# Ethics and Compliance Operating Systems Training Course

3 – 7 January 2027
Cape town

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Training Center

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**Ref:** 1248_192218 **Date:** 3 – 7 January 2027 **Location:** Cape town **Fees:** 4500 Euro

## 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

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## 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.