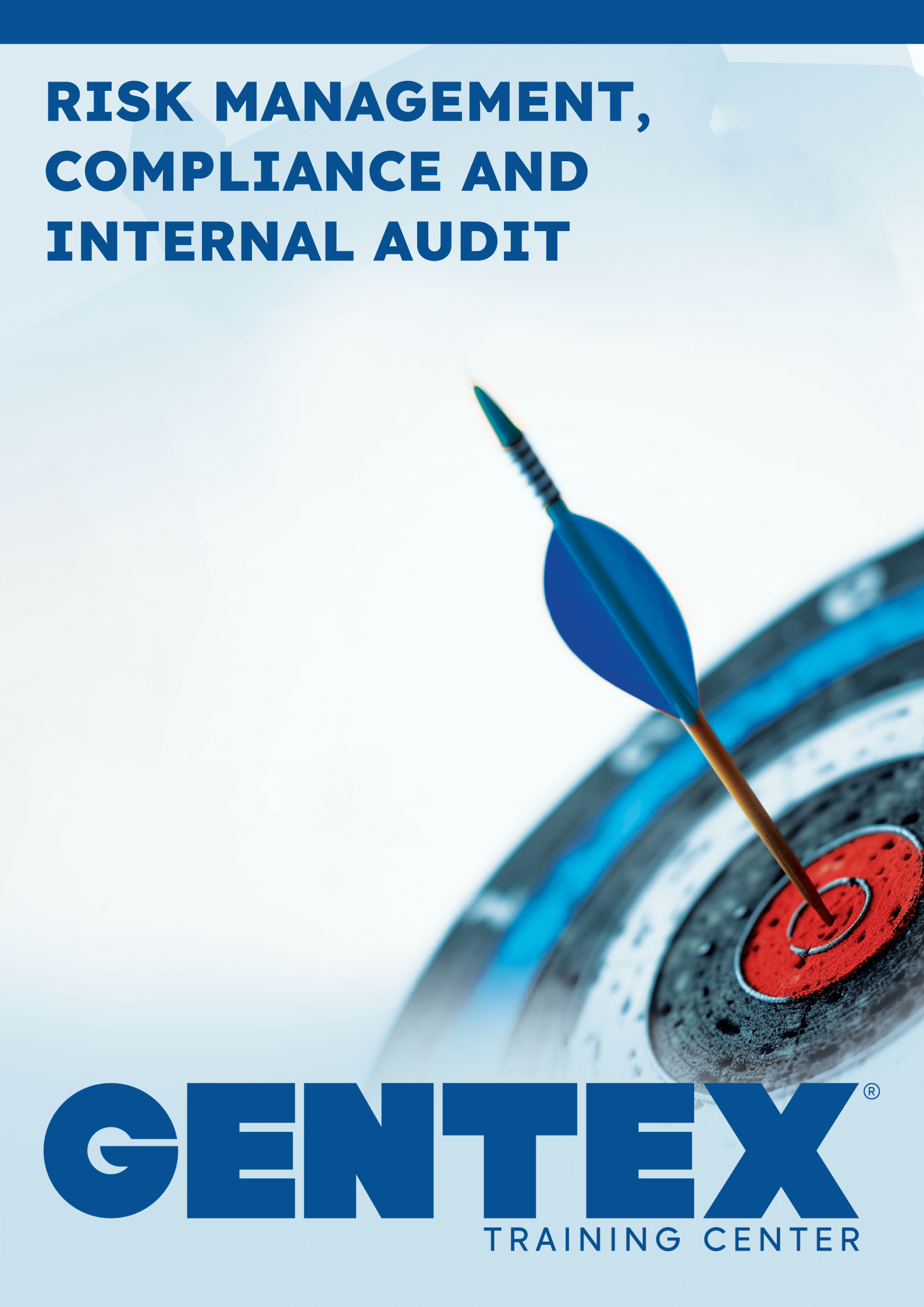
RISK MANAGEMENT, COMPLIANCE AND INTERNAL AUDIT



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Introduction

Risk Management, Compliance and Internal Audit Training Course brings three assurance disciplines into one working model. Participants work through risk frameworks and appetite, compliance obligations and controls, internal audit planning and fieldwork, the three lines model, combined assurance, and board reporting as one connected system. The programme links the risks an organization carries with the controls that manage them and the independent assurance that confirms they work. As a result, learners gain an integrated governance view. Furthermore, the course strengthens risk judgement, audit technique, and assurance coordination.

Risk Management, Compliance and Internal Audit Course Objectives

- Explain the three lines model and the boundaries between them.
- Apply enterprise risk management using ISO 31000 and COSO ERM.
- Conduct risk assessment and maintain a risk register with owners.
- Apply risk appetite, tolerance, and key risk indicator practice.
- Identify compliance obligations and map them to controls.
- Design compliance monitoring, testing, and breach handling.
- Apply the IIA International Standards to internal audit practice.
- Build risk-based audit plans, programmes, and working papers.
- Apply evidence standards, findings development, and reporting.
- Apply combined assurance, follow-up, and board reporting practice.

Course Methodology

- Interactive sessions built on integrated risk, compliance, and audit cases.

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- Workshops on risk registers, obligation mapping, and audit programmes.
- Group exercises on control testing, findings development, and assurance mapping.
- Hands-on practice with risk registers, audit programmes, and assurance maps.
- Simulation of an audit committee review and a combined assurance discussion.
- Facilitator coaching and peer review on personal assurance plans.

Who Should Take This Course

- Risk managers and enterprise risk professionals.
- Compliance officers and regulatory affairs staff.
- Internal auditors, audit managers, and audit supervisors.
- Governance and internal control professionals.
- Finance and operations managers with control responsibilities.
- Consultants advising on GRC and assurance frameworks.

Risk Management, Compliance and Internal Audit Course Outlines

Day 1: Governance and the Three Lines Model

- Governance structures and accountability for risk and control.
- The three lines model and assurance boundaries.
- Roles of the board, audit committee, and executive management.
- Risk appetite, tolerance, and escalation thresholds.
- Ethics, culture, and tone from the top.
- Coordination between risk, compliance, and audit.
- Case discussion: three functions that worked in isolation.

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Day 2: Enterprise Risk Management

- Risk concepts: threat, opportunity, and uncertainty.
- ISO 31000 principles, framework, and process.
- COSO enterprise risk management framework.
- Risk identification techniques and risk registers.
- Risk analysis, evaluation, and treatment options.
- Key risk indicators and risk reporting.
- Workshop: building and reviewing a risk register.

Day 3: Compliance Obligations and Controls

- Regulatory obligation mapping and control mapping.
- Compliance risk assessment methodology and scoring.
- Policy architecture, procedures, and control points.
- Compliance monitoring, testing, and evidence standards.
- Transaction monitoring and compliance dashboards.
- Breach handling, remediation, and regulator notification.
- Exercise: mapping an obligation to controls and evidence.

Day 4: Internal Audit Practice

- The IIA International Standards and Code of Ethics.
- Risk-based audit planning and the audit universe.
- Engagement planning, audit programmes, and sampling.
- Tests of controls and substantive testing.
- Working papers, evidence sufficiency, and documentation.

- Findings development and root cause analysis.
- Simulation: planning and executing an audit engagement.

Day 5: Combined Assurance, Reporting, and Follow-Up

- Assurance mapping across the three lines.
- Reliance on compliance monitoring and risk reporting by audit.
- Audit reports, ratings, and management responses.
- Follow-up, issue tracking, and closure validation.
- Combined reporting to the audit committee and board.
- Measuring assurance maturity and continuous improvement.
- Capstone: presenting an integrated risk, compliance, and audit plan.

Conclusion

By successfully completing Risk Management, Compliance and Internal Audit, participants will gain a practical command of the three lines model, enterprise risk management, compliance obligation mapping, internal audit practice, combined assurance, and board reporting. They will acquire skills in risk assessment, control mapping, audit execution, and assurance coordination that strengthen governance across the organization. Gentex Training Center designs the programme to help professionals integrate risk, compliance, and audit with confidence.

FAQs

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Q1 What is the "Risk Management, Compliance and Internal Audit" course about?

It brings three assurance disciplines into one working model. The course spans governance and the three lines model, enterprise risk management, compliance obligations and controls, internal audit practice, and combined assurance, reporting and follow-up.

Q2 What are the key benefits of the "Risk Management, Compliance and Internal Audit" course?

You gain an integrated governance view that links the risks an organization carries with the controls that manage them and the assurance that confirms they work. The course improves risk assessment and control mapping, strengthens audit planning and fieldwork, sharpens compliance monitoring and breach handling, and gives you combined assurance and board reporting that reduce duplication.

Q3 What skills will I gain from the "Risk Management, Compliance and Internal Audit" course?

You will develop four core skills: enterprise risk assessment using ISO 31000 and COSO ERM, compliance obligation mapping with monitoring and control testing, risk-based internal audit execution with findings development, and combined assurance with follow-up and board reporting.

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Q4 What tools, methods, or standards are covered in the "Risk Management, Compliance and Internal Audit" course?

The course covers governance structures and accountability for risk and control, the three lines model and assurance boundaries, board and audit committee and executive roles, risk appetite and tolerance and escalation thresholds, ethics and culture and tone from the top, coordination between risk, compliance and audit, risk concepts of threat, opportunity and uncertainty, ISO 31000 principles, framework and process, the COSO enterprise risk management framework, risk identification techniques and risk registers, risk analysis and evaluation and treatment options, key risk indicators and risk reporting, regulatory obligation mapping and control mapping, compliance risk assessment methodology and scoring, policy architecture and procedures and control points, compliance monitoring and testing and evidence standards, transaction monitoring and compliance dashboards, breach handling and remediation and regulator notification, the IIA International Standards for the Professional Practice of Internal Auditing and the Code of Ethics, risk-based audit planning and the audit universe, engagement planning and audit programmes and sampling, tests of controls and substantive testing, working papers and evidence sufficiency and documentation, findings development and root cause analysis, assurance mapping across the three lines, reliance on compliance monitoring and risk reporting, audit reports and ratings and management responses, follow-up and issue tracking and closure validation, combined reporting to the audit committee and board, and assurance maturity measurement.

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Q5 How is the "Risk Management, Compliance and Internal Audit" course applied in real-world practice?

Participants apply it to real work such as building a risk register with owners, mapping a regulatory obligation to controls and evidence, designing a compliance monitoring test, planning a risk-based audit engagement, developing audit findings with root causes, and preparing a combined assurance map for an audit committee. The same methods support follow-up tracking and board reporting.