

# **Corporate Compliance**

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### **Overview**

This intensive five-day corporate compliance training empowers professionals to build, implement, and sustain ethical, transparent, and compliant business practices. Through practical modules aligned with ISO 37001 and ISO 19011 standards, participants will master key areas—from anti-bribery controls and auditing techniques to data protection and inclusive governance—enhancing their ability to create a culture of integrity and accountability across the organization.

### **Summary**

By the end of this program, participants will understand the full spectrum of compliance management—ethics, anti-bribery, audit, and governance frameworks—through real-world case studies, interactive workshops, and simulations. They will gain the tools to identify risks, manage investigations, and improve corporate policies in alignment with global standards. This training ensures readiness to uphold compliance excellence and embed ethical conduct as a core business value.

### **Day 1: Compliance Foundations & Culture**

#### **Module 1.1: Introduction to Corporate Compliance (2 hrs)**

- Definition, scope, and business case for compliance
- Overview of international regulations and standards
- Key elements of an effective compliance program

#### **Module 1.2: Code of Ethics and Organizational Values (2 hrs)**

- SCO Code of Ethics and real-world scenarios
- Promoting integrity and ethical decision-making

#### **Module 1.3: Policies, Reporting, and Whistleblower Protections (2 hrs)**

- Reporting mechanisms (e.g., hotline, supervisor, anonymous channels)
- Protections against retaliation for reporting
- Case studies and role-play

#### **Module 1.4: Compliance Oversight & Governance (2 hrs)**

- Roles: Compliance Officer, Committees, Board oversight
- Auditing and monitoring structures

### **Day 2: Anti-Bribery, Gifts & Hospitality (ISO 37001)**

#### **Module 2.1: Bribery and Corruption Risks (2 hrs)**

- Understanding bribery and corruption
- Legal/regulatory frameworks (FCPA, UK Bribery Act, ISO 37001 overview)
- Risk assessment and context

#### **Module 2.2: Anti-Bribery Management System (ISO 37001) – Requirements (2 hrs)**

- Structure and objectives of ISO 37001
- Core requirements: policy, risk assessment, training, controls

#### **Module 2.3: Gifts, Entertainment, and Hospitality (2 hrs)**

- Policy on gifts and hospitality (monetary thresholds, reporting, approval)
- Examples and gray areas
- Case studies: conflicts of interest and improper influence

#### **Module 2.4: Consequences of Non-Compliance (2 hrs)**

- Disciplinary actions, government investigations, False Claims Act
- Real-life enforcement and whistleblower stories

### **Day 3: Audits, Investigations, and Corrective Action (ISO 19011)**

#### **Module 3.1: Audit Principles & Types (2 hrs)**

- Internal, external, regulatory audits

- Lifecycle/phases of an audit (planning, execution, reporting)

### **Module 3.2: ISO 19011 Auditing Guidelines (2 hrs)**

- Audit program management
- Audit criteria, scope, methods, and risk-based planning

### **Module 3.3: Conducting Effective Compliance Audits (2 hrs)**

- Gathering evidence, interviewing, sampling
- Objectivity, confidentiality, and reporting

### **Module 3.4: Investigations and Corrective Actions (2 hrs)**

- Procedures for internal investigations
- Root cause analysis and CAPAs (Corrective and Preventive Actions)
- Coordinating with regulatory bodies

## **Day 4: Industry Regulations, Data Protection, and Diversity**

### **Module 4.1: Healthcare/Financial Regulatory Landscape (2 hrs)**

- Sector-specific laws, e.g., Medicaid, HIPAA (for healthcare) or local equivalents
- False Claims Act and fraud avoidance

### **Module 4.2: Data Protection and Privacy (2 hrs)**

- Global privacy laws and best practices (GDPR, HIPAA)
- Confidentiality standards for records
- Handling sensitive information

### **Module 4.3: Diversity, Equity, and Inclusion in Compliance (2 hrs)**

- Equal opportunity, non-discrimination, harassment prevention
- Building a respectful and compliant workplace

### **Module 4.4: Compliance in Procurement and Vendor Relationships (2 hrs)**

- Anti-kickback policies, conflict of interest disclosures
- Supplier due diligence

## **Day 5: Interactive Scenarios, Refresher, and Program Enhancement**

### **Module 5.1: Real-World Case Studies and Group Activities (2 hrs)**

- Application through role-play, simulations, and team discussions
- Recognizing and resolving ethical dilemmas

### **Module 5.2: Scenario-Based Compliance Challenges (2 hrs)**

- Small group workshops and compliance decision-making simulations

### **Module 5.3: Review, Knowledge Check, and Q&A (2 hrs)**

- Comprehensive quiz, review of key concepts, open Q&A

### **Module 5.4: Compliance Program Improvement and Feedback (2 hrs)**

- Collecting feedback
- Continuous improvement strategies
- Management's role and ongoing education plan