XCELERATE TRAINING INSTITUTE

your learning & development partner

AUDIT, COMPLIANCE AND GOVERNANCE

# Corporate Compliance, Audit, Monitoring and Risk Management

| DURATION | LANGUAGE | FORMAT |
|---|---|---|
| **5 days** | **English** | **Classroom / Online** |

## Upcoming dates

| Dates | Venue | Format | Fee |
|---|---|---|---|
| 14 – 18 Jun 2027 | Live online | Online (live) | **€1,200** |
| 19 – 23 Jul 2027 | Amman | Classroom | **€3,800** |
| 20 – 24 Dec 2027 | Live online | Online (live) | **€1,200** |

### Register or ask a question

Online: x8ti.com/course/corporate-compliance-audit-monitoring-and-risk-manag…

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# Corporate Compliance, Audit, Monitoring and Risk Management

## Introduction

Compliance training is a comprehensive programmer that helps organizations and their employees conduct operations in an ethical manner, with extreme integrity, and in compliance with legal and regulatory requirements. New risks because of demanding economic conditions increase pressure on compliance leaders.

Traditionally, compliance officers focused on expanding coverage to various risks and layering compliance activities on top of business workflows and systems. However, recently, the focus has shifted to introducing compliance programmers as part of operations.

This approach has been adopted to ensure appropriate effect with limited business impact. As a result, compliance programmers are now part of operations rather than functioning as a separate process. Whether an organization is small or large, compliance is an important part of its structure and functioning because compliance has great potential to positively or negatively impact the growth and success of an organization.

Therefore, organizations these days are investing their efforts to build strong compliance systems and processes and successfully establish compliance programmers to keep a check on adherence to standards and rules.

For organizations to improve their compliance programmers, it is important for them to understand their functional partners and activities and identify areas for closer cooperation. Besides establishing compliance programmers, organizations should keep a regular check and audit the performance of such programmers to identify any opportunities for enhancement or changes as per changing standards and rules. Thus, in technical terms, compliance management is as critical as compliance introduction.

Compliance management provides the ability to evaluate compliance of targets and systems and is accomplished by defining, customizing and managing compliance frameworks, standards and standard rules. Compliance management provides advice on how and when to change standards to be able to retain and maintain its compliance with universally accepted standards. Given the importance of compliance in the success of a business, training on effectively managing compliance is extremely important and the need of the day.

This Xcelerate training course will empower you with detailed information and knowledge about creating and managing compliance in your organization. It will provide you with the necessary experience, exposure and skill to play an important part in creating compliance policies and systems in your organization and successfully and effectively manage these to help the organization progress within all ethical and legal boundaries.

Further, by undertaking this Corporate Compliance, Audit, Monitoring and Risk Management course, you will gain confidence and knowledge to readily accept and assume critical and sensitive roles and

responsibilities in your organization.

This Corporate Compliance, Audit, Monitoring and Risk Management course will also provide you with the required foresight and intuitiveness to identify current and predict future gaps in compliance processes as well as unethical practices and address these to prevent a negative impact on the business.

## Learning Objectives

The main objective of this Corporate Compliance, Audit, Monitoring and Risk Management course is to empower professionals with—

- in-depth understanding of compliance and compliance management
- the required knowledge to comply with all necessary standards and rules in one's work
- the required confidence and skill to partake in devising compliance programmers and processes and managing compliance within the organization throughout
- the required skill and capabilities to work with advanced techniques and tools to manage compliance effectively in the organization
- the necessary exposure to predict possible compliance-related risks to the organization and implement necessary steps to control these
- adequate foresight to make arrangements for future changes in standards and rules and prepare one's organization to make alterations to comply with changing standards
- increased ability, exposure, skill and experience to play an important role in the success of your organization, thus establishing opportunities for growth and development and strong career prospects

## Training Methodology

All training courses at Xcelerate Training Institute are customized as per the dynamics of the training audience, i.e. their professional backgrounds, years of experience, job roles, nature of the industry, etc. Lectures and training are delivered with the help of presentations. However, to engage the audience to foster active listening and learning, group activities, role-plays and other such initiatives are undertaken.

Discussing recent case studies helps the audience relate to the topic of discussion better. Further, experiential learning is encouraged by urging trainees to share their real-life experiences of compliance difficulties, challenges or accomplishments they have witnessed in their job roles.

This compliance training course follows the very successful Do–Review–Learn–Apply Model introduced by Xcelerate Training Institute.

## Benefits for Your Organisation

Organizations whose professionals undertake this Corporate Compliance, Audit, Monitoring and Risk Management course will benefit in the following ways:

- Experienced and educated employees who adhere to all standards, policies and protocols set by the organization
- Strong compliance systems and processes to combat any non-compliance practices within the organization or with external vendors

- Implementation of modern techniques and tools to ease compliance management and reduce manual intervention
- Better prediction of possible gaps or non-compliance instances and immediate preventive steps to manage such situations
- Dynamic policy and compliance framework to adjust to any changes in standard requirements as per universal regulations
- Good organization brand image because of adherence to compliance standards throughout operations and business transactions
- Faster economic growth and overall development because of reduced risks leading to greater investments

## Benefits for You

Through this Corporate Compliance, Audit, Monitoring and Risk Management course, professionals will benefit in the following ways:

- Increased understanding and knowledge of compliance, inculcating a work ethic of compliance with all requirements and standards
- Greater exposure and experience to play a critical role in devising compliance policies and standards for one's organization
- Increased skill and knowledge to work with modern, advanced techniques and tools for easy and seamless compliance management
- Increased foresight and awareness to pre-empt compliance changes or challenges and make provisions beforehand to save time and effort and prevent business loss
- Increased confidence and exposure to oversee and successfully achieve change management within the organization
- Enhanced skill and capability to undertake higher roles and responsibilities related to compliance and compliance management and successfully fulfil these to expedite career growth and progression

## Who Should Attend

- Senior members of management responsible for ensuring that the organization is compliant with universally accepted standards
- Compliance officers responsible for ensuring adherence to compliance policies and protocols and for managing change in standards when the need arises
- Human resource professionals responsible for ensuring that compliance is part of their work culture and operations and defaulters are put to the test
- Internal and external auditors who conduct regular checks to ensure and certify adherence to set standards
- Investors and shareholders who would be interested to invest in an organization that is compliant with universal standards, thus depicting credibility
- Any other working professional who would like to know more about compliance and compliance management to develop one's work ethic and/or to undertake higher roles and responsibilities related to compliance and compliance management

# Course Outline

The compliance training course covers the following topics that will help understand compliance and compliance management in detail:

## Overview of Compliance

- Definition of compliance
- Definition of the compliance framework
- Definition of compliance standards
- Definition of compliance standard rule

## Features of Successful Compliance Activities

- Design (to be part of the business workflow)
- Coordinate (with related assurance activities)
- Assess (for burden and integration)

## Steps to a Compliance Risk Management Approach

- Priorities activities
- Make regulatory alerts and updates actionable
- Assess and manage the Business impact

## Steps in Compliance Risk Analysis

- Risk identification
- Risk assessment
- Risk evaluation
- Risk treatment
- Monitoring, review and corrective action
- Communication

## Scope of a Compliance Programs

- Define programmer mandate
- Mitigate and monitor risks
- Establish policies and procedures
- Oversee allegations of misconduct
- Provide training and communication
- Reinforce behavioral expectations
- Manage the function

## Challenges in Compliance Management

- Compliance silos
- No single view of compliance assurance
- Home-grown systems
- Old, rigid software
- Lack of automated monitoring

## Factors Impacting Compliance Management

- Nature of Board and audit committee
- Management’s philosophy and operating style
- Organizational structure
- Risk culture and tolerance

## Importance of Compliance Programs

- Enhanced visibility into organizational risks
- Greater accountability for risk management
- Assurance on stewardship of donated funds
- Culture of ethics and compliance

## Elements of an Effective Compliance Programs

- Experienced audit committee
- Written policies and procedures
- Training and education
- Lines of communication
- Standards through disciplinary guidelines
- Internal compliance monitoring
- Response to detected offences
- Periodic risk assessments

## Responsibilities of Compliance Programs

- Fiduciary responsibility
- Federal financial reporting
- Internal controls/standards
- Legal and regulatory requirements
- Organizational policies
- As for Open Enrolment Courses, we offer our clients the flexibility to choose the location, date, and time and our team of experts who are spread around the globe will assist in facilitating the course.
- The course fee includes facilitation, training materials, 2 coffee breaks, buffet lunch and a Certificate of successful completion of Training.
- FREE Consultation and Coaching provided during and after the course

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# Registration Form

## Corporate Compliance, Audit, Monitoring and Risk Management

Preferred dates: ..... Venue or online: .....

Duration: 5 days Language: .....

Please complete and email this form to us, or register online. We confirm your place and send the invoice within one working day.

### Delegate information

Full name (Mr / Ms / Dr / Eng): .....

Position: ..... Telephone / mobile: .....

Official email: ..... Personal email: .....

### Company information

Company name: .....

Address: .....

City / country: ..... VAT / tax number: .....

### Person responsible for training & development

Full name (Mr / Ms / Dr / Eng): .....

Position: ..... Telephone / mobile: .....

Email: .....

### Payment

☐ Please invoice me ☐ Please invoice my company

Signature: ..... Date: .....

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