

REGULATIONS AND CONTROL IN CORPORATE GOVERNANCE



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TRAINING CENTER



Introduction

Regulations and Control in Corporate Governance Training Course gives directors, compliance officers, and control professionals the frameworks that keep corporate conduct lawful, transparent, and defensible. Regulatory expectations continue to rise, and boards now face scrutiny over everything from disclosure quality to third-party conduct. This programme examines how regulation and internal control work together to shape corporate behaviour. It covers board duties, internal control design, compliance programmes, and reporting obligations. Furthermore, it connects international standards to practical boardroom decisions. In addition, participants work through enforcement scenarios and control failures. As a result, they can build governance systems that withstand regulatory review and protect stakeholder interests.

Regulations and Control in Corporate Governance Course Objectives

- Apply corporate governance codes and regulatory requirements to board practice.
- Define board and committee duties, independence, and disclosure obligations.
- Design internal control systems aligned with the COSO framework.
- Build compliance programmes with policies, training, and monitoring.
- Establish risk appetite statements and tolerance thresholds for the board.
- Conduct compliance risk assessments across business units and third parties.
- Strengthen whistleblowing channels and speak-up culture.
- Prepare accurate regulatory reporting and board disclosures.
- Manage conflicts of interest, related-party transactions, and insider risk.
- Measure governance and control maturity for continuous improvement.



Course Methodology

This course combines expert presentations, regulatory case analysis, and structured group work. Participants review governance codes and enforcement cases, design a compliance programme for a simulated company, and test control effectiveness through a walkthrough exercise. In addition, role-play supports board-level challenge and disclosure discussions. Templates, checklists, and peer review support immediate workplace application.

Who Should Take This Course

- Board members, directors, and company secretaries.
- Compliance officers and regulatory affairs managers.
- Internal auditors and risk management professionals.
- Legal counsel and corporate governance advisors.
- Finance, control, and assurance managers in regulated firms.

Regulations and Control in Corporate Governance Course Outlines

Day 1: Corporate Governance Regulation Foundations

- Governance codes, listing rules, and statutory duties.
- Board composition, independence, and committee structures.
- Directors' duties, liability, and fiduciary standards.
- Shareholder rights and general meeting obligations.
- Regulators, enforcement powers, and sanctions.
- Comparing international governance codes.

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- Case study: a governance enforcement action.

Day 2: Internal Control and Risk Oversight

- COSO internal control framework components.
- The three-lines model and assurance coordination.
- Control design, documentation, and testing methods.
- Risk registers and enterprise risk management basics.
- Board risk oversight and risk appetite statements.
- Control deficiency classification and remediation.
- Workshop: evaluating a control environment.

Day 3: Compliance Programmes and Regulatory Obligations

- Elements of an effective compliance programme.
- Policies, codes of conduct, and training design.
- Compliance risk assessment methodology.
- Third-party and supply chain compliance screening.
- Sanctions, anti-bribery, and AML obligations overview.
- Monitoring, testing, and compliance reporting.
- Exercise: building a compliance programme.

Day 4: Integrity, Disclosure, and Reporting

- Conflict-of-interest and related-party transaction controls.
- Insider trading rules and information barriers.
- Whistleblowing channels and speak-up culture.



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- Disclosure controls and financial reporting integrity.
- Regulatory filings and board reporting packs.
- Handling investigations and regulatory inquiries.
- Simulation: a board disclosure discussion.

Day 5: Assurance, Maturity, and Continuous Improvement

- Governance and compliance maturity models.
- Internal audit's role and audit committee oversight.
- Combined assurance mapping.
- Remediation tracking and lessons learned.
- Regulatory change management.
- Building a governance culture and tone at the top.
- Action planning for control enhancement.

Conclusion

By successfully completing the Regulations and Control in Corporate Governance Training Course, participants will have acquired the knowledge to apply governance codes, design COSO-based internal controls, and run effective compliance programmes. They will understand how risk appetite, disclosure controls, and whistleblowing systems strengthen board accountability and regulatory standing. As a result, they can raise governance and control maturity within their organisations. Gentex Training Center delivers this programme with practical tools participants apply directly in board, compliance, and audit roles.





FAQs for the Regulations and Control in Corporate Governance course

Q1 What is the "Regulations and Control in Corporate Governance" course about?

It explains how regulation and internal control shape corporate governance in practice. The course covers board duties, governance codes, COSO-based control design, compliance programmes, disclosure obligations, and assurance arrangements, so participants can keep their organisations compliant and defensible under regulatory scrutiny.

Q2 What are the key benefits of the "Regulations and Control in Corporate Governance" course?

Participants gain a clear method for turning regulatory requirements into workable board and control practices. The course reduces enforcement and liability exposure, strengthens board oversight and disclosure quality, and builds compliance programmes that detect problems early instead of surfacing them during an investigation.

Q3 What skills will I gain from the "Regulations and Control in Corporate Governance" course?

Participants develop corporate governance regulation application, internal control design and risk oversight, compliance programme development and monitoring, and integrity, disclosure, and reporting management. These four skills form the core capability set the course reinforces through its exercises.



Q4 What tools, methods, or standards are covered in the "Regulations and Control in Corporate Governance" course?

The course covers corporate governance codes and listing rules, the COSO internal control framework, the three-lines model, enterprise risk management and risk registers, risk appetite statements and tolerance thresholds, compliance risk assessment methodology, codes of conduct, conflict-of-interest and related-party transaction registers, disclosure controls, whistleblowing channel design, combined assurance mapping, and governance maturity models.

Q5 How is the "Regulations and Control in Corporate Governance" course applied in real-world practice?

Professionals apply it by mapping regulatory obligations to board procedures, documenting and testing controls, screening third parties for compliance risk, and preparing disclosure and regulatory filings. They also run whistleblowing and investigation processes, track remediation actions, and report control effectiveness to audit committees.