

COMPREHENSIVE COURSE IN CERTIFIED COMPLIANCE MANAGER



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Introduction

Comprehensive Course in Certified Compliance Manager Training Course prepares compliance professionals to run a compliance function and to lead it with authority. Participants work through regulatory obligations, compliance risk assessment, policy and control design, monitoring and testing, training and culture, investigations, breach handling, and regulatory reporting as one connected system. The programme links what regulators require with the controls, evidence, and reporting that demonstrate compliance. As a result, learners gain a complete working command of compliance management. Furthermore, the course strengthens governance judgement, programme design, and remediation skill.

Comprehensive Course in Certified Compliance Manager Course Objectives

- Explain the compliance manager mandate, independence, and accountability.
- Identify regulatory obligations across financial, data, and conduct rules.
- Apply compliance risk assessment and maintain a compliance risk register.
- Design compliance policies, procedures, and control frameworks.
- Build a compliance monitoring, testing, and assurance programme.
- Apply the three lines model and define assurance boundaries clearly.
- Design compliance training and embed an ethical culture.
- Conduct compliance investigations and manage whistleblowing channels.
- Apply breach handling, remediation planning, and regulator notifications.
- Apply regulatory change management and inspection readiness practices.

Course Methodology

- Interactive sessions built on compliance programme case studies.

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- Workshops on risk assessment, policy drafting, and monitoring design.
- Group exercises on investigations, breach handling, and remediation plans.
- Hands-on practice with risk registers, monitoring plans, and compliance dashboards.
- Simulation of a regulatory inspection and a board compliance report.
- Facilitator coaching and peer review on personal compliance programmes.

Who Should Take This Course

- Compliance managers, officers, and heads of compliance.
- Risk, governance, and internal control professionals.
- Legal advisors and regulatory affairs staff.
- Internal auditors covering compliance frameworks.
- Business and operations managers with compliance duties.
- Consultants advising on compliance programme design and remediation.

Comprehensive Course in Certified Compliance Manager Course Outlines

Day 1: The Compliance Mandate and Governance

- The compliance manager role, mandate, and independence.
- Governance structures and reporting lines to the board.
- The three lines model and assurance boundaries.
- Regulatory landscape: financial, data, conduct, and sector rules.
- The compliance charter, policy framework, and delegation.
- Ethics, conflicts of interest, and personal accountability.
- Case discussion: a compliance failure and its root cause.





Day 2: Compliance Risk Assessment and Obligations

- Regulatory obligation mapping and control mapping.
- Compliance risk assessment methodology and scoring.
- Building and maintaining a compliance risk register.
- Risk appetite, tolerance, and escalation thresholds.
- Horizon scanning and emerging regulatory risk.
- Regulatory change management and impact assessment.
- Workshop: completing a compliance risk assessment.

Day 3: Policies, Procedures, and Monitoring

- Policy architecture, drafting standards, and approval cycles.
- Procedure design and control points in workflows.
- Compliance monitoring programme design.
- Compliance testing, sampling, and evidence standards.
- Management information and compliance dashboards.
- Remediation planning, ownership, and tracking.
- Exercise: designing a monitoring and testing plan.

Day 4: Training, Culture, Investigations, and Breaches

- Compliance training strategy and competence assessment.
- Embedding ethical culture and tone from the top.
- Whistleblowing channels and speak-up mechanisms.
- Investigation methodology and evidence handling.
- Breach handling, disciplinary process, and remediation.

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- Reporting breaches and notifications to regulators.
- Simulation: conducting a compliance investigation.

Day 5: Reporting, Inspection, and Programme Maturity

- Board and management compliance reporting.
- Regulatory reporting duties and data quality assurance.
- Preparing for inspections and responding to findings.
- Independent review and compliance programme assessment.
- Measuring programme maturity and effectiveness.
- Building compliance capability and succession.
- Capstone: presenting a compliance programme and roadmap.

Conclusion

By successfully completing Comprehensive Course in Certified Compliance Manager, participants will gain a practical command of the compliance mandate, obligations mapping, risk assessment, policy and monitoring design, investigations, breach handling, and regulatory reporting. They will acquire skills in compliance risk assessment, monitoring programme design, investigation practice, and inspection readiness that strengthen governance and trust. Gentex Training Center designs the programme to help professionals lead compliance with authority.

FAQs





Q1 What is the "Comprehensive Course in Certified Compliance Manager" course about?

It prepares compliance professionals to run a compliance function and lead it with authority. The course spans the compliance mandate and governance, compliance risk assessment and obligations, policies, procedures and monitoring, training, culture, investigations and breaches, and reporting, inspection and programme maturity.

Q2 What are the key benefits of the "Comprehensive Course in Certified Compliance Manager" course?

You gain a complete working command of compliance management that connects regulatory expectations with operational controls. The course improves obligation and risk mapping, strengthens monitoring and testing design, sharpens investigation and breach handling, and gives you reporting and inspection readiness that raise confidence.

Q3 What skills will I gain from the "Comprehensive Course in Certified Compliance Manager" course?

You will develop four core skills: compliance risk assessment with obligation and control mapping, policy and procedure design with monitoring and testing programmes, investigation practice with breach handling and whistleblowing management, and regulatory reporting with inspection readiness.



Q4 What tools, methods, or standards are covered in the "Comprehensive Course in Certified Compliance Manager" course?

The course covers the compliance manager mandate and independence and accountability, governance structures and board reporting lines, the three lines model and assurance boundaries, regulatory landscape mapping across financial, data and conduct rules, the compliance charter and policy framework and delegation, ethics and conflicts of interest, regulatory obligation mapping and control mapping, compliance risk assessment methodology and scoring, compliance risk registers, risk appetite and tolerance and escalation thresholds, horizon scanning and emerging regulatory risk, regulatory change management and impact assessment, policy architecture and drafting standards and approval cycles, procedure design and control points, compliance monitoring programme design, compliance testing and sampling and evidence standards, management information and compliance dashboards, remediation planning and ownership and tracking, compliance training strategy and competence assessment, ethical culture and tone from the top, whistleblowing channels and speak-up mechanisms, investigation methodology and evidence handling, breach handling and disciplinary process, regulator notifications, board and management compliance reporting, regulatory reporting duties and data quality assurance, inspection preparation and responding to findings, independent review and programme assessment, and compliance programme maturity measurement.



Q5 How is the "Comprehensive Course in Certified Compliance Manager" course applied in real-world practice?

Participants apply it to real work such as mapping regulatory obligations to controls, completing a compliance risk assessment, designing a monitoring and testing plan, conducting a compliance investigation, handling a breach and preparing a regulator notification, and presenting a compliance report to the board. The same methods support regulatory change impact assessment and inspection preparation.