



Audit, Risk and Governance

Navigating Compliance: A Masterclass for Managers on External Regulations and Internal Standards

Course Introduction

This 5-day training program is designed for managers who need to master the intricacies of corporate compliance management within their organization.

The training will provide managers with practical tools, real-world case studies, and interactive exercises to ensure they are prepared to navigate complex compliance landscapes and create a culture of accountability within their teams.

Target Audience

- Mid to Senior-Level Managers
- Compliance Officers
- Risk Management Professionals
- Legal Counsel
- Operations Managers
- Quality Assurance Managers
- Human Resources Managers
- Finance and Accounting Professionals
- Industry Regulators

Learning Objectives

- Understand the importance of compliance management and its role in protecting the organization from legal and financial risks.
- Develop knowledge of external regulations and standards that affect their industry
- Understand and implement internal policies and standards to ensure organizational practices are compliant.

- Learn how to conduct compliance assessments and audits to ensure adherence to both external and internal standards.
- Manage compliance risks effectively and create a culture of compliance within teams.
- Utilize practical tools for reporting compliance breaches and ensuring corrective actions are implemented.

Course Outline

• Day 01

Introduction to Corporate Compliance Management

- What is corporate compliance and why is it important?
- The role of managers in ensuring compliance with internal and external regulations
- **The cost of non-compliance:** Legal, financial, and reputational risks
- Overview of the training program and key outcomes
- **Interactive Activity:** Group discussion on common compliance challenges in your industry

External Regulations and Standards - An Overview

- Overview of applicable external regulations.
- Key components of industry-specific compliance regulations
- **International compliance standards:** What managers need to know about cross-border regulations
- **Interactive Case Study:** Discuss the consequences of non-compliance with external regulations (e.g., recent fines or penalties in your industry)

• Day 02

Understanding External Regulations - Focus on Industry-Specific Standards

- Focus on industry-specific compliance standards: Financial, healthcare, manufacturing, technology, etc.
- How to interpret and apply specific regulations within your organization
- **Practical Exercise:** Break into groups by industry to review a regulatory standard and assess how it applies to your operations

Compliance Frameworks and Best Practices

- Key compliance frameworks: ISO 19600, ISO 37001, COSO, and others
- Best practices for setting up a compliance management system
- Developing a compliance strategy that aligns with business goals
- **Workshop:** Create a compliance framework tailored to your team/department

• Day 03

Implementing Compliance Procedures and Controls

- Designing internal controls to ensure compliance with regulations
- How to implement procedures for monitoring and enforcement
- Using technology and tools to automate compliance tracking
- **Interactive Exercise:** Develop a checklist for monitoring compliance with a specific external regulation

Internal Policies and Standards – Structure and Implementation

- The importance of internal policies and standards in maintaining compliance
- Creating, revising, and communicating internal policies to employees
- How to ensure alignment between external regulations and internal policies
- **Activity:** Draft an internal policy based on an external regulatory standard

• Day 04

Compliance Risk Management

- **Identifying compliance risks:** Legal, operational, reputational, and financial
- Tools and techniques for assessing compliance risks
- How to create a compliance risk management plan
- **Interactive Activity:** Conduct a risk assessment for your department using a risk matrix

Monitoring and Auditing Compliance

- Setting up compliance monitoring systems to track adherence to internal and external standards
- **How to conduct compliance audits:** Types, processes, and tools
- The role of internal audits in identifying compliance gaps
- **Workshop:** Plan a mock internal audit for a compliance area in your organization

• Day 05

Reporting Compliance Breaches and Corrective Actions

- How to report compliance breaches: Steps, escalation, and documentation
- The process of corrective and preventive actions (CAPA)
- Legal and ethical considerations when reporting breaches

- **Interactive Role-Playing:** Simulate a compliance breach scenario and develop a corrective action plan

Building a Culture of Compliance

- Leadership's role in promoting compliance and ethical behavior
- Strategies for engaging employees in compliance initiatives and fostering accountability
- Training and awareness programs to maintain compliance
- **Interactive Exercise:** Develop an action plan for enhancing the culture of compliance in your organization

Confirmed Sessions

FROM	TO	DURATION	FEES	LOCATION
April 27, 2025	May 1, 2025	5 days	4250.00 \$	KSA - Riyadh
Sept. 22, 2025	Sept. 26, 2025	5 days	5950.00 \$	USA - Texas
Oct. 13, 2025	Oct. 17, 2025	5 days	4250.00 \$	UAE - Dubai