

Degree programme	Type	Course
Prevention and Integral Safety and Security	FB	2

Contact lecturer

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Teaching staff

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Teaching staff (external to UAB)

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Group languages

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

Prerequisites

None

Objectives

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.

Learning outcomes

1. Generate innovative and competitive proposals in research and in professional activity developing curiosity and creativity.
2. Respond to problems applying knowledge to practice.
3. Be able to adapt to unexpected situations.
4. 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.

5. 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.
6. 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.
7. Students must be capable of communicating information, ideas, problems and solutions to both specialised and non-specialised audiences.
8. Students must develop the necessary learning skills to undertake further training with a high degree of autonomy.
9. Propose new methods or well-founded alternative solutions.
10. Critically analyse the principles, values and procedures that govern professional practice.
11. Formulate strategies of company management.
12. Apply the basic of economics and finance necessary for evaluating the management processes of systems present in the prevention and security sector.
13. Explain the explicit and implicit deontological code for the area of knowledge.
14. Analyse the situation and identify the points that are best.
15. Identify the social, economic and environmental implications of the academic and professional activities in the field of self-knowledge.

Contents

1: Introduction to Compliance

Compliance origins and background

The concept of compliance

The Compliance function in organizations

Corporate ethics

2: Generic Compliance frameworks

National and international standarization frameworks

ISO 37301

ISO19600

ISO/UNE 19601

3: Specific compliance frameworks

Antitrust frameworks

Environmental frameworks

Taxation frameworks and regulations

Human and workers rights regulations

Privacy regulation

Stock and exchange regulations

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

Learning activities and methodology

Title	Hours	ECTS	Learning outcomes
Evaluation	4	0.16	
Individual study	110	4.4	
Exercises of continuous assessment	24	0.96	
Videoclasses	12	0.48	

Language: Spanish.

Throughout the 6 video classes the fundamental contents of the subject will be explained, the doubts arising from the reading of the materials will be solved and the PECs will be prepared.

The content of the program will be in the provided handook an the student will have to individually study 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. T

It is important to mention that the main objective of the video classes is to resolve the doubts related to the syllabus, therefore it is essential to prepare the topics before each session.

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	Weight	Hours	ECTS	Learning outcomes
Provide training as a trainer	15%	0	0	1, 3, 4, 6, 7, 9, 10, 13, 14
Final test	50%	0	0	2
Conduction of a risk assessment	15%	0	0	1, 2, 3, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15
Parcial	20%	0	0	2, 4, 5, 6

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 at least two (2) assignments and complete one (1) midterm exam, with a minimum average grade of 4 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.

Use of IA

In this subject, the use of Artificial Intelligence (AI) technologies is allowed as an integral part of the development of the work, provided that the result reflects a significant contribution of the student in the analysis and personal reflection. The student must clearly identify which parts have been generated with this technology, specify the tools used and include a critical reflection on how these have influenced the process and the result of the activity. The lack of transparency in the use of AI will be considered a lack of academic honesty and may lead to a penalty in the grade of the activity, greater sanctions in cases of seriousness

Bibliography

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- 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: 978-84-17891-37-4

Software

This subject does not require a specific syllabus

Course groups and languages

The information provided is provisional until November 30. After this date, you will be able to consult the language of each group through this [link](#). To access the information, you will need to enter the course CODE

Type of teaching	Group	Language	Semester	Shift
(TE) Theory	1	Spanish	second semester	afternoon