



ICA Certified Head of Compliance

Part of the ICA Practitioner Series

Head of compliance is a complex role which requires a high level of personal accountability. This certification, written by experienced senior practitioners, provides an engaging and interactive learning experience, supported by practical tools to empower you to deliver the role effectively and demonstrate your competence to the regulator.

- **Navigate the role** – understand the key responsibilities and unique challenges of this complex senior function (SMF16)
- **Regulatory policies and frameworks** – through practical examples, discover the best practices for robust corporate governance and learn how to embed workable solutions in your business
- **Stakeholders** – enhance your skill set to effectively manage relationships with boards and regulators
- **Decision-making** – gain the tools to build your confidence, make informed decisions and overcome challenges
- **Networking** – share experiences and insights with fellow heads of compliance



What will I learn?

This certification covers:

- The key responsibilities of the head of compliance
- The first 90 days
- Regulatory policies, procedures and standards
- The oversight framework
- Managing and influencing business stakeholders
- Cultivating a culture of compliance
- Building and maintaining effective relationships with regulators
- Personal confidence and resilience

Course tutor

Rosalind Dixon-Burnett, Global Lead of GRC

Rosalind Dixon-Burnett joined the ICA in 2024. She was previously head of compliance for a fast-growing asset management firm where she held both SMF16 (Compliance Oversight) and SMF17 (MLRO) senior management positions. She brings more than 26 years of financial services experience to the ICA, and has worked across all three lines of defence in risk, compliance and internal audit roles. She has led a variety of successful risk and regulatory change programmes, and has designed, implemented and embedded highly successful (and commercially valuable) operational risk, compliance and internal audit functions within FS firms of varying size and maturity.



Is this course right for me?

This highly interactive and practical course has been designed for senior individuals who are new to the role of head of compliance or chief compliance officer (SMF16), or where this is their next step.

The course is based on the UK Financial Conduct Authority's requirements. Students from other jurisdictions are eligible for the course, subject to the experiential requirements below, as the core skills you will develop are transferable to any jurisdiction.

You will need a good standard of spoken and written English and ONE of the following to be eligible for the course:

You are currently the head of compliance or the chief compliance officer (SMF16) (or jurisdictional equivalent),

OR

You are a professional who aspires to work in a head of compliance role and have completed the ICA Diploma in Governance, Risk and Compliance (or equivalent).





How will you learn?

The course lasts nine weeks, and is a mix of online study and live, virtual classrooms delivered by industry experts. It includes:

- eight virtual classrooms, and
- one live immersive scenario and group-facilitated discussion.

Students are assessed on their reflective journals and on a written assignment which must be submitted within two weeks of the facilitated discussion.



Next steps

Any questions?

If you have any questions, please review our [FAQs](#) or [Contact us](#).

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