



International Compliance Association  
*Excellence through Education*

# ICA ADVANCED CERTIFICATE IN COMPLIANCE

A professional qualification awarded  
in association with University of  
Manchester Business School



The University of Manchester  
Manchester Business School



The voice of banking  
& financial services



# AN INTRODUCTION TO THE ICA ADVANCED CERTIFICATE IN COMPLIANCE

The changing regulatory environment has resulted in a growing need for compliance professionals. Firms today demand staff with the appropriate knowledge and skills in order to manage risk and maintain business performance. The ICA Advanced Certificate in Compliance helps develop a sound understanding of the compliance fundamentals, enabling staff to discharge their responsibilities effectively. It provides a solid foundation for those who aspire to a career in compliance.

The course is comprehensive and reflects the current external environment. The programme focuses on the role of the Regulator and Compliance Officer. It also delivers clear and unambiguous introduction to understanding financial crime and money laundering prevention, as well as the important role compliance plays in reducing financial and reputational risk.

This is no ordinary training programme. The Advanced Certificate is a detailed education programme. It is awarded in association with the University of Manchester Business School and endorsed by the British Bankers' Association. These quality assurances make the ICA Advanced Certificate in Compliance distinct from other offerings.



“The course gave me a great foundation for my job role, giving me an insight into the role of compliance that I would otherwise have not received.”

Jenny Clark, Newcastle





“The workshops were great and very informative. I would definitely recommend that the workshops are attended, as the topics covered and tips given are very useful.”

Karen Hanna, Laser

## KEY FEATURES

- An intermediate level programme resulting in a professional qualification
- 6 months' duration
- Comprehensive detailed course materials that can be used in the workplace
- Written and delivered by experienced industry practitioners
- Specialist and sector specific modules
- Extensive support and resource material
- Awarded in association with University of Manchester Business School
- Mapped into the UK National Occupational Standards for Compliance
- Endorsed by the British Bankers' Association

## KEY BENEFITS

- Improved knowledge, developed skills
- Professional designation
- Potential for career progression
- Recognised mark for excellence
- Reduced reputational and financial risk for firms
- Enhances workplace performance
- Stepping stone to the Diploma programmes



## WHO THE ICA ADVANCED CERTIFICATE IN COMPLIANCE WILL BENEFIT

- Compliance employees
- Employees who have recently been given or aspire to be given compliance responsibilities but have no compliance experience
- Employees with management responsibility for compliance employees
- Any person who wishes to acquire an understanding of fundamental regulatory compliance principles and how businesses can comply with them

## PROGRAMME DELIVERY

- Excellent course manuals, support readings and texts
- Dedicated online support
- Attendance at two workshops
- One written assignment (approx 3,000 words in length)
- One open book examination (1 hour and 45 minutes)

This course can also be delivered in-house. There are many advantages to this including a reduction in price per person and the option to include processes that are unique to your firm in workshop discussions. For more information about in-house delivery please contact Helen at [hlangton@int-comp.org](mailto:hlangton@int-comp.org).

## ADMISSION REQUIREMENTS

The ICA Advanced Certificate in Compliance is open to anyone who is interested in pursuing a career in compliance. However, the content of the programme requires students to possess:

- Sound educational background
- Good written English skills

If you would like to discuss the Advanced Certificate and how it might fit in with your current role and career aspirations, contact the ICA (0121 362 7534) for an informal discussion with the Course Director.

## PROFESSIONAL QUALIFICATION AWARD

Following completion of the ICA Advanced Certificate in Compliance you will be able to use the designation 'Adv. Cert. (Comp.)'

The ICA Advanced Certificate in Compliance is awarded in association with University of Manchester Business School.

## COURSE CONTENT

### Module 1: The UK Regulatory Framework

- The Concept of Regulation
- The Existing UK Regulatory Model
- Key Players in the Regime
- National and International influences

### Module 2: UK Regulation in Practice

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

### Module 3: The Role of the Compliance Officer

- The Compliance Function
- Internal and External Relationships
- Compliance, Culture and Ethics
- Skills required by Compliance Professionals

### Module 4: Key Compliance Issues

- Understanding Principles-based/Outcomes-focused Regulation
- The FSA's Principles for Businesses

### Module 5: Understanding Financial Crime and Money Laundering

- Fraud
- False Accounting
- Market Abuse
- Money Laundering
- Terrorist Financing

## FEES

See our website for details.

## HOW TO APPLY

Complete the enrolment form online at [www.int-comp.org/enrol](http://www.int-comp.org/enrol) or contact us on [ict@int-comp.com](mailto:ict@int-comp.com) or +44 (0) 121 362 7501.

## 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.



## DETAILS OF OTHER QUALIFICATIONS AVAILABLE

The ICA delivers a wide range of qualifications, appropriate to the financial services sector both in the UK and overseas. For beginners and experienced practitioners alike, the ICA Certificate and Diploma qualifications increase knowledge, improve skills and enhance understanding. 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. They form a solid foundation for future learning. Diploma programmes are designed for more senior practitioners, those who have already amassed a level of experience. Certificate and Diploma qualifications cover the following subjects:

- Anti Money Laundering
- Compliance
- Financial Crime Prevention

## THE ICA STANDARDS OF COMPETENCE

ICA qualifications are awarded in association with the University of Manchester Business School and are mapped into the UK National Occupational Standards of Competence. These standards, created by the UK Financial Skills Partnership (FSP), are in Anti Money Laundering, Compliance and Countering Financial Crime. The ICA Advanced Certificate in Compliance is listed as 'Recommended' on the FSP official Examination List. Full details can be found at [www.fssc.org.uk](http://www.fssc.org.uk).

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

## INTERNATIONAL COMPLIANCE TRAINING

International Compliance Training is the approved training partner of the International Compliance Association. ICT is dedicated to supporting financial services practitioners as they study ICA qualifications. Their unique blended learning approach, combining high quality materials, interactive workshops and dedicated support, ensures a successful learning experience for all. The emphasis is on helping individuals succeed, develop their careers and reach their full potential. ICT has regional offices in Singapore and Dubai.



## UNIVERSITY OF MANCHESTER BUSINESS SCHOOL

MBS is the UK's leading centre for business research, 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 continue to generate ground-breaking research that is recognised by peers and practitioners across the globe.



## BRITISH BANKERS' ASSOCIATION

The BBA is the leading association for the UK banking and financial services sector, speaking for over 200 banking members from 60 countries on the full range of UK and international banking issues and engaging with over 50 associated professional firms. Collectively providing the full range of services, our member banks make up the world's largest international banking centre, operating some 140 million accounts.



For more information:

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