



# DIPLOMA IN COMPLIANCE AND RISK MANAGEMENT

**START DATE** Wednesday 16 February 2022

## DELIVERY METHOD

Blended learning: Wednesdays 6pm to 9pm, with workshops on occasional Saturdays. Also available to view on demand.

## ASSESSMENT

2,500-word written assignment (80%) and continuous assessment (20%)

**FEE:** €2,600

## PROGRAMME OVERVIEW

The Diploma in Compliance and Risk Management begins with an introduction to regulation from both an Irish and European perspective and provides an understanding of the role of compliance within an organisation, before discussing the effect of the relevant regulation and the role of the various regulatory bodies on the operation of the compliance function within an organisation.

This diploma will develop and reinforce skillsets allowing professionals wishing to work in the area to meet the required standards. Furthermore it will enhance skills, judgement and the ability to deal with practical issues in the management and practice of compliance or risk in any organisation.

## PROGRAMME OBJECTIVES

On successful completion of this course, participants will be able to:

- Explain and understand the principles of regulation from both an Irish and European perspective,
- Understand the role of compliance within an organisation,
- Critically evaluate the importance of ethics and their role in the compliance function,
- Analyse the relationship between risk management and compliance function,
- Explain and understand the legislative requirements in relation to AML/CTF, compliance and risk,

- Critically evaluate the requirements in relation to reporting suspicious transactions, record-keeping, training and corporate governance,
- Understand civil and criminal liability for breach of obligations and corporate compliance defence
- Review current case law on risk and compliance management

## PROGRAMME STRUCTURE AND APPROACH TO LEARNING

The programme is based on the following module scheme:

**Module 1:** Introduction to the principles and practices of regulation in Ireland

**Module 2:** The legal foundations of compliance

**Module 3:** Regulatory compliance

**Module 4:** The role of the Compliance Officer

**Module 5:** Introduction to risk management/enterprise risk management

**Module 6:** Anti-money laundering

**Module 7:** Corporate governance & regulation

## WHO SHOULD ATTEND?

This course is suitable for solicitors, trainees, and barristers. In addition, applications are also invited from other suitably qualified professionals with an interest in compliance and risk in the financial services industry and/or other organisations. These applications should be accompanied by a cover letter and a brief CV to explain your interest and set out relevant experience. Such applications are subject to a supplemental fee of €300.

## HOW TO APPLY

An application form can be downloaded from our website. For any queries, contact [diplomateam@lawsociety.ie](mailto:diplomateam@lawsociety.ie).

## FACULTY

Lecturers will be drawn from solicitors, barristers, accountants, actuaries, compliance officers, risk management officers and others with experience and expertise in the areas of compliance and risk.