

ICA Advanced Certificate in Business Compliance

Compliance in Business

- Introduction including some definitions
- Historical issues
- International issues/impacts/conventions/contexts
- Laws, regulations and guidance
- Best practices

Compliance in Practice

- The history of the compliance function
- Governance, risk and compliance - what is it?
- Effective compliance and adequate procedures
- Governance best practices
- Stakeholder relationship management
- Building a compliance framework
- The role of the Compliance Function
- History of the Compliance Function
- Pre-requisites for an effective compliance function

The role and objectives of the Compliance Officer

- Duties, responsibilities and behaviours of a compliance officer
- Drafting compliance reports
- Communications and training
- Outsourcing of compliance arrangements

Risk Management

- Overview and regimes
- Categories of risk
- Effective alert systems
- Response mechanisms

Compliance Topics, Improvement and Advantage

- Bribery and corruption
- Intellectual property
- Competition and anti-trust
- Data protection and information security
- Labour laws
- Conflicts of interest
- AML / fraud / sanctions
- Emerging trends and international perspectives
- Review, challenge and improve
- Competitive advantage