

## PRACTICAL

# The Compliance Officer's Survival Guide

RegBridge Africa Advisory | Thought Leadership Series

## The Expanding Mandate

Compliance officers face an increasingly challenging environment: expanding regulatory requirements, limited resources, heightened personal liability, and the constant pressure of examination readiness. This guide offers practical strategies for managing these demands while protecting your professional standing.

## Workload Prioritisation

Effective prioritisation requires distinguishing between:

- **Urgent and Important:** Regulatory deadlines, examination responses, material incidents
- **Important but Not Urgent:** Framework improvements, training, documentation
- **Urgent but Not Important:** Ad-hoc queries, non-critical reporting
- **Neither:** Delegate or defer

Survival Tip: Protect time for "Important but Not Urgent" activities. These prevent future crises but get crowded out by daily demands.

## Stakeholder Management

Build relationships before you need them:

- Cultivate a Board sponsor who understands compliance challenges
- Develop allies in business lines through pragmatic problem-solving
- Maintain regular contact with supervisory relationship managers
- Document support requests and resource constraints formally

## Protecting Your Professional Standing

In an environment of heightened personal liability:

- Document escalations in writing, even after verbal discussions
- Maintain a personal record of resource requests and responses
- Ensure your concerns about material risks are formally recorded
- Know your escalation rights and use them when necessary

## Building Resilience

Sustainable performance requires:

- Setting realistic expectations with leadership
- Building team capacity through training and delegation
- Creating repeatable processes to reduce ad-hoc effort
- Maintaining professional networks for peer support