

Training Course Goal:

To prepare for performing the duties of a Compliance Officer.

The [Compliance Officer](#) training has been developed in accordance with the best training practices, legal provisions, and compliance practices.

The idea behind the training relates to the [ISO 19600](#) Compliance Management Systems and [ISO 37001](#) Anti-Bribery Management Systems standards.

The training prepares candidates for the role of a Compliance Officer in accordance with legal provisions such as the draft Act on Liability of Collective Entities for Acts Prohibited under Penalty.

A three-day training incorporating elements of case studies workshops, with an exam at the end. Having passed the exam, every trainee receives the Compliance Officer certificate confirming vocational qualifications.

Target Audience:

Compliance Officer candidates in business organisations.

The training is intended for:

- Board members
- Directors of Compliance Departments
- Employees of Compliance Departments
- Employees of Departments for the Prevention of Money Laundering
- Risk Managers
- Risk Specialists
- Compliance Specialists
- Audit Specialists
- Internal Control Specialists
- Finance Specialists
- Investor Relations Specialists
- Business Development Specialists
- Data Security and Protection Specialists
- Personal Data Protection Officers
- Lawyers
- Consultants
- Persons willing to pursue careers in Compliance.

Training Programme:

Time	Topic	Training method
Day one		
9:00-12:30	<p>Start of the training: introduction of the trainer and trainees, collecting the trainees' expectations, presentation of the goals and the programme</p> <p>Compliance certification</p> <p>What do we know about compliance? — knowledge test</p>	<p>Moderated discussion</p> <p>Lectures</p> <p>Case study</p> <p>Practice</p>
	<p>Compliance laws in organisations and their hierarchy:</p> <ul style="list-style-type: none"> - European Union regulations (such as the Regulation No. 596/2014 of the European Parliament and of the Council of 16 April 2014 on market abuse) - International regulations (such as Foreign Corrupt Practices Act (FCPA) and American Anti-Corruption Act) - National regulations, such as Personal Data Protection Act and the Act of 1 March 2018 on counteracting money laundering and terrorist financing - Draft Act on Liability of Collective Entities for Acts Prohibited under Penalty - Professional codes of conduct as a source of obligations in the field of compliance - Global practices in compliance 	
	<p>Act on Liability of Collective Entities for Acts Prohibited under Penalty (project)</p> <ul style="list-style-type: none"> - Whom it concerns - Obligations - Verification of business partners - Risks - Penalties - Whistleblowing — policy and methods of reporting non-compliance, compliance investigation procedure, - The policies of handling irregularity reports - Protection programmes for persons intending to report irregularities internally — Corporate Whistleblowers 	

	<ul style="list-style-type: none"> - Verification of a corporate whistleblower's report by a Compliance Officer 	
12:30-13:15	Lunch break	
13:15-16:00	<p>Compliance in organisations:</p> <ul style="list-style-type: none"> - Definition and rules of compliance - Business ethics and corporate governance - Place and significance of compliance in organisations - Compliance functions - Independence of the compliance function - Compliance management system - Compliance structure and Three Lines of Defense — cooperation with an audit, internal control, and a legal department - Competences and skills in compliance — employees training requirement - Provision of trainings for employees - Differences between the compliance function and the role of an internal audit - Sustenance of compliance in organisations — ISO 19600 and ISO 37001 management systems 	
	Summary of the first day of training	
Day two		
9:00-12:30	<p>Recap of the first day of training</p> <p>The role of a Compliance Officer:</p> <ul style="list-style-type: none"> - The place and importance of a Compliance Officer in an organisation - Responsibilities of a Compliance Officer - Tasks of a Compliance Officer - Review of internal policies - Establishing compliance programmes, depending on an industry and the type of business - Identifying compliance risks - Tailoring a compliance management system to the needs of an enterprise - Ensuring the efficiency of the compliance management system and its constant optimisation <p>Work methodology of a Compliance Officer:</p> <ul style="list-style-type: none"> - Conflict situations and resolution strategies - Handling sensitive issues - Psychology in the job of a Compliance Officer - Ethics and conduct - Mode of cooperation with supervisory authorities 	<p>Moderated discussion</p> <p>Lectures</p> <p>Case study</p> <p>Practice</p>
12:30-13:15	Lunch break	

<p>13:15-16:00</p>	<p>Non-compliance risk management — implementation and execution:</p> <ul style="list-style-type: none"> - Internal policies and procedures - Compliance department programme - Codes of ethics - Identification, measurement, and assessment of compliance risk - Preventive measures of the compliance function - Risk monitoring, testing, and mapping - Relations with regulators and internal departments - Recovery plans and the map of infringements - Map of processes - Regulations mapping - Corporate structure mapping - Compliance Management System in accordance with the ISO 19600 standard <p>Summary of the second day of training</p>	
<p>Day three</p>		
<p>9:00-12:30</p>	<p>Recap of the first day of training</p> <p>Act of 1 March 2018 on counteracting money laundering and terrorist financing:</p> <ul style="list-style-type: none"> - Whom it concerns - Obligations - Verification of business partners - Risks - Penalties <p>Compliance management system in the field of corruption prevention:</p> <ul style="list-style-type: none"> - Constructing and improving internal compliance management systems in the field of corruption prevention in accordance with international corruption risk management standards, such as ISO 37001:2016 Anti-bribery Management System. - Practical aspects of counteracting corruption and conflicts of interests - Identifying corruption risk in business - Corruption risk management. Audit of the proper operation of an anti-corruption system - Procedure of the verification of business partners - Procedure for the inspection of law enforcement agencies - Internal policies for donations, sponsoring, giving and receiving gifts - Ethical principles, procedures for the counteracting and prevention of corruption and conflicts of interest 	<p>Moderated discussion</p> <p>Lectures</p> <p>Case study</p> <p>Practice</p> <p>Moderated discussion</p> <p>Surveys</p>

12:30- 13:15	Lunch break	
13:15- 15:00	Consultations Exam End of the training: summary of the trainees' expectations, filling out evaluation surveys	

The organiser has the right to make changes to the programme, arising from possible modifications in certification terms and conditions, and from the need to adjust the programme to the trainees' current needs.

Training Course Objectives:

Upon completion of the training, participants will:

- know and understand relevant terms and definitions related to compliance
- know and understand the responsibilities and tasks of a Compliance Officer
- be able to independently perform the function of a Compliance Officer
- know the field of cooperation between the compliance function and other control functions in an organisation
- be able to independently develop policies and internal compliance procedures
- be able to independently design certain elements of the compliance risk management system
- be able to implement compliance risk identification
- be able to encourage the employees and owners to follow the compliance rules within the organisation
- be able to prepare the organisation for an audit, and to draft and assess compliance risks
- know ethical principles, procedures for counteracting and preventing corruption and conflicts of interest
- be aware of the means of improving the compliance corporate management system.

DEKRA Certificate:

Upon successful completion of the test, participants will be awarded the Compliance Officer certificate by DEKRA Polska – a global DEKRA company.