



# Compliance Institute Southern Africa Awards

## CRITERIA AND PROCESS

The Compliance Institute Southern Africa once again invites nominations for the Compliance Awards for the third consecutive year. The winners will be announced at a gala dinner to be hosted on 29 August at Vodacom World Events, The Dome in Midrand.

The categories for the Compliance Awards are:

1. Compliance Officer of the Year
2. Innovative Compliance Team of the Year

**NOMINATIONS CLOSE ON 31 MAY 2024.**

### 1. Objective of the Awards

Honours the Compliance Officer (CO) in the compliance profession and recognises outstanding compliance officers and compliance teams from across Southern Africa.

### 2. The Awards

- Winners are announced at the Annual Awards and Graduation ceremony on 29 August 2024.
- A certificate is issued to the winners.
- Publicity coverage and speaking opportunities.
- Appointed as CISA ambassador(s)
- Profiled on the CISA website, social media channels, newsletter, and events.
- Compliance Officer of the Year
  - An invitation to attend the annual conference as a speaker and as the CEO's guest (complimentary)
  - One year's free CISA membership

### 3. Criteria

#### 3.1 Compliance Officer of the Year

- Must ideally be a Chief Compliance Officer, or Head of Compliance, must have been in this position for at least 5 years.
- Must be able to demonstrate compliance competency and have a proven track record.

- Demonstrate innovation, professionalism and commitment to their employers / clients and the profession.
- Knowledge of wider industry and business environment
- Ability to be an ambassador for the compliance profession.

### 3.2 Innovative Compliance Team of the Year

- The work acknowledged must have been completed in the past 18 months and must be ratified by the organisation.
- The award recognises excellent work that is innovative or has achieved great success.
- The award is given to an organisation and not an individual.

## 4. Rules

- Open to all compliance officers and teams
- Nominees' track record and reputation must be well documented and vetted.
- Nominee(s) may nominate themselves provided that the nomination has been ratified and approved.
- Nominee(s) must avail themselves for an interview by the panel of judges, should the judging panel deem an interview necessary.
- Conflicts of interest to be declared.
- Nominees must be available to attend the Awards and Graduation ceremony in person or virtually.
- CISA may call for confidentiality agreements to be signed if and when necessary.
- Winners must consent to being profiled in social media and other channels.
- Any request for additional information to support the nomination must be responded to timeously. Failure to provide additional information when requested may result in the nomination being excluded.

## 5. Nomination process

### 5.1 Compliance Officer of the Year

Nominations by peers / manager / employer

<https://forms.office.com/r/fTqNpkBBvt>

- Describe the nominee's attributes.
- What are the nominee's professional accomplishments?
- What initiatives is the nominee currently working on that will significantly impact the compliance industry / organisation?
- What legacy will the nominee leave for the compliance industry?
- How is the nominee contributing to the industry by knowledge sharing, mentoring, etc?
- Provide an executive summary. This is mandatory.
- Most senior relevant person in the organisation must ratify and approve the nomination.
- Nominee to accept the nomination and T&C's
- Submit nominations by **31 May 2024**.
- Evaluation by panel of judges
- Judges may interview the nominees on various topics and matters of importance to the compliance community, e.g., regulatory changes / developments, technical information, trends, etc.
- Interviews will be held at the Institute or virtually if requested.

## 5.2 Innovative Compliance Team of the Year

Nomination information required: Form link:

<https://forms.office.com/r/GpLLTufHHN>

- What is the initiative being nominated?
- Has the initiative been completed in the last 18 months?
- What has the initiative accomplished?
- How does the initiative fit into the overall strategy to improve compliance in the organisation?
- What are the next steps the organisation would like to take with regards to this initiative, if any?
- What effect has the initiative had on the organisation?
- What effect has the initiative had on the compliance industry?
- Executive summary to be provided. This is mandatory.

## 6. Submission of Nominations

- Nominations must be submitted electronically using the online form provided by the institute or the manual nomination form provided. Nomination forms and supporting documents must be emailed to: [valerie@compliancesa.com](mailto:valerie@compliancesa.com).

- The links for the nomination forms are:

- **Compliance Officer of the Year:**

<https://forms.office.com/r/fTqNpkBBvt>

**Innovative Compliance Team of the Year Award:**

<https://forms.office.com/r/GpLLTufHHN>

- Nominations must be submitted by **31 May 2024**.