



Ethics and Compliance Operating Systems Training Course

Ethics and Compliance Operating Systems Training Course

Overview

Ethics and Compliance Operating Systems Training Course is a one-week advanced course for professionals who design controls and culture, leaving with an Ethics and Compliance Operating System Pack. The course connects governance, conduct standards, risk assessment, speak-up processes, investigations interfaces, incentives, culture measurement, monitoring, and improvement. Participants use ISO 37301:2021 and ISO 37002:2021 as operating references. Agile Leaders Training Center positions ethics and compliance as measurable organizational practice.

Who Should Attend

- Teams responsible for ethics and compliance system design
- Teams responsible for conduct standards and policy governance
- Teams responsible for speak-up channels and case-routing controls
- Teams responsible for compliance risk, monitoring, testing, and assurance
- Teams responsible for incentives, discipline, culture, and employee relations
- Teams responsible for board and executive compliance oversight

The course assumes participants already manage compliance or conduct activities and leaves out jurisdiction-specific legal advice and certification preparation.

Departments and Industries

The course supports functions and sectors that need coordinated ethics and compliance controls.

- Compliance, ethics, legal, governance, and company-secretariat functions
- Risk, internal audit, investigations, human resources, and assurance teams
- Financial services, insurance, professional services, and technology organizations
- Energy, construction, manufacturing, logistics, and healthcare operations
- Nonprofit, education, family-enterprise, and public-service organizations

Learning Objectives

By the end of this course, participants will be able to:



- Analyze ethics and compliance governance, authority, and accountability
- Build a risk-based compliance control architecture
- Apply code-of-conduct and speak-up operating controls
- Evaluate incentives, discipline, and investigation interfaces
- Use culture indicators, monitoring, and testing methods
- Prioritize lessons learned and system improvements

Course Agenda

Day 1: Governance and System Architecture

- ISO 37301:2021 Compliance System Structure Map
- Ethics and Compliance Mandate and Accountability Matrix
- Leadership Commitment and Oversight Evidence Model
- Compliance Function Authority, Access, and Resource Assessment
- Ethics and Compliance Operating-System Blueprint

Day 2: Conduct and Risk Controls

- Values-to-Code-of-Conduct Design Method
- Compliance Risk Assessment and Prioritization Matrix
- Policy, Procedure, and Control Ownership Map
- Conflict-of-Interest Disclosure and Decision Workflow
- Third-Party Conduct and Due-Diligence Control Set

Day 3: Speak-Up and Accountability

- ISO 37002:2021 Trust, Impartiality, and Protection Model
- Reporting Channel and Concern-Intake Architecture
- Triage, Investigation Referral, and Need-to-Know Matrix
- Anti-Retaliation Monitoring and Protection Checklist
- Incentive, Discipline, and Consequence-Consistency Framework

Day 4: Culture, Monitoring, and Improvement

- Ethics and Compliance Culture Indicator Map
- Monitoring, Testing, and Assurance Plan
- Compliance Data Access and Evidence Inventory
- Lessons-Learned and Root-Cause Feedback Loop
- Effectiveness Dashboard and Improvement Backlog



Day 5: Ethics and Compliance System Practice

- Exercise: Governance and Resource Adequacy Review
- Exercise: Conduct Risk and Control Mapping
- Exercise: Speak-Up, Triage, and Protection Simulation
- Exercise: Culture and Effectiveness Evidence Challenge
- Capstone Exercise: Ethics and Compliance Operating System Pack

Practical Exercises

The course uses suggested activities that turn ethics commitments into operating evidence.

- Suggested activity: map accountability, reporting access, resources, and oversight evidence for an ethics and compliance function.
- Suggested activity: trace a conduct risk through policy, control, owner, indicator, and assurance evidence.
- Suggested activity: route a speak-up concern while protecting confidentiality and separating triage from investigation decisions.
- Suggested activity: convert culture indicators and lessons learned into an improvement backlog.

FAQs

Who should attend the Ethics and Compliance Operating Systems Training Course?

The course suits professionals who design, govern, operate, test, or oversee ethics and compliance controls. It assumes practical responsibility for compliance or conduct activities.

How does an ethics and compliance operating system differ from compliance fundamentals?

An ethics and compliance operating system integrates governance, conduct controls, reporting channels, accountability, culture evidence, testing, and improvement, while a fundamentals course introduces core concepts and responsibilities.

How can organizations measure ethics and compliance culture?

Organizations can combine speak-up patterns, retaliation indicators, employee feedback, control behavior, incentive evidence, disciplinary consistency, training application, leadership actions, and lessons learned while interpreting each measure in context.

What makes ethics and compliance monitoring useful?

Useful monitoring links risks to controls, owners, evidence, indicators, testing criteria, exceptions, root causes, and action closure so decision-makers can distinguish activity from effectiveness.



Conclusion

The course links ethics, compliance, conduct, reporting, accountability, culture, monitoring, and improvement in one operating cycle. Participants take back an Ethics and Compliance Operating System Pack with governance, control, culture, and effectiveness artifacts. The pack makes ownership, evidence, decisions, and improvement priorities easier to test and explain.



Training Course Categories

Agile PM and Project Management Training Courses

Agribusiness & Food Security Training Courses

Aviation Management and Operations Training Courses

Certified Courses By International Bodies

Communication and Public Relations Training Courses

Crisis Management and Business Continuity Training Courses

Data Analytics Training and Data Science Courses

Digital Government & Public Service Training Courses

Education and Learning Development Training Courses

Environment & Sustainability Training Courses

Facilities and Real Estate Training Courses

Finance and Accounting Training Courses

Governance, Risk and Compliance Training Courses

Healthcare Management Training Courses

Heritage Conservation and Museum Management Training Courses

Hospitality and Tourism Training Courses

Human Resources Training and Development Courses

IT Security Training & IT Training Courses

Leadership and Management Training Courses

Legal Training, Procurement and Contracting Courses

Maintenance Training and Engineering Training Courses

Marketing, Customer Relations, and Sales Courses

NGO, Humanitarian and Development Management Training Courses

Occupational Health, Safety and Security Training Courses

Oil & Gas Training and Other Technical Courses

Personal & Self-Development Training Courses



Training Course Categories

Quality and Operations Management Training Courses

Secretarial and Administration Training Courses

Shipping, Maritime and Ports Training Courses



Training Cities

Abu Dhabi UAE	Accra Ghana	Amman Jordan
Amsterdam Netherlands	Athens Greece	Baku Azerbaijan
Bali Indonesia	Bangkok Thailand	Barcelona Spain
Berlin Germany	Cairo Egypt	Cape town South Africa
Casablanca Morocco	Chicago USA	Doha Qatar
Dubai UAE	Frankfurt Germany	Geneva Switzerland
Istanbul Turkey	Jakarta Indonesia	Johannesburg South Africa
Kuala Lumpur Malaysia	Kuwait Kuwait	Lagos Nigeria
Langkawi Malaysia	Lisbon Portugal	London UK
Madrid Spain	Manama Bahrain	Marbella Spain
Milan Italy	Montreux Switzerland	Munich Germany
Muscat Oman	Nairobi Kenya	New York USA

Training Cities

Nice

France

Paris

France

Phuket

Thailand

Port Louis

Mauritius

Porto

Portugal

Prague

Czech Republic

Rome

Italy

San Diego

USA

Seoul

South Korea

Sharm El-Sheikh

Egypt

Singapore

Singapore

Tashkent

Uzbekistan

Tbilisi

Georgia

Tokyo

Japan

Toronto

Canada

Trabzon

Turkey

Vienna

Austria

Zanzibar

Tanzania

Zoom

Online Training

Zurich

Switzerland