



International Compliance Association

Excellence through Education



ICA International Diploma in Compliance

An internationally recognised professional qualification awarded in association with the University of Manchester Business School

Develop your
knowledge, secure
your firm

An Introduction to the ICA International Diploma in Compliance

As a compliance professional, your role continues to grow in importance. The changing external environment has determined the crucial part you play in the continuing success of your firm. The daily compliance challenges you face mean the importance of having the right knowledge and skills cannot be underestimated. A professional qualification from the International Compliance Association can help you meet your responsibilities.

Over the years, compliance in the financial services sector has become the responsibility of all staff and your role has evolved to meet this change. Businesses today need fully trained people who understand laws, regulations and the rules by which their firm operate. Staff need to appreciate the important part compliance plays in protecting the business so they too can help safeguard the reputation of the firm and minimise risk. Firms also need a successful company-wide compliance culture. This helps ensure all staff follow processes and procedures wherever they are in the world. A professional qualification from the International Compliance Association can help you meet this need.

Designed for compliance professionals today, the ICA International Diploma in Compliance provides detailed knowledge and practical skills. It is a certificated, professional education programme. Awarded in association with the University of Manchester Business School, the Diploma is a benchmark qualification demonstrating excellence.

The Diploma is suitable for those compliance professionals who already have some practical experience in compliance and who want to improve their knowledge. Individuals who complete the Diploma will be able to undertake their responsibilities more efficiently and effectively. By drawing upon international best practice, the Diploma helps prepare you to adapt and change to meet the challenges created by the constantly evolving external environment.

Those who have already graduated from the Diploma find that their performance in the workplace improves and opportunities for career progression are enhanced. By undertaking the ICA International Diploma in Compliance you develop your knowledge and you help secure your firm. Those who have completed the qualification say it has been worthwhile.

“Let me say that I believe that the course is an excellent one and I would recommend it to anyone who is interested in Compliance.”
Claudine McLeish, Operations Manager, Barita Investments Ltd



“Even for a relatively seasoned compliance officer, the knowledge gained was well worth the effort, over and above the delight in acquiring a well recognised compliance qualification.”

Charles Pinel, Head of CSD Compliance, Deutsche Bank International Limited, Jersey

“Initially the course seemed daunting, but the quality of the materials provided and the level of support available through the website and workshops quickly allayed these concerns. I would recommend this study to all compliance professionals.”

Reginald William Smith, Manager, Abbey Mortgages, Isle of Man

Key information on the ICA International Diploma in Compliance follows. To find out more visit www.int-comp.org or email ict@int-comp.com

Key Features

- A graduate level programme resulting in a professional qualification
- Awarded in association with the University of Manchester Business School
- 9 - 12 months duration
- Comprehensive, detailed course materials that can be used in the workplace
- Written by experienced industry practitioners
- Internationally focussed
- Detailed support readings and texts
- Extensive online resource materials
- Dedicated tutor support
- Variety of study options available

Key Benefits

- Improved knowledge, developed skills
- Reduced reputational and financial risk for firms
- Enhanced workplace performance
- Allows use of the designation Int. Dip (Comp)
- Potential for career progression
- Professional membership of the International Compliance Association
- Verifiable evidence of learning

Programme Study Options

The Diploma is available through public courses, distance learning, in-house and for very experienced practitioners, by exam only.

Public Courses

The public courses, which comprise four full-day workshops, are very popular. They have a limited number of places at any one time in order to maximise the learning experience. Workshops provide an additional opportunity for interaction and networking.

Minimum numbers in any jurisdiction must be met in order for public courses to run. Where a public course does not meet the required number, individuals who have enrolled will be invited to transfer onto the distance learning option.

Distance Learning

Distance learning is for those who are resident in a jurisdiction where public courses are not running. An exercise work book is included in course materials to ensure as thorough an education possible. This is supplemented still further with on-line testing and presentations on studying specific modules that can be downloaded. Those who choose this study option can also be allocated a mentor and receive additional support from a dedicated tutor.

In-house Courses

All of the ICA programmes can be delivered in-house. There are many advantages to this including a reduction in price per person and the option to include processes and procedures that are unique to your firm in workshop discussions.

Fees vary depending on the number of individuals undertaking the training, where it is to take place and the course being studied. We can also put together a bespoke programme that meets your specific needs. For more information about ICA programmes delivered in-house or for something tailored for you, contact Helen on hlangton@int-comp.org

Exam Only

Those who are very experienced practitioners and hold appropriate qualifications may be eligible for the exam only option. Such individuals are exempt from attending workshops and from submitting assignments. Those who select this option are provided with manuals, support readings and texts, and their achievement is measured on the basis of their examination performance. However, the International Compliance Association always recommends undertaking the fullest programme available to ensure the best possible learning experience.



Summary of Study Format

All who enrol on the Diploma will receive:

- Comprehensive course manuals, support readings and texts
- On-line support
- Sample assessments
- Study handbook

Course Assessment

- 2 pieces of assessed work are required, contributing towards the final grade
- A 3 hour 15 minute open-book examination

Admission Requirements

The ICA International Diploma in Compliance has a practical focus and is designed for individuals who intend to carry out the role of Compliance Officer or work within the compliance function. The entry criteria are:

- Sound educational background, e.g. degree or professional qualification in an appropriate discipline **or**,
- Attainment of the Advanced Certificate in Compliance (International or UK) **or**,
- Three years relevant work experience
- All applicants need the ability to complete the reading and written aspects of the course in English

If you would like to discuss the Diploma and how it might fit in with your current role and career aspirations, contact the International Compliance Association on +44 (0) 121 362 7534 for an informal discussion with the Course Director.

Fees

Fees for the programme vary depending on the delivery option. Course fees are subject to local taxes where applicable. Prices quoted are in GBP Sterling. US dollars accepted at the equivalent rate. Full details are available from the International Compliance Association website www.int-comp.org. Fees for in-house delivery vary depending on the number undertaking the programme and in which jurisdiction. For full details and information on stage payment plans, please contact the International Compliance Association.

How to Apply

Once you have studied the syllabus, you can apply on-line at www.int-comp.org or complete the enrolment form available from the website and return it to the International Compliance Association.

Professional Qualification Award

The ICA International Diploma in Compliance is awarded in association with the University of Manchester Business School. Quality assured by the University, the programme is at honours degree level, which designates the programme “Graduate Diploma”. The Diploma has been mapped in accordance with the Higher Education Qualification Framework. Furthermore, a number of universities may give credit for the work that is completed on the Diploma against other and possible masters level qualifications. For further information, visit the International Compliance Association website.

Who the Diploma will Benefit

The ICA International Diploma in Compliance is a valuable tool for:

- Compliance Officers
- Deputy Compliance Officers
- Managers with responsibility for internal compliance controls
- Risk Managers
- Internal and External Audit Staff
- Regulatory Representatives
- Accountants
- Lawyers
- Company Secretaries
- Anyone who requires an in-depth knowledge of the compliance function and the part it plays in reducing risk

Duration of Programme

We understand the nature of the work/life balance. With that in mind we have structured the programme to allow for maximum flexibility, accommodating the demands of family, career and study. If 6 hours of study are undertaken per week, the ICA International Diploma in Compliance can usually be completed in 9-12 months.



Diploma Programme Summary

The ICA International Diploma in Compliance is comprehensive and reflects the regulatory environment today. The Diploma programme focuses on relevant international best practice, legislation and regulations. It examines the role of key players and the importance of developing networks. With course materials that are regularly updated, the Diploma focuses on current major issues that impact upon the compliance role.

By the end of the Diploma programme, you will have a clear understanding of the compliance function and the surrounding context. Knowledge gained can be used to measure practices and tailor them to meet future challenges. A wider awareness of the international arena is given in readiness for future developments.

A summary of the core modules follows.

Module 1: The Regulatory Environment

- Understanding the Regulatory Environment
- Regulatory Structure
- Regulators and their Powers

Module 2: The Compliance Function

- The Role and Skills of the Compliance Officer
- Risk Management
- Designing an Internal Compliance System

Module 3: Key Compliance Issues

- Money Laundering and Terrorist Financing
- Financial Crime and Fraud Prevention
- Market Misconduct, Insider Dealing and Market Abuse
- Dealing with Regulatory Issues and Enforcement Action

Module 4: The Compliance Environment

- Corporate Governance
- Ethics and Corporate Social Responsibility

Membership of the International Compliance Association

Upon successful completion of the ICA International Diploma in Compliance, an invitation is extended to become a member of the International Compliance Association and use the designation MICA, (Member International Compliance Association). After a further 5 years professional experience, Members of the International Compliance Association are invited to apply for Fellowship status and use the designation FICA, (Fellow International Compliance Association). For more information on ICA Membership, please visit the ICA Website.

International Compliance Association

The ICA is a professional, awarding body with a global membership. Since it was founded in 2001, thousands

of individuals have completed ICA's diploma and certificate programmes all over the world. ICA's internationally recognised qualifications are a benchmark of professionalism, competence and excellence. The ICA is the government appointed Lead Provider of Financial Industry Competency Standards, accredited training and assessment programmes in the field of compliance in Singapore. The ICA helps businesses, regulatory authorities, government agencies and clients promote best practice through education, dialogue, information exchange and detailed resource material. The ICA aims to help improve the performance of individuals, firms and the industry as a whole.



The International Compliance Association and Standards of Competence

ICA qualifications are awarded in association with the University of Manchester Business School and are mapped into The National Occupational Standards of Competence. These standards, created by the UK Financial Services Skills Council, (FSSC), are in Anti Money Laundering, Compliance and Countering Financial Crime. All ICA Diplomas are recognised by the FSSC at the highest level. They are classified as 'recommended' on the FSSC official Examination List. Full details can be found at www.fssc.org.uk.

Additionally, ICA qualifications are recognised by regulators and education authorities globally as a benchmark of competence and excellence.

University of Manchester Business School

Manchester Business School is the largest business and management school in the UK, offering an impressive range of programmes and services to both students and businesses. We provide world-class business and management education to undergraduates, postgraduates, highly experienced practitioners and people wishing to pursue academic careers. We compete on a global scale for the best students and staff, and will continue to generate ground-breaking research that is recognised by peers and practitioners across the globe.



Details of other Qualifications Available

The International Compliance Association delivers a wide range of qualifications, appropriate to the financial services sector worldwide. Certificate programmes are designed for entry-level staff, new to a particular discipline. Content focuses on awareness and on the introduction of the key issues involved. These programmes form a solid foundation for future learning. Advanced programmes are available for those who wish to develop their understanding still further. Diploma programmes are designed for more senior practitioners, those who have already amassed a level of experience. Certificate, Advanced and Diploma programmes cover the following subjects:

- Anti Money Laundering
- Compliance
- Financial Crime Prevention



For more information:

 www.int-comp.org

 ict@int-comp.com

 +44 (0)121 362 7534



International Compliance Association

Regional Office:
Dubai International Financial Centre
Centre of Excellence
The Gate Village
Building 2, Level 3
P.O. Box 506745
Dubai
UAE
☎ +971 (0) 4 4019310
✉ info@ictmiddleeast.com

Head Office:
Wrens Court
52-54 Victoria Road
Sutton Coldfield
Birmingham B72 1SX
United Kingdom
☎ +44 (0) 021 362 7534
✉ ict@int-comp.com

Regional Office:
10 Shenton Way
#12-01 MAS Building
Singapore
079117
☎ +65 6500 0010
✉ enquiries@int-comp.com

www.int-comp.org

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