

**Management of Organisations**

Code: 101854  
ECTS Credits: 6

Degree	Type	Year	Semester
2502501 Prevention and Integral Safety and Security	FB	2	2

**Contact**

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**Use of Languages**

Principal working language: spanish (spa)  
Some groups entirely in English: No  
Some groups entirely in Catalan: No  
Some groups entirely in Spanish: Yes

**External teachers**

Rubén Domínguez Oberst  
Óscar Taboada Cuadrado

**Prerequisites**

None

**Objectives and Contextualisation**

Since the reform of the Spanish Criminal Code in 2010, Compliance has been on the agenda for most organizations, increasingly hiring specialists to manage legal risks that the organization face, especially criminal risks. There has been a paradigm shift, from "societas delinquere non potest" to "societas delinquere potest" which has been and still is, a great challenge for most legal entities. Since then, Compliance in Spain has evolved to become a fundamental function within organizations, gradually moving away from criminal-legal concepts, to approach management areas of continuous process improvement from a point of view of control of the risk. It is also intended that students become familiar with the different regulatory standards used by different companies. Also, learn to perform legal risk assessments.

**Competences**

- Act with ethical responsibility and respect for fundamental rights and duties, diversity and democratic values.
- Be able to adapt to unexpected situations.
- Contribute to decisions on investment in prevention and security.
- Efficiently manage technology in security operations.
- Generate innovative and competitive proposals in research and in professional activity developing curiosity and creativity.
- Make changes to methods and processes in the area of knowledge in order to provide innovative responses to society's needs and demands.
- Respond to problems applying knowledge to practice.

- Students must be capable of applying their knowledge to their work or vocation in a professional way and they should have building arguments and problem resolution skills within their area of study.
- Students must be capable of collecting and interpreting relevant data (usually within their area of study) in order to make statements that reflect social, scientific or ethical relevant issues.
- Students must be capable of communicating information, ideas, problems and solutions to both specialised and non-specialised audiences.
- Students must develop the necessary learning skills to undertake further training with a high degree of autonomy.
- Students must have and understand knowledge of an area of study built on the basis of general secondary education, and while it relies on some advanced textbooks it also includes some aspects coming from the forefront of its field of study.
- Take account of social, economic and environmental impacts when operating within one's own area of knowledge.

## Learning Outcomes

1. Analyse the situation and identify the points that are best.
2. Apply the basic of economics and finance necessary for evaluating the management processes of systems present in the prevention and security sector.
3. Be able to adapt to unexpected situations.
4. Critically analyse the principles, values and procedures that govern professional practice.
5. Explain the explicit and implicit deontological code for the area of knowledge.
6. Formulate strategies of company management.
7. Generate innovative and competitive proposals in research and in professional activity developing curiosity and creativity.
8. Identify the social, economic and environmental implications of the academic and professional activities in the field of self-knowledge.
9. Propose new methods or well-founded alternative solutions.
10. Respond to problems applying knowledge to practice.
11. Students must be capable of applying their knowledge to their work or vocation in a professional way and they should have building arguments and problem resolution skills within their area of study.
12. Students must be capable of collecting and interpreting relevant data (usually within their area of study) in order to make statements that reflect social, scientific or ethical relevant issues.
13. Students must be capable of communicating information, ideas, problems and solutions to both specialised and non-specialised audiences.
14. Students must develop the necessary learning skills to undertake further training with a high degree of autonomy.
15. Students must have and understand knowledge of an area of study built on the basis of general secondary education, and while it relies on some advanced textbooks it also includes some aspects coming from the forefront of its field of study.

## Content

### 1: Introduction to Compliance

Compliance origins and background

The concept of compliance

The Compliance function in organizations

Corporate ethics

### 2: Generic Compliance frameworks

OCDE Principles and guidelines

Committee Of Sponsoring Organizations (COSO)

National and international standardization frameworks

3: Specific compliance frameworks

Antitrust frameworks

Environmental frameworks

Taxation frameworks and regulations

Human and workers rights regulations

Privacy regulation

Stock and exchange regulations

Prevention of occupational hazards

4: Compliance and the Spanish criminal code

Ley Orgánica 5/2010, de 22 de junio

Ley Orgánica 1/2015, de 30 de marzo

Circular 1/2016 de la Fiscalía General del Estado

Jurisprudential analysis of the Sentence of the Supreme Court 154/2016

5: Elements of a CMS

Compliance leadership and culture. Tone from the top.

The Compliance function

Risk evaluation

Compliance controls

Compliance reporting

Training and communication. Whistleblowing systems

Supervision and verification

6: The Compliance Officer

Essential requirements for a Compliance Officer

Skills and profile of the position

The Compliance Officer in the organization

Liabilities and different structures

## **Methodology**

The content of the program will be taught by the teacher mainly in the form of master classes with audiovisual support. The presentations and materials used in class by the teacher will be previously available in the Virtual Campus. It is recommended that students print this material and take it to class, to use it as a support when taking notes. Although it is not essential to expand the contents of the classes taught by the teacher, unless the teacher expressly requests it, it is recommended to consult the reading materials in the bibliography

section of this guide to be consulted on a regular basis to consolidate and clarify, if necessary, the contents explained in class. There will be individualized attention to the students and solve any doubts that may arise if needed in pre-arranged hours.

Annotation: Within the schedule set by the centre or degree programme, 15 minutes of one class will be reserved for students to evaluate their lecturers and their courses or modules through questionnaires.

## Activities

Title	Hours	ECTS	Learning Outcomes
Type: Directed			
Classes	40	1.6	
Evaluation	4	0.16	
Type: Supervised			
Practices resolution	12	0.48	
Type: Autonomous			
Personal Study	94	3.76	

## Assessment

The evaluation will consist of the following parts:

- 50% of the final grade for the course will be the average of the different assignments / practices that will take place throughout the course. It will be necessary to turn in at least 3 of 4 assignments with an average of 4 to pass the course. Only the 3 highest notes will be taken in to consideration.
- The remaining 50% will be a final test (a,b,c,d). A minimum grade of 4 will be required to pass the course.

### Reappraisal

In case of not passing the subject according to the aforementioned criteria (continuous evaluation), a recovery test may be carried out on the date programmed in the schedule, and which will contain all the contents of the program.

To participate in the recovery, the students must have been previously evaluated from the set of activities whose weight equals a minimum of two-thirds of the total grade for the subject.

The grade that will appear in the student's file is a maximum of 5-approved.

PLAGIARISM: Without prejudice to other disciplinary measures deemed appropriate, and in accordance with current academic regulations, irregularities committed by a student that may lead to a variation in the grade will be scored with a zero (0). For example, plagiarizing, copying, or letting copy an assignment will involve suspending this activity with a zero (0). Activities classified in this way and by this procedure will not be re-assessable.

## Assessment Activities

Title	Weighting	Hours	ECTS	Learning Outcomes
Exercises of continuous assessment	50%	0	0	3, 4, 1, 2, 10, 5, 6, 7, 8, 9, 15, 14, 13, 11, 12

## Bibliography

- KAPTEIN, Muel. *Why Good people sometimes do bad things: 52 reflections on ethics at work*.
- MIR PUIG, Santiago y otros. *Responsabilidad de la empresa y Compliance*. B de F, 2014.
- ENSEÑAT DE CARLOS, Sylvia. *Manual del Compliance Officer*. Thomson Reuters, 2016
- Arbeitskreis Compliance als Führungsaufgabe. *Compliance als Führungsaufgabe, ein Kompendium von Werkzeugen, Methoden und innovativen Ansätzen*. DICO, 2018
- Miembros de la Junta Directiva de ASCOM, Coordinador D. Alain Casanovas Ysla. *Libro blanco sobre la función de Compliance*. Madrid: ASCOM, 2017
- CASANOVAS YSLA, Alain. *Legal Compliance*. Difusión Jurídica - Economist & Jurist, 2012
- *Compliance. Guía Práctica de identificación, análisis y evaluación de riesgos*. Thomson Reuters - Aranzadi, 2018
- BONATTI BONET, Francsico. *Memento Experto Sistema de Gestión de Compliance: estándares ISO y UNE 19601*. Lefebvre, 2017
- VELASCO NÚÑEZ, Eloy y SAURA ALBERDI, Beatriz *Cuestiones prácticas sobre responsabilidad penal de la persona jurídica y compliance. 86 preguntas y respuestas*. Aranzadi, 2016
- CASANOVAS, Alain *Guía práctica de compliance según la Norma ISO 37301:2021*. AENOR ISBN: 978-84-17801-37-4

## Software

This subject does not require a specific syllabus