

# INTERNATIONAL DIPLOMA IN COMPLIANCE AND CONTROL MANAGEMENT

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CALENDAR

2024

The calendar is subject to change in view of the availability of speakers and the pandemic situation.

**Module 0.**  
**Corporate governance and  
public affairs**

# 15TH APRIL, 2024

## 4:00 - 5:20pm Introduction to Corporate Governance

Definition and importance of corporate governance  
Link between corporate governance and economic growth  
Impact of poor governance on society and economic growth  
Role of public governance in shaping corporate behavior  
Interplay between public and private governance  
Access to domestic and international capital markets  
Influence of reputation and governance on investment decisions  
Importance of long-term patient capital  
Principal-agent theory  
Protection of rights for minority shareholders

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

## 5:30 - 6:50pm

### Principles and challenges

International principles OECD and BIS  
Adapting governance systems to local corporate structures  
Role of boards of directors in ensuring accountability  
Balancing interests of shareholders and other stakeholders  
Lack of institutions and human resources  
Evolving challenges and opportunities  
Implications of technology and sustainability

*Keli de Araujo Rocha*  
*University Lecturer, Professor and Researcher*

**7:00 - 8:20pm    Reputation dynamics**

Understanding reputation dynamics, risks and challenges and the impact of reputation on organizational success  
Strategies for surviving and thriving after reputation-damaging actions or revelations  
Rebuilding trust and credibility  
Different reputational dimensions to assess the impact of reputation  
Leveraging positive reputational aspects to offset negative ones  
Integration reputation into long-term decision-making  
Operationalizing reputation in day-to-day business activities  
Aligning reputation with organizational goals and values  
Roles and responsibilities in reputation management  
Best practices in board-level reputation oversight and engagement  
Ethical considerations and corporate social responsibility  
Link between reputation, business performance, and value creation  
Evaluating the impact of reputation on key stakeholders  
Role of purpose in enhancing reputation and stakeholder relationships  
Embedding purpose in board-level decision-making processes

*Gail Wessels, Director: Governance, Risk, Compliance and Internal Audit Hotelbeds, Professor ICA*

# 17TH APRIL, 2024

**4:00 - 5:20pm   Internal documentation**

Definition and importance of company charters

Role of charters in establishing companies and determining structure and purpose. Fundamental principles of corporate governance embedded in charters. Shareholder rights and equitable treatment. Distribution of authority between governing bodies. Disclosure and transparency requirements for company activities. Overview of internal regulations in companies.

Compulsory internal regulations for specific company types (e.g., financial regulations)

Role of internal regulations in maintaining integrity and regulating business affairs. Purpose and benefits of adopting a company-level corporate governance code

Detailed procedures for governing bodies outlined in corporate governance codes. Developing a code of ethics to guide conduct towards stakeholders. Procedures for amending charters to reflect changes in company provisions

Authority responsible for charter amendments: General Meeting of Shareholders (GMS). Reporting and approval requirements for charter amendments. Analyzing the effects of charter amendments on shareholders' rights and obligations. Legal requirements for registering charter amendments

*Dr. Iur. Roger Fankhauser*

*General Counsel | Group Corporate Secretary | Member of the  
Extended Executive Committee*

# 17TH APRIL, 2024

## 5:30 - 6:50pm **Models of Corporate Governance**

Dispersed control vs. concentrated ownership structures  
Comparative analysis of governance models  
Role of laws, regulations, and market mechanisms  
Impact of legal framework on corporate behavior  
Global market pressures and harmonization  
Emerging uniform standards and principles

*M<sup>a</sup> Isabel Martinez Torre-Enciso, Prof Corporate Economy UAM,  
Board member*

## 7:00 - 8:20pm **Case study**

Cases:

- Valeant Pharmaceuticals drug price scandal
- Kobe Steel quality falsification scandal
- Uber sexual harassment

*Hernan Huwyler - Head of Group Risk and Control at Milestone  
Systems (Canon Inc)*

# 22ND APRIL, 2024

**4:00 - 5:20pm Structuring Corporate Governance (I - Board Structure and Responsibility)**

Impact of corporate governance on organizational performance. Link between effective governance and shareholder value creation. Establishing a Board of Directors: when and why a Board of Directors is necessary

Determining the number of directors and their qualifications.

Exploring different categories of directors

Role and responsibilities, scope of the authority, decision-making processes and powers of the Board, election and dismissal of Directors. Process and criteria for electing directors, nominations, information disclosure, and voting procedures.

Board's role in strategic planning and oversight

Remuneration and incentives. Monitoring and controlling management decisions and actions. The Board's responsibility to protect shareholder rights. Balancing shareholder interests with corporate objectives. Roles and responsibilities of the Chairman. Overview of Board committees and their functions. Conducting Board meetings and decision-making processes. Noticing, quorum, participation, and minutes of meetings. Examining the duty of care and duty of loyalty of directors. Access to information, liabilities, and protections for directors. Self-evaluation processes for the Board. Importance of ongoing education and training for directors propose in board-level decision-making processes

*Prof. Kersi Porbunderwala, Professor IE Law School Compliance, President and CEO at The Corporate Governance Institute*

**5:30 - 6:50pm**

## **Structuring Corporate Governance (II - The Board Systems)**

Overview of board structures and governance systems across jurisdictions

One-Tier Board Structures: United States and the United Kingdom

- Roles and functions of committees in the one-tier board system

- Nomination committee: selecting board members

- Compensation committee: determining executive remuneration

- Audit committee: ensuring financial transparency

Two-Tier Board Structures: Germany and France

- Structure and responsibilities of the supervisory board in the two-tier system

- Employee representation and co-determination in Germany

- Employee representation in France: advisory function and legal requirements

Board Structures in Japan

- One-tier board structure and variations

- Lifetime employment system and its impact on board dynamics

- Role of the board of statutory auditors in monitoring management

Introduction of alternative board structures and their adoption rates



**7:00 - 8:20pm**

**Structuring Corporate Governance (III - Executives Bodies)**

Overview of executive bodies in corporate governance  
Importance of executive bodies in decision-making and organizational governance. The legal and regulatory framework governing executive bodies. Understanding the authority vested in the executive board and decision-making powers and limitations. Delegation of authority and accountability. Eligibility criteria for serving as a general director or executive board member. Skillsets, expertise, and experience required for effective governance. Restrictions and limitations on holding multiple positions  
Determining the number of executive board members  
Roles and responsibilities of key positions (general director, deputy general director, chief accountant, managers)  
Ensuring diversity and expertise in board composition  
Procedures for appointing the general director and executive board members. Role of the board of directors in the election process. Succession planning and ensuring a smooth transition of executive power. Termination mechanisms for executive bodies. Overview of the corporate secretary's role in corporate governance. Importance of the corporate secretary in ensuring compliance and effective governance. Functions and responsibilities of the corporate secretary in promoting good governance. Contributions of the corporate secretary to organizational success  
Procedures and considerations for appointing a corporate secretary. Key qualifications and skills required for a corporate secretary. Importance of independence in the corporate secretary's role. Avoiding conflicts of interest and ensuring impartiality. Legal framework and regulations defining the corporate secretary's authority

# 24TH APRIL, 2024

## 4:00 - 5:20pm Ownership structure

Definition and significance of ownership structure

Overview of ownership concentration and dispersed ownership

Introduction to comparative research in corporate governance

Dispersed Ownership: United States and United Kingdom

- Analysis of ownership structure and shareholder dispersion
- Protection mechanisms for minority shareholders
- Role of institutional investors in corporate governance

Concentrated Ownership: Continental Europe

- Examination of ownership concentration in France, Italy, and Germany

- Influence of founder families and government on management

- Employee involvement in management and two-tier board structures

Unique Ownership Patterns: Asian Countries

- Overview of ownership structures in Asian countries, excluding Japan

- Impact of family and government ownership

*Debra Sabatini Hennelly*

# 24TH APRIL, 2024

## 5:30 - 6:50pm Regulatory agencies

Examination of the role and powers of regulatory agencies  
Analysis of agency oversight and enforcement mechanisms  
Relationship between regulatory agencies and corporate stakeholders. Regulatory objectives and mandates  
Powers and authority of regulatory agencies  
Regulatory frameworks and legal foundations  
Rulemaking and regulatory policy development  
Inspections, audits, and compliance monitoring  
Investigations, enforcement actions, and penalties

*Francisco Javier Ramirez Arbues' Partner Regulatory and Compliance*

**7:00 - 8:20pm      Financial decision-making**

Overview of financial statements and their importance in decision-making. Understanding compliance with legal and regulatory requirements and International Accounting Standards. Analysis of both financial and non-financial factors impacting businesses. Understanding the types of decisions managers make and the role of management accounting information. Evaluating the relevance of tools and techniques in different organizational contexts

Analyzing the impact of financial and management decisions on different stakeholders. Ensuring decisions are properly made and implemented to maximize value for key stakeholders. Exploring the role of ERP systems in supporting decision-making processes. Concept and characteristics of dividends. Legal definitions and interpretations. Role of dividends in corporate finance

Determining distributable profit for dividend distribution  
Legal considerations and limitations on profit distribution  
Impact of accounting standards on distributable profit  
Shareholders' entitlement to dividends. Legal protections and enforceability of dividend rights. Cash dividends, stock dividends, and other forms of dividend distributions

Benefits and drawbacks of different dividend types  
Cash payments, check or wire transfers, and electronic dividend payments. Factors influencing the determination of dividend amounts. Dividend policy and its impact on dividend payouts. Importance of an accurate and updated shareholder list. Legal obligations for maintaining and using the shareholder list. Legal restrictions and limitations on dividend declaration. Financial solvency

# 29TH APRIL, 2024

## 4:00 - 5:20pm Internal controls, risks and misconduct

Relationship between corporate governance and risk management. Impact of accounting fraud and corporate misconduct on corporate governance reform. Key regulatory frameworks, such as the Sarbanes-Oxley Act and Dodd-Frank Act. Corporate governance codes and their role in promoting transparency and accountability. Responsibilities and functions of boards in implementing risk management systems. Business judgment rule and its protection of boards. Importance of disclosure requirements in enhancing transparency and accountability. Whistleblowing and information asymmetry: uncovering intentional information asymmetry. Protections and incentives for whistleblowers

Costs associated with building and maintaining effective internal controls. Motivations for firms to remain private or go public in relation to internal control and disclosure requirements. Role of private equity funds, venture capital funds, and private capital markets. Limitations of private capital markets in providing long-term solutions. Definition and types of conflicts of interest. Importance of managing conflicts of interest in corporate governance. Understanding anti-takeover provisions and their impact on conflicts of interest. Examining poison pills, staggered boards, and other defensive mechanisms. Analysis of golden parachute agreements and their implications for conflicts of interest

Link between executive compensation and management entrenchment

*Prof Hernan Huwyler, Professor IE Law School Compliance, Head of Group Risk Milestone Canon*

**5:30 - 6:50pm     Auditors and financial transparency**

Process and criteria for appointing external auditors  
Duties and responsibilities of external auditors  
Relationship between external auditors and the board of directors  
Importance of auditors in financial statement audits  
Examination of auditing standards and procedures  
Detection and prevention of financial statement fraud and misrepresentation

*Martin Faarborg*

*Executive advisor at Deloitte's Nordic Board*

**7:00 - 8:20pm     Information technology and security**

Legal framework for information technology in corporate governance  
Examination of governance challenges and opportunities in the digital economy  
Data protection, cybersecurity, and privacy regulations  
Implications of emerging technologies on corporate governance  
Legal considerations for e-commerce, digital platforms, and online transactions  
Analysis of blockchain technology and its impact on corporate governance

*Prof. Enrique Aznar Professor IE Law School*

# 6TH MAY, 2024

## **4:00 - 5:20pm Sustainability practices**

Analysis of best practices in integrated reporting and its role in corporate governance

Exploring the role of sustainability practices in enhancing corporate governance worldwide

Examination of ethical issues and dilemmas in organizations

Understanding the responsibilities of organizations to different stakeholder groups

Importance of going beyond numbers and supporting ethical practices for sustainability

*Kristin Parello-Plesner, Head of Group Sustainability at Danske Bank*

## **5:30 - 6:50pm Case study**

Case study in sustainability and IT practices for ethical decision-making

Case Volkswagen emissions scandal, BP Deepwater Horizon oil spill, Apple batterygate

*Prof Hernan Huwyler, Professor IE Law School Compliance, Head of Group Risk Milestone Canon*

**7:00 - 8:20pm Shareholder rights**

Importance of shareholder participation in corporate governance. Benefits and motivations of being a shareholder. Relationship between shareholders and the company. Overview of different types of shares (common, preferred, etc.). Characteristics and rights associated with each type of share. Exploration of fundamental shareholder rights. Mechanics and procedures of shareholder voting

- Proxy voting and its role in shareholder participation
- Procedures for challenging decisions made by the general meeting. Legal remedies available to shareholders in case of disputes. Limitations and potential outcomes of appeals
- Shareholders' entitlement to company information and transparency. Scope of information disclosure requirements
- Freedom of shareholders to transfer their shares
- Freedoms, restrictions and limitations on share transfers
- Understanding pre-emptive rights and their purpose
- Mechanics and procedures for exercising pre-emptive rights
- Circumstances and procedures for redeeming shares.

*Prof Tom Kirchmaier Professor, Centre for Economic Performance, London School of Economics (LSE) and Copenhagen Business School (CBS)*



# 8TH MAY, 2024

## 4:00 - 5:20pm **Public relations strategy**

Theories and frameworks in management and organizational behavior, and their relevance to corporate affairs. Impact of organizational behavior on corporate reputation, stakeholder relationships, and overall organizational effectiveness. Strategies and tactics for effective public relations program planning, implementation, and evaluation. Strategic thinking and planning techniques to develop public relations programs aligned with organizational goals and objectives

Effectiveness of public relations strategies through appropriate evaluation methods, such as measuring impact on stakeholder perception and reputation management

Characteristics, roles, and responsibilities of various specialized areas within public relations, such as client relations, community relations, sponsorship, and financial public relations. Ethical considerations in public relations practices, including issues of transparency, honesty, and stakeholder trust

The role of public relations in shaping organizational culture, promoting corporate social responsibility, and addressing societal concerns.

*TBD*

# 8TH MAY, 2024

## **5:30 - 6:50pm Corporate affairs management**

Role of corporate affairs in enhancing and preserving reputations and stakeholder engagement

Purpose-driven decision making at the board level and its influence on organizational reputation and stakeholder engagement

Strategies and tactics for effective engagement with public officials, government stakeholders, and policymakers, and contribute to policy discussions relevant to the organization's business

Employee engagement and employee experience through strategic internal communications: campaigns, facilitating events, and content development

Support of major organizational initiatives and projects: change management and employee engagement support.

Communication cascades, desired culture promotion, and leader activation

Cross-functional collaboration and provide support for function-specific projects

*Isabelle Deschamps, Chief Legal Rio Tinto*

# **Module 1. Compliance Management Systems**

# 13TH MAY, 2024

**4:00 - 5:20pm**     **The what, why, and who of compliance and ethics, the value of the compliance function. trends in compliance from criminal compliance to ethics, effective governance models, hard law and soft law.**

***Discussion: how "to sell" compliance to the board***

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

**5:30 - 6:50pm**     **The role of compliance in company culture, drivers of compliance: sustainability, corporate social responsibility, communication, quality and corporate reputation. How to create the "corporate memory" in an organization. Potential positive and negative compliance implications of incentives.**

***Business case: Wells Fargo (2016)***

*Enrique Aznar - Academic Director at IE Elecnor Observatory on Sustainable Compliance Cultures*

**7:00 - 8:20pm**     **Leadership and support from the executive boards and the C-Level. Analysis of the internal and external context. Support of environmental, technology, product and transformation objectives and strategies. Stakeholders of compliance. Materiality matrix.**

**Tool: context and interested parties matrix, context analysis, PESTLE analysis in compliance.**

*Esperanza Hernandez - Academic Head at Spanish Compliance Association*

# 14 TH MAY, 2024

**4:00 - 5:20pm**    **GRC Principles: Elements of an effective compliance function. Integration of compliance in risk and governance to improve the performance. Synergies with other departments. The compliance supported by privacy and information security standards.**

**Discussion: how to align objectives, to automate assessments, evidence collections and dashboards for continuous compliance, to define a common software/platform.**

*Martin Falck-Hansen - Internal Auditor at KMD*

**5:30 - 6:50pm**    **COSO framework, OCEG Capability Model, and OECD Guidelines Supervision of the compliance function. The three line model.**

**Facilitators internal audit program for compliance**

*Martin Falck-Hansen - Internal Auditor at KMD*

**7:00 - 8:20pm**    **How to implement governance arrangements to lead a compliance program. Mandates and responsibilities. How to position compliance as a transformation and competitive tool.**

*Andrea Bonime-Blanc - CEO at GEC Risk Advisory LLC*

# 20TH MAY, 2024

**5:30 - 6:50pm**      **The components of the compliance function, missions and objectives, centralization or decentralization, reporting lines, annual wheel of reports, non-financial reporting requirements for compliance. Single point of accountability. Autonomy and resources. Coordination with Legal, HR, Audit and Senior and Middle Management.**

**Model Compliance Maturity Matrix Discussion: compliance as a service.**

*Esperanza Hernández - Academic Head at Spanish Compliance Association*

**7:00 - 8:20pm**      **How to move from obligations to controls, how to embed controls in policies and procedures, how to facilitate the design and implementation of policies and procedures. Operational integration in policies and controls. Accesses to policy repository.**

**Facilitator compliance control matrix.**

*Victoria Herrada - Ethics & Compliance Manager at Philip Morris International*

# 22ND MAY, 2024

**4:00 - 5:20pm**    **How to manage compliants and compliance breaches and losses databases. Reports and KPIs for compliance. Performance indicators.**

**Faciliator List of potential KPIs**

*Enrique Aznar- Academic Director at IE Elecnor Observatory on Sustainable Compliance Cultures.*

**5:30 - 6:50pm**    **How to prevent and report conflict of interests. Imcompabilities and segregation of duties. Gifts, Meals, and Entertainment. Sponsorship and political contributions Approving exceptions.**

**Templates: gift, travel, hospitality, and sponshorship policies.**

*Enrique Aznar- Academic Director at IE Elecnor Observatory on Sustainable Compliance Cultures- date to be defined.*

**7:00 - 8:20pm**    **Practices and recommendations to support a compliance policy and capabilities to address legal, regulatory and criminal law requirements, roadmap to design a compliance program: agile and waterfall approaches.**

**Facilitators: Ethics and compliance program and policy templates , compliance charter**

*Esperanza Hernandez - Academic Head at Spanish Compliance Association*

# 27TH MAY, 2024

**4:00 - 5:20pm** How to design of compliance training program: target identification, immersion, segmentation and media, opportunity Communication techniques: new policies. Training methodologies: face-to-face, e-learning, campaigns, storytelling and gamification, Support and training according to ISO 37301.

**Discussion:** how to get indicators and metrics of awareness in Compliance

*Robert Mascola- Gblal Legal & Compliance Executive and Educator.*

**5:30 - 6:50pm** How to build a compliance management systems in practice under the ISO 37301.

**Facilitators** Templates for whistleblowing, training, crisis protocols, and conflicts of interest Annual wheel for compliance management and reporting Register of obligation template

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

**7:00 - 8:20pm** Compliance risk definition. Risks on non compliance under the ISO 37301. The compliance officer as a truster advisor to support planning and decision-making. Risk level. Compliance risks as opportunities

**Discussion case:** Uber.

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*



# 29TH MAY, 2024

**4:00 - 5:20pm** How to implement a whistleblowing line. How to triage and manage reports. Dealing with investigations. Using the ISO 37002 to implement and manage the whistleblowing system. Response to investigations. Legal and governance considerations the EU Directive on Whistleblower Protection.

**Template: Whistleblowing policy.**

*Gertrudis Alarcón- President at ACFE Association of Certified Fraud Examiners Spain*

**5:30 - 6:50pm** How to perform due diligence and ongoing due diligence on third parties: to screening and requirements, onboarding new third parties. Background checks on new hires and high-risk staff and contractors.

**Templates: Due diligences questionnaire.**

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

**7:00 - 8:20pm** How to improve the compliance program. Expanding the scope and learning from breaches. How to manage employee discipline after non-compliance breaches.

**Case: Siemens (2006-2008)**

*Enrique Aznar - Academic Director at IE Elecnor Observatory on Sustainable Compliance Cultures*

# **Module 2. Compliance risks and controls**

# 3RD JUNE, 2024

**4:00 - 5:20pm** Regulatory vs. compliance risks. Risks in obligations. Ethical risks. Inherent and residual risks. Risk-taking in compliance, tolerance and control level.

**Tool: sustainability risk taxonomy.**

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

**5:30 - 6:50pm** How to value compliance risks. Qualitative assessment. Words of estimate probability. Risk matrices and the ISO 31000. Qualitative assessment.

**Business Case: COSO Guidance on Compliance Risk Management.**

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

**7:00 - 8:20pm** Compliance risks under the ISO 31000 2018. Timing to assess compliance risks. Roadmap introduction. Getting the buy-in from the board to assess risks. Identify the risk universe (taxonomy). Internal and external desktop review. Identify the participants to assess compliance risks. Design the assessment. The risk registry. Design the assessment methodology. Compliance risk self assessment. Interviews with risk owners. Risk workshops.

**Facilitator: Compliance risk taxonomy template**

*Alvaro Arjona - PwC Director - GRC & ESG Professional Services, PhD, EMBA, Certified Internal Auditor*

# 5TH JUNE, 2024

- 4:00 - 5:20pm**    **How to obtain resources, plan actions and budget. Considerations and priorities for planning initiatives. Evaluating the regulatory horizon, stakeholder needs, open items and new strategies. Planning a timeline of activities to address certifications and audit needs. Demonstrating the return of investment in compliance.**
- Templates Compliance policies, roles, charters and supporting procedures models**
- Marco Pedrosa - Compliance Officer, Global R&D and External Innovation EMEA - Janssen-Cilag Limited*
- 5:30 - 6:50pm**    **Loss distribution in compliance risks. Normal distribution. Log-normal distribution. Triangular distribution. PERT distribution. Binomial distribution. Discrete distribution. Decision tree in compliance. Quali-quantitative assessment.**
- Facilitator: Risk modeling tool to quantify compliance risks.**
- Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*
- 7:00 - 8:20pm**    **Tips for assessing compliance risks. New ISO 31022 to assess legal risks. Scope and objectives. Supporting risk principles. Establishing the context. Defining a risk criteria. Assessing legal risks. Evaluation of legal risks. Communication, monitoring and review.**
- Case study "performing legal risk map" by CEB. Tool Contract clauses review.**
- Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

# 10TH JUNE, 2024

**4:00 - 5:20pm**    **How to assess fraud risks. Compliance requirements for fraud. Risk factors for fraud. Case. Fraudulent financial reporting. Risk scenarios**

*Andy Douglas - Partner at Control Solutions Spain*

**5:30 - 6:50pm**    **Compliance risk assessment.**

*Kersi Porbunderwala - President at Copenhagen Compliance*

**7:00 - 8:20pm**    **How to report compliance risks. Tool to analyze, assess and visualize risks of non-compliance**

**Facilitator: Excel PowerPivot Model**

*Alvaro Arjona - PwC Director - GRC & ESG Professional Services, PhD, EMBA, Certified Internal Auditor*

# 12TH JUNE, 2024

**4:00 - 5:20pm**      **How to assess corruption risks. Compliance requirements. Risk factors. Resources.**

*Tetyana Reznichenko - Senior Legal & Compliance Counsel  
at Milestone Systems (Canon Inc)*

**5:30 - 6:50pm**      **How to assess cyber security compliance risks. Requirements for cyber compliance. The EU NIS Directive. Risk factors. FAIR Factor Analysis OF information risk.**

**Discussion: FAIR Methodology**

*Robert Wickstrom - ITBRC Governance Lead at Danske Bank.*

**7:00 - 8:20pm**      **How to assess contractual risk assessment. Identification of compliance risk from contracts, licenses, concessions and service legal agreements. Risk factors.**

**Tool: Contractual clause review ISO 31022**

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

# 17TH JUNE, 2024

- 4:00 - 5:20pm**    **How to prioritize action plans and remediation activities to address assessed compliance risks: consolidation of risks, global/aggregated compliance risks, corporate and local initiatives, tips for monitoring action plans, updates and emerging compliance risks; examples of reports on action plans, roles for compliance risk management, synergies with internal audit and risk management, the use of assurance maps.**
- Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*
- 5:30 - 6:50pm**    **How to detect corruption and fraud schemes. International regulations: principles, international regulations, foreign officials, public officials and commercial agents. Practices on representation expenses, political contributions, travel expenses, gifts Fraud impact and controls: accounting, operational, investor and credit fraud, over-invoicing . Red flags: financial controls and operations, such as detecting suspicious transactions.**
- Discussion: ACFE Report to the Nations**
- Andy Douglas - Partner at Control Solutions Spain*
- 7:00 - 8:20pm**    **Introduction to internal controls. Monitoring and supervision: internal control environment, design and implementation, control effectiveness Monitoring and supervision practices of the compliance officer by risk.**
- Facilitator: Program to test entity-level controls to prevent fraud**
- Andy Douglas - Partner at Control Solutions Spain*

# 19TH JUNE, 2024

**4:00 - 5:20pm**     **How to select samples and and test attributes for compliance control Design deficiencies and Control Compliances.**

**Facilitator: Sampling matrix and testing sheets.**

*Andy Douglas - Partner at Control Solutions Spain*

**5:30 - 6:50pm**     **How to comply with business continuity requirements. Energy plans and disaster recovery. Crisis and escalation protocols. Roadmap for the ISO 22301**

**Discussion: Testing a business continuity plan**

*Aarti Bangera - Head of Technology and Services Risk Managers at Danske Bank*

**7:00 - 8:20pm**     **How to provide assurance on the effectiveness of the Compliance model and its controls. Auditing the Compliance Program and the work of the Compliance Officer. The Audit and Compliance Committee. Internal and external audits.**

**Template: Audit and Compliance Committee Charter**

*Martin Falck-Hansen - Internal Auditor at KMD*



# **Module 3. ISO 37301**

## **Certification**

# 24TH JUNE, 2024

**4:00 - 5:20pm**    **Requirements, terminology, scope, elements and demand of the new ISO 37301. Practical impact of the main changes, benchmark and elements. Concepts and processes of a compliance management system based on the ISO 37301**

*Elisabeth Thaller - President Beyond Conformity inc, ISO management systems coaching, implementations and audits*

**5:30 - 6:50pm**    **How to use the ISO 37301 and other certifications for corporate defense. The importance of the accountability principle and criminal law liability. Target process from risk analysis to reporting and evaluation of the compliance program.**

**Tool: Gap analysis to ISO 37301**

*Elisabeth Thaller- President Beyond Conformity inc, ISO management systems coaching, implementations and audits*

# 26TH JUNE, 2024

**4:00 - 5:20pm**    **How to implement requirements. Recommendations and facilitating models for implementation. Implementation roadmap with evidence for certification.**

**Discussion: Planning a certification and interpreting requirements**

*Alvaro Arjona - PwC Director - GRC & ESG Professional Services, PhD, EMBA, Certified Internal Auditor*

**5:30 - 6:50pm**    **Implementer and auditor roles for planning, leading, and following up on a compliance management system attestation. Governance and auditor due care.**

**Facilitator: Implementation roadmap.**

*Alvaro Arjona - PwC Director - GRC & ESG Professional Services, PhD, EMBA, Certified Internal Auditor*

**7:00 - 8:20pm**    **Tools and practices in auditing compliance programs (in particular to address ISO 37301**

*Elisabeth Thaller- President Beyond Conformity inc, ISO management systems coaching, implementations and audits*

# 1ST JULE, 2024

**4:00 - 5:20pm**    **Implementer and auditor roles for planning, leading and following up on a compliance management system attestation. Governance and auditor due care.**

*Elisabeth Thaller- President Beyond Conformity inc, ISO management systems coaching, implementations and audits*

**5:30 - 6:50pm**    **How to prioritize action plans and remediation activities to address assessed compliance risks: consolidation of risks, global/aggregated compliance risks, corporate and local initiatives, tips for monitoring action plans, updates and emerging compliance risks; examples of reports on action plans, roles for compliance risk management, synergies with internal audit and risk management, the use of assurance maps.**

**Tool: Assurance maps**

*Elisabeth Thaller- President Beyond Conformity inc, ISO management systems coaching, implementations and audits*

**7:00 - 8:20pm**    **How to review evidence for control design and efficiency. How to provide assurance. Principles and methodology for testing controls of compliance and review of documentation.**

**Tool: RACI matrix on ISO 37301 compliance.**

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

# 3RD JULE, 2024

**4:00 - 5:20pm**    **How to manage on-site audit and desktop activities. Coordinating auditors and consultants. Writing nonconformity reports. Monitoring and remediation of non-conformances.**

**Facilitator: Implementation checklist.**

*Elisabeth Thaller- President Beyond Conformity inc, ISO management systems coaching, implementations and audits*

**5:30 - 6:50pm**    **How to make action plans workable. Regulatory Alerts, Reporting of mitigation actions, how to promote the accountability for treating compliance risks, tracking and measuring the manage of compliance risks, tailoring compliance to deal with the most significant risks, control failures at design of compliance levels, recommendation for change management.**

*Elisabeth Thaller- President Beyond Conformity inc, ISO management systems coaching, implementations and audits*

**7:00 - 8:20pm**    **How to document compliance and operational issues. Monitoring and testing techniques for compliance controls, sharing templates and compliance control matrix. Analytical testing to identify risks (e.g. adobe-avergaes fees for anti-corruption controls transaction splitting for anti-fraud controls).**

**Facilitator: Testing sheets for ISO 37301.**

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

# 8TH JULE, 2024

**4:00 - 5:20pm** How to determine, test and monitor the right controls for a compliance program: controls to prevent or correct risks (prevention and contingency plans). Escalation procedures. Remediation of known compliance breakdowns. Demo CEB Tool - Level Controls Tracking Checklist for company culture, management style, strategic direction, control infrastructure, board governance, information reporting, people management, monitoring of control environment, assignment of authority.

**Tool: CEB Tool - Level Controls Tracking Checklist**

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

**5:30 - 6:50pm** Discussion case about testing anti-bribery and fraud controls, auditing the whistleblowing channel, the role of general computer controls in compliance.

*Elisabeth Thaller- President Beyond Conformity inc, ISO management systems coaching, implementations and audits*

**7:00 - 8:20pm** Discussion case about testing entity level controls related to compliance, sampling techniques in compliance adults, setting the materiality, identifying and documenting findings, testing the awareness of the code of conduct and crisis protocol, testing conflict of interests, testing access rights and segregation of duties (for fraud and privacy risks), testing the delegation of authority.

*Alvaro Arjona - PwC Director - GRC & ESG Professional Services, PhD, EMBA, Certified Internal Auditor*

# **Module 4. Cyber compliance**

# 10TH JULY, 2024

**4:00 - 5:20pm**     **Introduction to cyber compliance: key regulatory obligations and terminology. Strategy of EU regulators to address cyber security and business continuity of essential service providers.**

**Faciliator: IT controls based on ISO 27002 and NIST 800**

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

**5:30 - 6:50pm**     **Governance models and frameworks for IT. The roles of the compliance,, information security, IT officers in the three lines model. Tips for a healthy data management culture.**

*Kersi Porbunderwala - President at Copenhagen Compliance*

**7:00 - 8:20pm**     **Tips on the influence and leadership skills of highly effective compliance officers.**

*Ambroise Augé - Senior Consultant at ETHICS & COMPLIANCE CONSULTANTS*



# 15TH JULY, 2024

**4:00 - 5:20pm**

**How to manage compliance requirements for cloud and eCommerce. Policies on cookies.**

**Faciliator: Due diligence for cloud service providers**

*Kersi Porbunderwala - President at Copenhagen Compliance*

**5:30 - 6:50pm**

**How to manage compliance for privacy: GDPR legal requirements, scope, principles, rights, data impact assessments, contract review, record of processing activities, consent and business impact assessments.**

**Faciliators: Privacy policy, Contractual templates**

*Kersi Porbunderwala - President at Copenhagen Compliance*

**7:00 - 8:20pm**

**How to manage compliance for privacy: encryption and pseudo anonymization, access reviews, inventory of personal data, controls against ransomware and spearphishing.**

*Guillermo Iribarren - Global Senior Cyber Engineer, IKEA*

# 17TH JULY, 2024

**4:00 - 5:20pm**      **International Diploma- How to embed IT controls in policies and procedures. Matrixes to ensure segregation of duties in IT systems (ERPs, CRMs). Compliance for Work-from-Anywhere**

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

**5:30 - 6:50pm**      **How to comply with the NIS Directive. Risk-based IT and compliance controls. Detection and reporting of security breaches.**

**Tool: Checklist for gap analysis**

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

**7:00 - 8:20pm**      **How to prevent computer crime. Preventing fraud and hacking abuse via non-approved software. Monitoring of contracts and license payments for used software. Protecting intellectual property.**

*Kersi Porbunderwala - President at Copenhagen Compliance*

**22TH JULY, 2024**

**4:00 - 5:20pm**      **Practice on using file interrogation for testing and monitoring compliance.**

**Demo: tool**

*Andy Douglas- Partner at Control Solutions Spain*

**5:30 - 6:50pm**      **How to protect electronic evidence: data loss prevention tools and secure email gateways, eDiscovery.**

*Robert Wickstrom - ITBRC Governance Lead at Danske Bank*

**7:00 - 8:20pm**      **Final Case**

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

# 24TH JULY, 2024

**5:30 - 6:50pm**      **Tips on how to prevent bribery and third-party risks.**

*Richard Bistrong - CEO, Front-Line Anti-Bribery LLC | FCPA, Anti-Bribery, Ethics & Compliance Consultant | Award-Winning E - Learning Training Producer | Providing A Front-Line Perspective on Ethics, Compliance, Risk, & Integrity*

**7:00 - 8:20pm**      **How to ensure compliance with software licenses.  
How to develop policies to buy software. Keeping an  
inventory of applications to prevent shadow IT**

*Hernan Huwyler - Head of Group Risk and Control at Milestone Systems (Canon Inc)*

# ACADEMIC DIRECTOR



**HERNÁN  
HUWYLER**

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Hernán Huwyler is a specialist in governance, risk and compliance in multinational companies. He works developing internal controls to address business risks and legal requirements in European corporations and in the Americas. He is currently Head of Vendor Compliance and Due Diligence - Center of Excellence Danske Bank. Previously, he has been Senior Manager of Compliance and Risk Center of Excellence at ISS World Management. He also worked at Deloitte in Copenhagen to develop the risk consulting practice, and was Head of Internal Control and Risk Management at Veolia. He holds an MBA and a CPA, as well as co-chairing the non-financial assurance committee of the Institute of Internal Auditors. He frequently lectures at renowned universities and business schools.



### **KRISTY GRANT-HART**

Compliance and Ethics Expert,  
CEO of Spark Compliance  
Consulting, creator of the award-  
winning compliance training game  
"Compliance Competitor", and  
author.



### **ANDREA BONIME-BLANC**

JD/PhD, Founder/CEO of GEC Risk  
Advisory, a global strategic risk  
and governance advisor to  
business, NGOs, and  
government, board director and  
author.



### **VICTORIA HERRADA**

CPA- Business Administration  
degree  
Risks & Compliance expert  
Ethics & Compliance Manager at  
Philip Morris International



## **RICHARD BISTRONG**

CEO, Front-Line Anti-Bribery  
LLC | FCPA, Anti-Bribery, Ethics  
& Compliance Consultant |  
Award-Winning E -Learning  
Training Producer | Providing  
A Front-Line Perspective on  
Ethics, Compliance, Risk, &  
Integrity



## **ENRIQUE AZNAR**

Academic Director  
Observatory IE- Elecnor on  
Sustainable Compliance  
Cultures



## **ESPERANZA HERNÁNDEZ**

Ex-Compliance Officer in  
Public Companies and  
Banking- Ethics &  
Compliance Management



## **ÁLVARO ARJONA**

PwC Director - GRC & ESG  
Professional Services, PhD,  
EMBA, Certified Internal  
Auditor



# CONTACT



**MARÍA SERRANO**

EXECUTIVE DIRECTOR

[maria.serrano.bello@ie.edu](mailto:maria.serrano.bello@ie.edu)

+34 91 568 95 63



**PAULA ABASCAL**

ASSOCIATE DIRECTOR

[paula.abascal@ie.edu](mailto:paula.abascal@ie.edu)

+34 91 568 99 12



**IARA POSNIAK**

Program coordinator

[iara.posniak@ie.edu](mailto:iara.posniak@ie.edu)