

Advanced Certificate in Business Compliance

Unit 1: Compliance in Business

- Introduction – Compliance context and terminology
- Compliance origins in the US
- International issues
- Effective compliance

Unit 2: Compliance in Practice

- The history of the compliance function
- Governance, risk and compliance – what is it?
- The importance of culture and conduct
- Corporate governance
- Managing relationships with key functions
- Examples of key internal stakeholders
- Building a control framework

Unit 3: The Role of the Compliance Function

- The role of Compliance
- The objectives of the compliance officer
- The role of the compliance officer
- Responsibilities and skills
- Activities and responsibilities
- Drafting compliance reports
- Communications and training
- Outsourcing of compliance arrangements

Unit 4: Risk Management, Alert Systems and Investigations

- Overview of risk management
- The risk management regime
- Generic operational risk categories
- Alert systems (including hotlines and whistleblowing channels)
- Data collection and management
- The compliance programme's role in detecting fraud
- Response mechanisms
- Process improvements and organisational learning

Unit 5: Compliance Topics, Improvement and Advantage

- Bribery and corruption
- Intellectual property
- Competition and anti-trust regulation in the EU
- Data protection and information security
- Labour law
- Conflicts of interest
- Money laundering
- Fraud
- Sanctions
- Environmental Compliance
- Cybersecurity
- Emerging topics for compliance functions
- Enforcement internationally
- Review, challenge and improve
- Competitive advantage in companies

Appendix:

- Part 1 – Establishing policy and designing a compliance programme
- Part 2 – Building a sustainable compliance monitoring programme