

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

Contact

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Teachers

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Teaching groups languages

You can view this information at the [end](#) of this document.

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

Activities and Methodology

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	

Language: Spanish.

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.

Assessment

Continuous Assessment Activities

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

Continuous evaluation

The evaluation will consist of the following points:

50% of the final grade of the subject will be the average of the different assignments/practicals that are raised throughout the course. It will be necessary to submit a minimum of 3 practicals (out of 4 possible) with a minimum average grade of 4 from among the 3 best grades of the practicals presented in order to pass the course.

The remaining 50% will be a final exam with justification of the answers. A minimum grade of 4 will be required to pass the course.

Single evaluation

Students who opt for the single evaluation will take a final synthesis test of all the content of the course (50%) and will hand in and/or evaluate the course work (50%).

The date for this test and the delivery of the course work will be the same as the date scheduled in the timetable for the last continuous evaluation exam.

The same recovery system will be applied as for the continuous evaluation.

Evaluation of the students in second or more summons

Students repeating the course will have to take the scheduled tests and exams and hand in the course work on the dates indicated in the Moodle classroom.

Recovery Exam

The student who does not pass the course, who does not reach 5 (total) out of 10, according to the criteria established in the two previous sections may take a final exam provided that the student has been evaluated in a set of activities, the weight of which is equivalent to a minimum of two thirds of the total grade of the course.

If the student has not been evaluated of these two thirds because he/she has not taken the tests, he/she will obtain a grade of Not Evaluated, without the possibility of taking the final exam.

In this exam the whole of the contents of the subject that have not been passed in the continuous evaluation will be re-evaluated.

In the case of passing the final exam, the course will be approved with a maximum of 5, regardless of the grade obtained in the exam.

Changing the date of a test or exam

Students who need to change an evaluation date must submit the request by filling out the document that can be found in the EPSI Tutoring Moodle space.

Once the document has been filled in, it must be sent to the professor of the subject and to the coordination of the Degree.

Revision

At the time of each evaluation activity, the faculty will inform the students of the grade review mechanisms.

For single evaluation students, the review process will be the same.

Other considerations - Plagiarism

Without prejudice to other disciplinary measures deemed appropriate, and in accordance with current academic regulations, "in the event that the student performs any irregularity that may lead to a significant variation in the grade of an act of evaluation, this act of evaluation will be graded with a 0, regardless of the disciplinary process that may be instigated. in the event that several irregularities occur in the acts of evaluation of the same subject, the final grade of this subject will be 0".

If there are supervening circumstances that prevent the normal development of the subject, the faculty may modify both the methodology and the evaluation of the subject.

If during the correction there are indications that an activity or work has been done with answers assisted by artificial intelligence, the teacher may complement the activity with a personal interview to corroborate the authorship of the text.

Bibliography

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- 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, Francisco. *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

Language list

Name	Group	Language	Semester	Turn
(TE) Theory	1	Spanish	second semester	afternoon
(TE) Theory	2	Spanish	second semester	afternoon
(TE) Theory	3	Spanish	second semester	afternoon