruction	An awareness session on the local and international regulatory framework on weapons of mass destruction.	1 day
Awareness Workshop: Financing of recruitment for terrorist purposes	Provides an overview of common methods of recruitment used by terrorist organisations, terrorist cells and the costs associated with these different methods and techniques of terrorist recruitment.	1 day
Awareness Workshop: Risk Based Approach to the use of digital ID for CDD purposes	Provides an overview of the use of digital ID for CDD purposes, the assessment of service providers and FATF guidance on digital ID's.	1 day
Data privacy for assurance staff	An introductory course on Data Privacy and POPIA requirements.  Provides assurance staff with the knowledge to conduct assurance testing on privacy programmes.	1 day
Money laundering through the gaming sector	Provides a view on money laundering trends and typologies in the gaming sector.	1 day



<b>The regulation of virtual assets (cryptocurrency and blockchain)</b>	<b>Explores the world of cryptocurrencies and blockchain and the FATF recommendations for virtual asset service providers.</b>	<b>1 day</b>
<b>Implementation of FICA regulations for project managers</b>	<b>Designed for project managers, it explores the regulatory provisions of FICA and project management strategies for implementation.</b>	<b>2 days</b>
<b>Financial crime analysis and investigations</b>	<b>Provides learners with the knowledge and technical skills for investigating and compiling intelligence reports.</b>	<b>1 day</b>
<b>Building a risk appetite and risk-based approach (AML/CFT)</b>	<b>Provides learners with the skills required to develop and maintain an AML/CFT risk appetite</b>	<b>1 day</b>
<b>FAIS for compliance officers and key individuals</b>	<b>Provides an in-depth view of FAIS requirements for compliance officers and key individuals.</b>	<b>2 days</b>
<b>Market Conduct</b>	<b>Provides an overview of market conduct and strategies for building an effective market conduct compliance programme. Explores the current and future regulation of pension funds and collective investment schemes.</b>	<b>2 days</b>
<b>NHI</b>	<b>Explores the National Health Insurance Bill</b>	<b>1 day</b>
<b>AML in Africa...</b>	<b>Provides insight into doing business with the rest of Africa – ABC and AML considerations.</b>	<b>2 days</b>
<b>Professional Ethics</b>	<b>Professional Ethics. Maintaining independence and making ethical decisions.</b>	<b>1 day</b>
<b>POPIA and GDPR</b>	<b>A comparative view of POPIA and GDPR and strategies for implementation.</b>	<b>1 day</b>
<b>Anti-bribery and corruption</b>	<b>Explores anti-bribery and corruption and strategies for building an effective ABC programme.</b>	<b>1 day</b>
<b>Market abuse and competition laws</b>	<b>Provides an overview of market abuse and competition laws</b>	<b>1 day</b>
<b>OECD Supplier Due Diligence Requirements</b>	<b>Learners are provided with a solid understanding of OECD supplier chain requirements and guidance on building responsible supply chains.</b>	<b>1 day</b>

<b>Beneficial Ownership</b>	Provides a solid understanding of beneficial ownership requirements, strategies for identifying beneficial ownership and control as well as sanctions beneficial ownership requirements.	1 day
<b>Compliance monitoring workshop</b>	A practical workshop which provides learners with an introduction to monitoring principles and techniques as well as strategies for managing risk and outcomes-based legislation.	2 days
<b>Money laundering through the real estate sector</b>	A workshop designed specifically for learners in the real estate sector. It provides learners with a comprehensive overview of AML/CFT, FICA and ML trends and typologies in the real estate sector.	2 days
<b>Project management for Compliance Officers</b>	An introductory course on project management principles and techniques.	1 day
<b>Risk Management 101</b>	An introductory course on Risk Management concepts, principles and techniques.	2 days
<b>Fraud management 101</b>	A practical workshop on fraud management principles and investigation techniques.	2 days
<b>Understanding Big Data</b>	An introductory course on Big Data which covers areas such as data analysis, artificial intelligence and machine learning in the fight against financial crime.	1 day

### 03. Soft Skills Training Programmes

- Designed specifically for regulatory professionals
- Workshop based
- Includes courses relating to:
  - Power to influence
  - Assessing competencies: Time management, teamwork, leadership and decision making – and plan strategies for better performance.
  - Personal Impact: Define your personal brand
  - Teamwork: A fun activity that encompasses teamwork, planning, strategy and risk analysis

- **Collaboration:** A collaborative teamwork activity which identifies key lessons to improve communication skills in the workplace.
- **Change Management:** An interactive activity where learners will be faced with processes that aren't working. Teams are empowered to change it, then test it and measure the level of improvement.
- **Conflict management training activity**
- **Leadership challenge**
- **Resilience training**

## **04 Advisory Support Solutions**

- **Advisory support on emerging and existing legislation**
- **Conceptual design, development and implementation of regulatory frameworks**
- **Assurance testing, health-checks and compliance monitoring**
- **Project management and business analysis**
- **Drafting of policies, frameworks and operating standards**
- **Conducting regulatory compliance industry research**
- **Remediation of regulatory findings**
- **Benchmarking exercises**
- **Change management**
- **Inspection readiness assessment**
- **Virtual assets compliance consulting**
- **Compliance risk management plans**

## **05 Development Programmes**

- **Coaching and Development programme in Regulatory Compliance and Financial Crime**
- **Ideal for junior to intermediate compliance officers looking for a solid understanding of compliance and financial crime with practical application**
- **Incorporates soft and technical skills**
- **Facilitated by life-coaches and regulatory advisors**

## Coaching and Development Programme for Compliance Officers

This is a 3-month development programme with a compliance mentor and certified coach.

**Part 1:** Learners develop their soft skills by teaming up with a behavioural coach who will work with them to understand their strengths and identify areas for development. Learners can expect to undergo psychometric and NLP assessments and participate in soft skills programmes designed specifically for compliance officers.

**Part 2:** Learners undergo coaching and mentoring for purposes of developing their technical compliance skills. Learners can expect to participate in compliance related workshops and training interventions which are designed to provide learners with a comprehensive overview of compliance management with practical application.

**Next intake: April 2020**



Our panel of professionals are hand-picked based on their expertise, skills, fluency in the subject at hand and coaching abilities.

## **Development Programme in Financial Crime Compliance**

Our financial crime skills development programme is an intensive 5-day practical workshop.

Learners are taken through a comprehensive view on AML/CFT, Anti-bribery, Corruption, Illicit flows and Fraud. The curriculum includes financial crime compliance methodologies, risks, trends and investigation methods. Learners can expect to develop frameworks, complete case studies and interact with industry leaders.

The programme is designed for aspiring financial development crime compliance officers who are looking for a good understanding of financial crime with practical application.

Courses are delivered by Certified Anti-Money Laundering Specialists (ACAMS).

**Next intake: April 2020**





## How does the Regulatory Training Programme Work?

1. View the range of courses on offer.
2. Choose between online courses, regulatory workshops, soft skill and development programmes and advisory solutions. Training courses and workshops will be made available to you for a period of 1 year for up to 50 learners.
3. Submit your list of courses to us. We will prepare a quotation for your consideration.
4. Once all terms and conditions have been accepted, we will allocate a relationship manager to you.
4. Provide a list of learners to be enrolled per course. If required, we will customize an LMS site, enroll the learners and load the courses for you. Gamification and badges can be developed for your LMS site to encourage participation and completion of the training. Full online technical user support provided.
5. Schedule your workshop dates for the year.
6. Competence registers are maintained for each learner and learner registers are provided to you based on your reporting requirements.