



Legal and Compliance Management Course



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Introduction:

Today, organizations face many risks that can jeopardize their business strategies, status, and, eventually, their bottom line. Legal, licensing, and compliance best practices prevent problems, confirm that organizations abide by the laws, and positively impact a business's ethical program.

This Legal and Compliance Management course will discuss why compliance is essential, particularly in highly regulated industries, to avert fines and prevent reputational and commercial problems. This course will also examine real-world examples of compliance failures and encourage students to develop proactive measures to avoid similar situations.

The Certificate in Legal and Compliance Management program will introduce participants to the essential elements of effective legal, licensing, and compliance management by exploring the concepts, considerations, and strategies for managing this function. The program's insights apply to a wide range of organizations, from private companies to non-profits.

This Legal and Compliance Management course will explore the intricacies of becoming an adequate legal and compliance manager, delve into legal compliance and risk management strategies, and understand the importance of managing ethics and legal compliance.

The Legal and Compliance Management course will equip participants with the necessary skills to operate as compliance and legal managers and implement legal compliance management solutions within their organizations. Each section has been meticulously designed to cover various aspects of the legal compliance management system and legal compliance risk management.

Targeted Groups:

- Legal personnel.
- Compliance personnel.
- Individuals involved in regulatory decisions.
- Employees managing or supervising legal, licensing, and compliance teams.
- Employees newly involved or aiming for legal, licensing, and compliance responsibilities.
- Regulatory Authorities or Compliance Committees Workforce.
- Anyone seeks to understand regulatory, legal, licensing, and compliance principles and how businesses conform to them.

Course Objectives:

At the end of this legal and compliance management course, the participants will be able to:

- Explain factors that drive the need for legal, licensing, and compliance laws and understand the consequences of breaching these laws in a highly legalized world.
- Prevent their company from issues due to improper legal, licensing, and compliance management.
- Create strategies for implementing legal, licensing, and compliance management policies, including tools, technologies, and training to build an effective compliance program.
- Develop a thorough risk profile for the organization.
- Customize a detailed legal, licensing, and compliance program to address the organization's risk.
- Develop implementation strategies introducing technologies, policies, monitoring, and training for an effective privacy compliance program.
- Describe factors necessitating anti-corruption laws and understand the implications of business in a highly regulated world.

Targeted Competencies:

By the end of this legal and compliance management course, the target competencies will be able to:

- Intro to Compliance.
- Importance of Compliance.
- Compliance and Risk Management.
- Developments in the Field of Compliance.
- Build a Strong Compliance Culture.
- Psychology of Compliance.
- Encourage Compliance.
- Deal with Non-Compliance.
- Privacy: History of Legal Issues.
- Security and Breach Notification.
- Various Regulatory Systems.

Course Content:

Unit 1: COMPLIANCE & RISK:

- Define risk and risk mitigation.
- Differences between risks and issues.
- Know the relationship between compliance and risk management.
- Alternative risk management forms.
- Understand the importance of compliance and risk management.
- Explore risk analysis and risk tolerance.
- Outsource risk and compliance.
- Use insurance to manage risk.
- Compliance seriousness by enforcement agencies.
- Institutional vs. specific compliance areas.
- The growing profession of compliance.

Unit 2: BUILDING A STRONG COMPLIANCE CULTURE:

- Know the best practices for a robust compliance structure.
- Origins of compliance law.
- Understand the goals of compliance culture within an organization.
- Explore the role of the compliance officer or responsible person.
- Ensure independence, empowerment, and resources.

Unit 3: THE PSYCHOLOGY OF COMPLIANCE:

- Compliance involves more than you think.
- Why do people do bad things?
- Psychological Aberration or Deviation Theory.
- Privileged or Entitled Theory.
- Stress and Pressure Theory.
- Excessive Greed or Excessive Ambition Theory.
- Cost-Benefit / Risk Reward Theory.
- Lack of Recognition Theory.
- Lack of Self-Control Theory.
- No Harm Theory.

Unit 4: HOW TO GET PEOPLE TO BE COMPLIANT:

- The Nudge Theory.
- Punishment / Scare Them Theory.
- Rules / CYA Theory.
- Ubiquity Theory.
- Reward Me Theory.
- Quid Pro Quo Theory.
- Bureaucratic Theory.
- Slippery Slope / Broken Windows Theory.
- Target Theory.
- "One Size Doesn't Fit All" Theory.

Unit 5: DEALING WITH NON-COMPLIANCE:

- Deal with non-compliance.
- Senior response team.
- Understand reports and other communication.
- Enforce discipline.
- Lessons learned / root cause analysis.
- Table-top exercises.

Unit 6: PRIVACY: HISTORY OF LEGAL ISSUES:

- Explore legal issues, landscape, and chronology.
- Historical and legal context.
- Fair information principles.
- Know the statutory landscape in the U.S.

Unit 7: SECURITY & BREACH NOTIFICATION

- Introduction to Security.
- Establish requirements in a rapidly changing environment.
- Force a process rather than an outcome.
- Breach notification, regulating by consequence.
- Compliance observations in information security.

Unit 8: OTHER WAYS THAT PRIVACY IS REGULATED

- Other privacy laws: FTC regulation.
- Understand the FTC, privacy, and compliance.
- International rules and regulations.
- The GDPR.

Unit 9: ETHICAL CONSIDERATIONS IN COMPLIANCE:

- Understand the role of ethics in compliance management.
- Explore ethical decision-making frameworks.
- Study conflicts of interest in compliance management.
- Recognize the importance of ethical leadership in compliance.
- Learn how to build an ethical compliance program.

Unit 10: COMPLIANCE AUDITING AND MONITORING:

- Learn the importance of auditing in compliance management.
- Understand the different types of compliance audits.
- Study how to monitor compliance effectively.
- Understand the role of internal and external auditors.
- Explore techniques for reporting and managing audit findings.
- Learn how to conduct regular compliance checks and evaluations.