XCELERATE TRAINING INSTITUTE

your learning & development partner

AUDIT, COMPLIANCE AND GOVERNANCE

Regulatory Compliance Management

DURATION	LANGUAGE	FORMAT
10 days	**English**	**Classroom / Online**

Upcoming dates

Dates	Venue	Format	Fee
18 – 29 Jan 2027	Live online	Online (live)	**€1,800**
26 Jul – 6 Aug 2027	Live online	Online (live)	**€1,800**
23 Aug – 3 Sep 2027	Amsterdam	Classroom	**€7,200**

Register or ask a question

Online: x8ti.com/course/regulatory-compliance-management/

+491631686678 · info@x8ti.com

Regulatory Compliance Management

Introduction

In today's times of uncertainty and fast-paced technological and economic changes, every organization must deal with a multitude of risks that can at some point threaten its vision, processes, and reputation.

The legal formalities that come with violating any compliance laws set by regulatory authorities can also take a toll on the stability of the business as well as its employees.

Why is Regulatory Compliance Management such an important topic? Compliance and risk management are indispensable topics that are appealing to many organizations today, with an increasing interest from specific industries like the government sector.

Although there are different models for governance and risk management, most of these standards intend to control risks effectively and coordinate relationships between a company and its stakeholders. However, it is important to note that governance, risk management, compliance and effective controls are all part of one holistic structure.

A vigorous and efficient compliance program is what makes the difference between companies that effectively sail across those risks and those that succumb to them. Unfortunately, not all companies have this outlook towards compliance and risk management and this course aims to change that.

This Xcelerate training course will present the critical elements of effective organizational compliance by studying the theories and strategies for evaluating risks and managing the overall compliance aspect of a business.

You will understand the elementary principles of effective compliance, the factors that make a successful compliance and audit program and look at case studies of companies who have undergone compliance process formations to learn from their achievements and mistakes.

The understandings gathered from this program will be applicable to a wide range of organizations, from private firms to non-profit organizations.

Learning Objectives

Upon completing this Certificate in Regulatory Compliance Management course successfully, participants will be able to:

- Understand the holistic compliance process
- Define regulations, guidelines, and specifications relevant to processes in their respective industries
- Design an effective compliance management process independently
- Put a process in place for violations of regulatory compliance which could result in legal retribution including federal fines
- Calibrate with regulatory bodies to prevent compliance breaches
- Learn to adhere to compliance policies in surrounding environments

- Understand the risks involved and identify the possible preventive methods in line with global Compliance Management guidelines

Training Methodology

This is an interactive training program and will consist of the following training approaches:

- Audio/video presentations
- Face-to-face interactions
- Individual and group tasks
- Case studies and workgroups
- Questionnaires
- Role-playing activities

Just like all our courses, this program also follows the 'Do-Review-Learn-Apply' model.

Benefits for Your Organisation

Companies who send in their employees to participate in this Certificate in Regulatory Compliance Management course can benefit in the following ways:

- Produce a detailed risk-profile for your organization
- Customize an all-inclusive compliance program with features best suited to address your organization's needs
- Save on legal expenses risen due to compliance violations
- Ensure that your company is running with the most streamlined processes in risk and audit management
- Employ the right people to ensure that compliance policies are implemented properly

Benefits for You

Professionals who participate in this Certificate in Regulatory Compliance Management course can benefit in the following ways:

- Prevent your company from the probable issues faced due to improper risk management
- Explain the factors that drive the need for anti-corruption laws and understand the consequences of breaching compliance laws in a highly legalized world
- Create strategies for implementing compliance management policies including specific tools and technologies, and then monitoring and training of these policies to build an effective privacy compliance program

Who Should Attend

This course offers comprehensive knowledge in Compliance Management so the following individuals or groups will benefit from it:

- Compliance personnel
- Employees who manage or supervise compliance teams
- Employees who have recently got involved in or aim to be given compliance-based responsibilities

- Those who are individually involved in making regulatory decisions
- Workforce from Regulatory Authorities, Compliance Committees, and Auditors
- Any person who wishes to gain an understanding of the vital regulatory compliance principles and how businesses can conform to them

Course Outline

UNDERSTANDING COMPLIANCE AND THE REGULATORY ENVIRONMENT

- Definition of compliance and compliance management
- Importance of compliance management
- Practical examples of compliance management
- Risks involved and preventive methods in lines to Compliance Management
- Stakeholder validation process
- Risk assessment
- Economic success
- Environmental sustainability
- Why do we need regulation?
- The objectives of financial services regulation
- The background to regulation
- The regulatory timeline
- Consumer/investor protection

INTERNATIONAL REGULATION

- The roles of the regulator
- Different regulatory models around the world
- Overview of recent international regulation
- The influence of international bodies

COMPLIANCE IN PRACTICE

- Compliance in practice
- Compliance structure
- The roles and responsibilities of a Compliance Officer/Auditor
- Key compliance activities and processes

MANAGING THE RISK OF MONEY LAUNDERING AND PROLIFERATION FINANCING

- How are the proceeds of crime laundered?
- The objectives of money laundering and vulnerabilities of products and services
- Understanding money laundering offences
- The relationship between the Compliance Officer and the other stakeholders
- Designing an effective internal reporting system
- The risk-based approach to money laundering
- Money laundering and tax evasion

FINANCIAL CRIME PREVENTION

- What is fraud?
- Frauds perpetrated against ordinary investors
- Frauds against organizations
- Preventing fraud
- Corruption

STAKEHOLDERS IN CORPORATE GOVERNANCE (CG)

- Stakeholders
- Shareholders rights
- Directors' duties and rights
- Internal auditors and external auditors
- Risk-based decision making
- CG failure effects
- The efficient board

ENTERPRISE RISK MANAGEMENT

- Risk perception
- Why should we care about risk?
- Risk management definitions
- Risk management process
- Risk prevention, management, monitoring, and control
- Internal environment changes
- External environment changes
- ISO 31000 risk management process
- ISO 31000 risk management framework and principles
- COSO ERM process
- Risk response – 4 T's
- Control activities
- Risk management categories

RISK MANAGEMENT AREAS

- Strategic
- Operations
- Reporting
- Financial
- Health and safety

COMPLIANCE SUCCESS FACTORS

- ISO compliance management
- Designing a compliance process in line with a Regulatory Authority
- Implementing a compliance program

- Causes of compliance program failing
- Results of compliance failures

EXTERNAL AUDITS

- Cyber Security
- Capital Expenditures
- Data Governance
- Network Data Integrity
- Data Analytics and Continuous Auditing
- Third-Party Relationships
- Regulatory Process, Implementation and Process Improvement

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Registration Form

Regulatory Compliance Management

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

Duration: 10 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

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

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Email this form
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Register online
Open the course page