

GOVERNANCE & COMPLIANCE TRAINING COURSE



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TRAINING CENTER



Introduction

Governance & Compliance Training Course builds a practical, working command of governance and compliance for professionals who must keep an organisation accountable, lawful, and well controlled. Participants work through governance structures, board roles, and accountability lines, the compliance framework, obligations register, and regulatory mapping, compliance risk assessment and control design, policies, procedures, training, and compliance culture, and monitoring, testing, reporting, and regulatory engagement as one connected discipline. The programme links the decisions a board makes with the controls and behaviours that turn them into daily practice. As a result, learners gain a practical command of governance and compliance. Furthermore, the course strengthens governance judgement, control design, and regulatory literacy.

Governance & Compliance Course Objectives

- Explain governance structures, board roles, and accountability lines.
- Apply the three lines model and governance committee design.
- Build a compliance framework with an obligations register.
- Apply regulatory mapping and horizon scanning techniques.
- Apply compliance risk assessment and control design.
- Apply policy architecture, procedures, and attestation cycles.
- Apply compliance training, awareness, and culture programmes.
- Apply compliance monitoring, testing, and control assurance.
- Apply compliance reporting, breach handling, and escalation.
- Apply regulatory engagement, disclosure, and governance maturity assessment.

Course Methodology

- Interactive sessions built on real governance and compliance cases.

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- Workshops on obligations registers, policy design, and control mapping.
- Group exercises on compliance risk assessment and breach handling.
- Hands-on practice with compliance registers, control matrices, and reports.
- Simulation of a compliance review and a regulator meeting.
- Facilitator coaching and peer review on compliance action plans.

Who Should Take This Course

- Compliance officers and compliance analysts.
- Governance, risk, and control professionals.
- Board secretaries and governance coordinators.
- Internal auditors and assurance staff.
- Legal, regulatory affairs, and policy officers.
- Managers responsible for compliance in their functions.

Governance & Compliance Course Outlines

Day 1: Governance Structures and Accountability

- Governance concepts, codes, and regulatory expectations.
- Board composition, committees, and independence.
- Accountability lines, delegations, and decision rights.
- The three lines model and governance committee design.
- Policy hierarchy: strategy, policy, standards, procedures.
- Governance failures, warning signs, and lessons learned.
- Case discussion: a governance breakdown nobody challenged.





Day 2: The Compliance Framework and Obligations

- Compliance framework components and operating model.
- Building and maintaining an obligations register.
- Regulatory mapping and horizon scanning practice.
- Regulatory change management and implementation.
- Compliance roles, responsibilities, and reporting lines.
- Codes of conduct and policy architecture.
- Workshop: building an obligations register for a case organisation.

Day 3: Compliance Risk and Control Design

- Compliance risk assessment methods and risk rating.
- Mapping obligations to risks and controls.
- Control design: preventive, detective, and corrective.
- Compliance control matrices and control ownership.
- Segregation of duties and approval controls.
- Compliance risk appetite and tolerance statements.
- Exercise: designing controls for high-risk obligations.

Day 4: Culture, Training, and Compliance Behaviour

- Compliance culture, tone at the top, and incentives.
- Compliance training design, delivery, and effectiveness testing.
- Awareness campaigns and communication planning.
- Conflicts of interest, gifts, and declarations.
- Speak-up channels and whistleblowing frameworks.

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- Behavioural risk indicators and culture surveys.
- Simulation: responding to a cultural and conduct concern.

Day 5: Monitoring, Reporting, and Regulatory Engagement

- Compliance monitoring and testing programmes.
- Compliance assurance mapping and audit coordination.
- Breach handling, escalation, and remediation tracking.
- Compliance reporting, dashboards, and management information.
- Regulatory engagement, inspection handling, and disclosure.
- Governance and compliance maturity assessment.
- Capstone: presenting a governance and compliance framework.

Conclusion

By successfully completing Governance & Compliance, participants will gain a practical command of governance structures and accountability, compliance frameworks and obligations registers, compliance risk assessment and control design, policy architecture, training and culture programmes, and monitoring, testing, reporting, and regulatory engagement. They will acquire skills in governance structure and accountability design, compliance framework and obligations management, compliance risk assessment and control design, and compliance monitoring, reporting, and regulatory engagement that hold up under scrutiny. Gentex Training Center designs the programme to help professionals govern and comply with confidence.





FAQs for the Governance & Compliance course

Q1 What is the "Governance & Compliance" course about?

It builds a practical, working command of governance and compliance for professionals who must keep an organisation accountable, lawful, and well controlled. The course spans governance structures and accountability, compliance frameworks and obligations, compliance risk and control design, culture, training and behaviour, and monitoring, reporting and regulatory engagement.

Q2 What are the key benefits of the "Governance & Compliance" course?

You gain a practical command of governance and compliance that links the decisions a board makes with the controls and behaviours that turn them into daily practice. The course improves obligations management and regulatory mapping, strengthens risk assessment and control design, deepens culture and training practice, and sharpens monitoring, breach handling, and regulatory engagement.

Q3 What skills will I gain from the "Governance & Compliance" course?

You will develop four core skills: governance structure and accountability design, compliance framework and obligations management, compliance risk assessment and control design, and compliance monitoring, reporting, and regulatory engagement.



Q4 What tools, methods, or standards are covered in the "Governance & Compliance" course?

The course covers governance concepts, codes and regulatory expectations, board composition, committees and independence, accountability lines, delegations and decision rights, the three lines model and governance committee design, the policy hierarchy from strategy to procedures, compliance framework components and operating model, building and maintaining an obligations register, regulatory mapping and horizon scanning, regulatory change management, compliance roles, responsibilities and reporting lines, codes of conduct and policy architecture, compliance risk assessment methods and risk rating, mapping obligations to risks and controls, preventive, detective and corrective control design, compliance control matrices and control ownership, segregation of duties and approval controls, compliance risk appetite and tolerance statements, compliance culture, tone at the top and incentives, compliance training design, delivery and effectiveness testing, awareness campaigns and communication planning, conflicts of interest, gifts and declarations, speak-up channels and whistleblowing frameworks, behavioural risk indicators and culture surveys, compliance monitoring and testing programmes, compliance assurance mapping and audit coordination, breach handling, escalation and remediation tracking, compliance reporting, dashboards and management information, regulatory engagement, inspection handling and disclosure, and governance and compliance maturity assessment.



Q5 How is the "Governance & Compliance" course applied in real-world practice?

Participants apply it to real work such as building an obligations register for a case organisation, designing controls for high-risk obligations, carrying out a compliance risk assessment, drafting a policy architecture and attestation cycle, responding to a cultural and conduct concern, running a compliance monitoring review, handling a regulator meeting, and presenting a governance and compliance framework. The same methods support compliance programme reviews and maturity improvement.