



IM028: Compliance and Risk Management: Building a Culture of Governance, Ethics & Organizational Resilience

Training Description:

In today's increasingly regulated and risk-driven business environment, organizations must proactively identify, assess, monitor and mitigate risks while ensuring full compliance with applicable laws, regulations, and corporate governance requirements. Effective compliance and risk management are essential for protecting organizational assets, maintaining stakeholder trust, preventing financial losses and achieving sustainable business performance.

This intensive training course provides participants with a comprehensive understanding of governance principles, compliance frameworks, enterprise risk management (ERM), internal controls, regulatory requirements, ethics and business continuity planning. Participants will learn internationally recognized methodologies and practical tools for identifying compliance obligations, assessing organizational risks, implementing control measures and creating an effective compliance culture.

Through practical case studies, risk assessment exercises, workshops and group discussions, participants will gain the knowledge and confidence to strengthen governance structures, minimize organizational risks, and support strategic decision-making.

Training Objectives:

By the end of the training, participants will be able to:

- ✓ Understand the principles of corporate governance, compliance and enterprise risk management
- ✓ Identify legal, regulatory, operational, financial, strategic and reputational risks
- ✓ Develop effective risk assessment and mitigation strategies
- ✓ Implement compliance programs aligned with international best practices
- ✓ Strengthen internal control systems and organizational accountability
- ✓ Conduct compliance monitoring and reporting activities
- ✓ Promote ethical decision-making and organizational integrity
- ✓ Understand fraud risk management and anti-corruption measures
- ✓ Develop risk registers and compliance monitoring plans
- ✓ Support organizational resilience through business continuity and crisis management

Training Designed for:

This training course is intended for Compliance Officers, Risk Managers, Internal Auditors, Governance Professionals, Finance Managers, Legal and Regulatory Affairs Personnel, Operations Managers, Quality Assurance Professionals, Health, Safety & Environment (HSE) Professionals, Project Managers, Human Resources Managers, Procurement & Supply Chain Professionals, Senior Executives, Department Heads and Anyone responsible for governance, compliance, or organizational risk management.

Training Requirement:

“Hand’s on practical sessions, equipment and software will be applied during the course if required and as per the client’s request.”

Contents can be adapted to your specific wishes. It is therefore possible to focus on specific modules of the training course as per client’s learning needs and objectives. Further, it should be forwarded to us a month prior to the course dates.

Training Program:

DAY ONE:

FOUNDATIONS OF COMPLIANCE, GOVERNANCE & ENTERPRISE RISK MANAGEMENT

- ❖ **Module 1: Introduction to Compliance Management**
 - What is compliance?
 - Importance of compliance in modern organizations
 - Regulatory environment
 - International compliance standards
 - Consequences of non-compliance
- ❖ **Module 2: Corporate Governance Principles**
 - Governance frameworks
 - Roles of the Board and Management
 - Accountability and transparency
 - Ethical leadership
 - Governance best practices
- ❖ **Module 3: Enterprise Risk Management (ERM)**
 - Risk management fundamentals
 - ISO 31000 Risk Management Framework
 - COSO Enterprise Risk Management Framework
 - Risk governance
 - Risk appetite and risk tolerance
- ❖ **Module 4: Types of Organizational Risks**
 - Strategic risks
 - Financial risks
 - Operational risks
 - Compliance risks
 - Reputational risks
 - Cybersecurity risks
 - Environmental and ESG risks
- ❖ **Practical Exercises:**
 - Identifying organizational risks
 - Governance case study

DAY TWO:

RISK IDENTIFICATION, ASSESSMENT & INTERNAL CONTROLS

- ❖ **Module 1: Risk Identification Techniques**
 - Risk workshops
 - Interviews
 - Brainstorming
 - SWOT analysis
 - PESTLE analysis
 - Process mapping
 - Incident reviews
- ❖ **Module 2: Risk Assessment Methodologies**

- Qualitative risk assessment
- Quantitative risk assessment
- Risk matrices
- Risk prioritization
- Likelihood vs. impact analysis
- ❖ **Module 3: Risk Registers**
 - Developing risk registers
 - Risk ownership
 - Risk categorization
 - Monitoring key risks
 - Risk reporting
- ❖ **Module 4: Internal Controls**
 - Preventive controls
 - Detective controls
 - Corrective controls
 - Segregation of duties
 - Authorization controls
 - Documentation controls
- ❖ **Practical Workshop:**
 - Conducting a risk assessment
 - Creating a departmental risk register

DAY THREE:

COMPLIANCE PROGRAMS, ETHICS & REGULATORY MANAGEMENT

- ❖ **Module 1: Building an Effective Compliance Program**
 - Compliance framework
 - Policies and procedures
 - Compliance governance
 - Compliance responsibilities
 - Compliance culture
- ❖ **Module 2: Regulatory Compliance**
 - Regulatory mapping
 - Compliance obligations
 - Licensing requirements
 - Regulatory reporting
 - Compliance documentation
- ❖ **Module 3: Ethics & Code of Conduct**
 - Organizational ethics
 - Ethical decision-making
 - Conflict of interest management
 - Gifts and hospitality
 - Whistleblower protection
- ❖ **Module 4: Fraud Risk Management**
 - Fraud triangle
 - Fraud prevention
 - Anti-bribery and corruption

- Financial crime awareness
- Investigation basics
- ❖ **Practical Exercises:**
 - Compliance gap analysis
 - Ethics case studies

DAY FOUR:

MONITORING, AUDITING & BUSINESS CONTINUITY

- ❖ **Module 1: Compliance Monitoring**
 - Compliance reviews
 - Key Risk Indicators (KRIs)
 - Key Performance Indicators (KPIs)
 - Compliance dashboards
 - Reporting mechanisms
- ❖ **Module 2: Internal Auditing & Assurance**
 - Role of internal audit
 - Audit planning
 - Audit evidence
 - Audit findings
 - Corrective action plans
- ❖ **Module 3: Incident & Crisis Management**
 - Incident reporting
 - Root cause analysis
 - Corrective and preventive actions (CAPA)
 - Escalation procedures
 - Crisis communication
- ❖ **Module 4: Business Continuity Management**
 - ISO 22301 overview
 - Business Impact Analysis (BIA)
 - Business continuity planning
 - Disaster recovery
 - Organizational resilience
- ❖ **Practical Exercises:**
 - Compliance audit simulation
 - Crisis response exercise

DAY FIVE:

STRATEGIC RISK MANAGEMENT & ORGANIZATIONAL RESILIENCE

- ❖ **Module 1: Strategic Risk Management**
 - Integrating risk into strategic planning
 - Emerging risks
 - Risk-based decision-making
 - Scenario planning
 - Risk-informed leadership
- ❖ **Module 2: Third-Party & Supply Chain Risk**
 - Vendor risk assessments
 - Contract compliance

- Due diligence
- Outsourcing risks
- Supply chain resilience
- ❖ **Module 3: Developing an Organizational Compliance & Risk Framework**
 - Governance structure
 - Risk policies
 - Compliance monitoring plans
 - Reporting frameworks
 - Continuous improvement
- ❖ **Module 4: Future Trends in Compliance & Risk Management**
 - Digital compliance technologies
 - Artificial Intelligence in compliance
 - ESG and sustainability compliance
 - Data privacy and cybersecurity regulations
 - Predictive risk analytics
- ❖ **Final Exercises:**
 - Developing a Compliance and Risk Management Action Plan
 - Program review and knowledge assessment
 - Individual implementation roadmap
- ❖ Course Conclusion
- ❖ POST-ASSESSMENT and EVALUATION

Training Methodology:

This interactive training course includes the following training methodologies as a percentage of the total tuition hours:

- 30% Lectures, Concepts, Role Play
- 70% Workshops & Work Presentations, Techniques, Based on Case Studies & Practical Exercises, Gamification, Software & General Discussions
- Pre and Post Test

Training Certificate(s):

CMCT Internationally recognized certificate(s) will be issued to each participant who completed the course.

Training Fees:

USD\$ TBA - This rate includes participant's manual, hand-outs, buffet lunch, coffee/tea on arrival, morning & afternoon of each day.

Note: The 5% VAT (Value Added Tax), will be effective starting 01st of January 2018 as per the new regulation from the UAE Government. The VAT applies for all quotation both for local and abroad.

Training Timings:

Daily Timings:

- 07:45 - 08:00 Morning Coffee / Tea
- 08:00 - 10:00 First Session

10:00 - 10:20	Recess (Coffee/Tea/Snacks)
10:20 - 12:20	Second Session
12:20 - 13:00	Recess (Prayer Break & Lunch)
13:00 - 14:00	Last Session

For training registrations or in-house enquiries, please contact:

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