XCELERATE TRAINING INSTITUTE

your learning & development partner

AUDIT, COMPLIANCE AND GOVERNANCE

# Legal and Compliance Management

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

## Upcoming dates

| Dates | Venue | Format | Fee |
|---|---|---|---|
| 17 – 28 ???? 2027 | Live online | Online (live) | **€1?800** |
| 22 ?????? – 3 ?????? 2027 | Live online | Online (live) | **€1?800** |
| 27 ?????? 2027 – 7 ????? 2028 | Boston | Classroom | **€7?200** |

### Register or ask a question

Online: x8ti.com/course/legal-and-compliance-management/

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# Legal and Compliance Management

## Introduction

Organizations today face a host of risks that can jeopardize their business strategies, status, and eventually, their bottom line. Legal, licensing, and compliance best practices do not only look at preventing problems and confirming that organizations are abiding by the laws. It is also about the positive impact that an ethical legal, licensing, and compliance program can have on a business.

In this course, we will discuss why compliance is essential in extremely regulated industries to avert fines and prevent reputational and commercial problems. This course will also study real-world examples of compliance failures and encourage students to develop strategies to avoid similar situations in their own organizations.

This Certificate in Legal and Compliance Management program will introduce the essential elements of effective legal, licensing, and compliance by exploring the concepts, considerations, and strategies for managing the function. The insights from this program will be applicable to a wide range of different types of organizations, from private companies to non-profits.

What is your role in Legal, Licensing, and Compliance Best Practices for Regulatory Authority? In this course, we will delve into one of the key factors required to create a progressive culture of compliance, which is the psychological aspect of human involvement in legal, licensing, and compliance management.

We will explore the driving factors, distractions, and how all of these elements help build a strong structure for compliance management in organizations. This Xcelerate training course will empower you with the best practices in legal, licensing, and compliance management for regulatory authorities.

## Learning Objectives

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

- Create a thorough risk profile for your organization.
- Customize a detailed legal, licensing, and compliance program with features best suited to address your organization’s specific risk profile.
- Develop strategies for implementing the technologies, policies, monitoring, and training for building an effective privacy compliance program.
- Describe the factors that drive the need for anti-corruption laws and understand the ramifications of doing business in a highly regulated world.

## Training Methodology

This is an interactive Certificate in Legal and Compliance Management training program and will consist of the following training approaches:

- Lectures
- Seminars & Presentations

- Group Discussions
- Assignments
- Legal Documentation Analysis
- Role-play Exercises
- Case Studies & Functional Exercises

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 Legal and Compliance Management course can benefit in the following ways:

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

## Benefits for You

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

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

## Who Should Attend

This Certificate in Legal and Compliance Management course offers comprehensive knowledge in legal, licensing, and compliance management and the following individuals or groups will benefit from it:

- Legal personnel
  Compliance personnel
- Those who are individually involved in making regulatory decisions
- Employees who manage or supervise legal, licensing, and compliance teams
- Employees who have recently got involved in or aim to be given legal, licensing, and compliance-based responsibilities
- Workforce from Regulatory Authorities or Compliance Committees

- Any person who wishes to gain an understanding of the vital regulatory legal, licensing, and compliance principles and how businesses can conform to them

## Course Outline

### INTRODUCTION TO COMPLIANCE

• What is compliance?
• Compliance obligatory Laws
• Costs of non-compliance

### THE IMPORTANCE OF COMPLIANCE

• Why is compliance important?
• Obligations are numerous, pervasive and varied
• The demands of a settlement agreement
• Avoiding reputational harm
• The indispensable and positive value of compliance

### COMPLIANCE & RISK

• What is the risk?
• Risk mitigation
• Risks vs. Issues
• Relationship between compliance and risk management
• Alternative forms of risk management
• Compliance & risk management
• Risk analysis
• Risk tolerance
• Outsourcing risk & compliance
• Insurance as another vehicle to manage risk

### DEVELOPMENTS IN THE FIELD OF COMPLIANC

• Compliance is taken more seriously by enforcement agencies
• Institutional compliance vs. compliance in specific subject areas
• The burgeoning profession of compliance

### BUILDING A STRONG COMPLIANCE CULTURE

• Best practices in setting a strong compliance structure
• Setting the stage: origins of compliance law
• The goal of compliance culture: integrating compliance throughout the organization
• The compliance officer / responsible person
• Independence, empowerment, and resources

### THE PSYCHOLOGY OF COMPLIANCE

• Compliance involves more than you think
• Why people do bad things
• The Psychological Aberration or Deviation Theory
• The Privileged or Entitled Theory

- The Stress and Pressure Theory
- The Excessive Greed or Excessive Ambition Theory
- The Cost-Benefit / Risk Reward Theory
- The Lack of Recognition Theory
- The Lack of Self-Control Theory
- The No Harm Theory

## HOW TO GET PEOPLE TO BE COMPLIANT

- The Nudge Theory
- The Punishment / Scare Them Theory
- The Rules / CYA Theory
- The Ubiquity Theory
- The Reward Me Theory
- The Quid Pro Quo Theory
- The Bureaucratic Theory
- The Slippery Slope / Broken Windows Theory
- The Target Theory
- The “One Size Doesn’t Fit All” Theory

## DEALING WITH NON-COMPLIANCE

- Dealing with non-compliance
- Senior response team
- Reporting and other communication
- Enforcing discipline
- Lessons learned / root cause analysis
- Table-top exercises

## PRIVACY: HISTORY OF LEGAL ISSUES

- Legal and issues landscape and chronology
- Historical & legal context
- Fair information principles
- The statutory landscape in the U.S.

## SECURITY & BREACH NOTIFICATION

- Introduction to security
- Establishing requirements in a rapidly changing environment
- Forcing a process, rather than an outcome
- Breach notification, regulating by consequence
- Compliance observations in information security

## OTHER WAYS THAT PRIVACY IS REGULATED

- Other privacy laws: FTC regulation
- The FTC, privacy and compliance
- International rules and regulations
- The GDPR

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# Registration Form

## Legal and 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

☐ Please invoice me ☐ Please invoice my company

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

**Call**
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info@x8ti.com

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Open the course page