

# DIPLOMA CENTRE

## Diploma in Compliance and Risk Management



### MODULE 1:

#### introduction to the principles & Practices of regulations in Ireland

##### SESSION 1

##### TIME

##### DELIVERY

Wednesday 16 February 2022

6:00pm – 8:30pm

Onsite & Online

- 1 **Course Introduction:** A general review of the overall context of the course; the background to the offering and the course aims, objectives and learning outcomes  
*Patricia Harvey BL, Course Leader*
- 2 **Regulatory Practices in Ireland:** Why is there a need for regulation? The necessity and the effectiveness of regulation in Ireland.

**Introduction to the Role of the EU in regulation:** European Regulatory Framework.

3 **2.5 hrs. Gen. CPD**

##### SESSION 2

##### TIME

##### DELIVERY

Wednesday 23 February 2022

6:00pm – 8:30pm

Onsite & Online

- 1 **The European Institutions:** The role and the functions of the European Central Bank.
- 2 **The European Securities and Markets Authority:** The role of the ESMA in providing stability and safeguarding the European Union's financial system.  
**2.5 hrs. Gen. CPD**

### MODULE 2:

#### THE LEGAL FOUNDATIONS OF COMPLIANCE

##### SESSION 3

##### TIME

##### DELIVERY

2 March 2022

6.00pm- 8.30pm

Onsite/Online

- 1 **Introduction and outline of Applicable Legislation The Central Bank and Financial Regulation:** The role of Central Bank; legislative framework; European legislation; cross-border supervision; regulation of financial entities; codes and guidance; litigation; Central Bank Reform Act 2010.
- 2 **Introduction to the Companies Act 2014, Data Protection Law – Consumer Protection Law:** An overview will be provided of some of the applicable legislation as it applies to regulated financial providers.  
**2.5 hrs. Gen. CPD**

##### SESSION 4

##### TIME

##### DELIVERY

Wednesday 09 March 2022

6:00pm – release

Online Release

- 1 **Overview of Data Protection:** Overview of recent developments in data protection including the GDPR; overview of future developments.
- 2 **Overview of the new Regulation:** Background, scope, the key changes that will be implemented, key definitions.
- 3 **Rights of the data subject:** Lawful and fair processing, consent, data security, rights of the data subjects.
- 4 **Compliance and enforcement:** Compliance with the new Regulation, outsourcing, personal data breaches, record keeping and enforcement  
**5 hrs. Gen. CPD**

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SESSION 5		TIME	DELIVERY
Saturday 19 March 2022		10:00am – 1.00pm	Onsite/Online
1	<b>Workshop 1:</b> Workshop on the enforcement Powers of the Central Bank practical scenarios and case study's <i>Rose-Marie Kennedy, Director at Deloitte</i> 1 1/2 hrs. Gen. CPD 2 hrs. M&PD CPD		

SESSION 6		TIME	DELIVERY
Wednesday 23 March 2022		6.00pm -8.30pm	Onsite/Online
1	<b>Workshop 2:</b> Case studies law in relation to risk and compliance management failures. <i>Risk Management Failures</i> 3 hrs Gen. CPD 2 hrs. M&PD CPD		

### MODULE 3:

### THE ROLE OF THE COMPLIANCE OFFICER

SESSION 7		TIME	DELIVERY
Wednesday 30 March 2022		6:00pm – 8.30pm	Onsite/Online
1	<b>The Role of Compliance and Compliance officer:</b> Responsibilities for Compliance the function of compliance within an organisation the general scope of compliance.		
2	<b>Role and responsibilities of a compliance officer:</b> in depth look at the roles and responsibilities of a compliance officer		
3	<b>The difference between risk management and compliance function</b>		
3 hrs. Gen. CPD			

### MODULE 4: REGULATORY COMPLIANCE

SESSION 8		TIME	DELIVERY
Wednesday 06 April 2022		6:00pm – Release	Online Release
1	<b>Compliance Monitoring and the importance of ethics within the compliance function</b>		
2	<b>Evolving Compliance Landscape</b>		
2.5 hrs. Gen. CPD			

SESSION 9		TIME	DELIVERY
Wednesday 20 April 2022		6:00pm – 8.30pm	Onsite/Online
1	<b>The role of the compliance officer in banking, credit unions, pensions and investment institutions</b>		
2	<b>Reporting requirements</b>		
2.5 hrs. Gen. CPD			

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### MODULE 5:

#### INTRODUCTION TO RISK MANAGEMENT

	SESSION 10	TIME	DELIVERY
	Wednesday 27 April 2022	6:00pm – 8.30pm	Onsite/Online
1	Introduction to Risk and the Risk Function		
2	Where Risk sits with in an organization and the relevant legislation		
3	The Role of the Chief Risk Officer (CRO)		
4	The Role of Culture in Regulated Entities – Online Release		
	2.5 hrs. Gen. CPD		

#### ENTERPRISE RISK MANAGEMENT

	SESSION 11	TIME	DELIVERY
	Thursday 28 April 2022	6:00pm – 8.30pm	Onsite/Online
1	Embedding the Risk Management Process – COSO Framework		
2	Risk identification , Risk assessment , Risk Treatment Reporting and Management		
3	Business Continuity Planning (BCP)		
	2.5 hrs. Gen. CPD		

#### ENTERPRISE RISK MANAGEMENT

	SESSION 12	TIME	DELIVERY
	Wednesday 04 May 2022	6:00pm – 8.30pm	Online Release
1	Solvency II Framework		
	2.5 hrs. Gen. CPD		

#### ENTERPRISE RISK MANAGEMENT

	SESSION 13	TIME	DELIVERY
	Saturday 07 May 2022	10:00am – 1.00pm	Onsite
1	<b>Workshop 3:</b> Preparation Workshop for Assignment questions and answers panel session with experts		
	3 hrs Gen. CPD 2 hrs. M&PD CPD		

### MODULE 6:

#### ANTI-MONEY LAUNDERING

	SESSION 14	TIME	DELIVERY
	Wednesday 11 May 2022	6:00pm – Release	Onsite/Online
1	Introduction and Overview legislative requirements for AML and Combating the Financing of Terrorism		
2	The requirements in relation to the obligations for reporting suspicious transactions, record-keeping and training. Legislative and EU changes to AML		

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- 3 **Statutory enforcements - Criminal sections**  
2.5 hrs. Gen. CPD

### MODULE 7:

### CORPORATE GOVERNANCE & REGULATION

SESSION 15	TIME	DELIVERY
Wednesday 18 May 2022	10:00am – Release	Online

- 1 **Overview of the Corporate Governance framework:** Corporate Governance & the role of Directors  
The legislative and regulatory sources of Corporate Governance – Companies Act 2014
- 2 **Corporate Governance and Best Practice**
- 3 **Central Bank codes and the ODCE**  
2.5 hrs. Gen. CPD

**ASSIGNMENT DATE: 20 June 2022**

**Please note that topics & dates may be subject to change.**

\* Gen = General, M&PD = Management and Professional Development, Reg = Regulatory and eLearning = eLearning CPD credits. **CPD Note:** The number of hours of CPD that you may claim in relation to your diploma/certificate course will depend on the way in which you access each of the individual sessions. For further information please visit the course homepage on our website: [www.lawsociety.ie/diplomacentre](http://www.lawsociety.ie/diplomacentre)