STATUTORY, LEGAL AND COMPLIANCE REQUIREMENTS



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Introduction

This Training Course examines the statutory, legal, and compliance obligations that organizations must meet across their operations. It covers the regulatory landscape, obligation registers, control design, monitoring, and reporting duties. Participants study legal risk assessment, licensing and permitting, data and reporting requirements, and audit readiness. Furthermore, the programme connects statutory text to operating practice through control mapping and case review. As a result, delegates leave able to build compliance frameworks that satisfy regulators, auditors, and boards.

Statutory, Legal and Compliance Requirements Course Objectives

- Identify the sources of statutory, legal, and regulatory obligations.
- Build obligation registers and regulatory mapping frameworks.
- Apply the compliance risk assessment methodology.
- Design controls that meet statutory requirements.
- Manage licensing, permits, and authorisation conditions.
- Apply reporting, notification, and record-keeping duties.
- Manage data protection and confidentiality obligations.
- Apply anti-bribery, sanctions, and financial crime requirements.
- Handle audits, inspections, and regulator information requests.
- Build compliance governance, monitoring, and assurance frameworks.

Course Methodology

- Interactive workshops using real regulatory and audit cases.
- Structured obligation mapping and register building exercises.

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- Control design and control testing labs.
- Guided review of audit findings and remediation plans.
- Case analysis of enforcement actions and penalties.
- Action planning that converts each session into a workplace commitment.

Who Should Take This Course

- Compliance officers and regulatory affairs staff.
- Legal counsel and in-house lawyers.
- Risk managers and internal control specialists.
- Internal audit and assurance professionals.
- Operations and business unit managers.
- Company secretaries and governance officers.
- Public sector and regulated entity staff.

Statutory, Legal and Compliance Requirements Course Outlines

Day 1: Regulatory Landscape and Obligation Sources

- Sources of obligations: statutes, regulations, licences, and standards.
- Regulators, supervisory bodies, and their enforcement powers.
- Sector-specific regimes and cross-border considerations.
- Hierarchy of obligations and conflict resolution.
- Regulatory change management and horizon scanning.
- Compliance obligation registers and ownership.
- Compliance culture and tone from the top.

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Day 2: Compliance Risk Assessment

- Compliance risk taxonomy and inherent risk identification.
- Risk assessment methodology and scoring.
- Compliance risk appetite and tolerance setting.
- Control design, mapping, and effectiveness testing.
- Residual risk assessment and remediation.
- Key compliance indicators and KRIs.
- Reporting compliance risk to management and the board.

Day 3: Licensing, Permits, and Operating Conditions

- Licensing regimes and permission requirements.
- Application, variation, and renewal procedures.
- Conditions of authorisation and ongoing obligations.
- Fit and proper person assessments.
- Notifications, approvals, and regulatory filings.
- Operating restrictions and permitted activities.
- Passporting and cross-border authorisations.

Day 4: Reporting, Data, and Financial Crime Duties

- Statutory reporting and filing obligations.
- Data protection and privacy compliance requirements.
- Record keeping, retention, and access rights.
- Anti-money laundering and customer due diligence duties.
- Anti-bribery standards: FCPA and UK Bribery Act 2010.

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- Sanctions screening and denied party obligations.
- Whistleblowing channels and non-retaliation safeguards.

Day 5: Audit, Enforcement, and Compliance Governance

- Preparing for regulatory inspections and audits.
- Responding to information requests and enquiries.
- Findings, breach handling, and remediation plans.
- Penalties, sanctions, and enforcement routes.
- Compliance monitoring plans and assurance mapping.
- Reporting compliance performance to the board.
- Personal action plan and continuous improvement.

Conclusion

By successfully completing Statutory, Legal and Compliance Requirements, participants will have acquired a practical command of obligation mapping, compliance risk assessment, control design, and reporting duties. They will know how to build obligation registers, meet licensing and data obligations, and respond to audits and regulatory enquiries properly. In addition, the course prepares delegates to report compliance performance credibly to boards and regulators. As a result, they return to work ready to strengthen compliance frameworks across the organization. Gentex Training Center delivers this Training Course with a practical, standards-based approach.

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FAQs for the Statutory, Legal and Compliance Requirements course

Q1 What is the "Statutory, Legal and Compliance Requirements" course about?

It is a five-day programme that explains the statutory, legal, and regulatory obligations organizations must meet. It covers the regulatory landscape, obligation registers, compliance risk assessment, controls, licensing, reporting duties, financial crime compliance, audits, and compliance governance.

Q2 What are the key benefits of the "Statutory, Legal and Compliance Requirements" course?

Participants gain the ability to map obligations accurately, assess and control compliance risk, and handle inspections and regulator requests without surprises. They also learn to meet licensing, data, and financial crime duties properly and to report compliance performance credibly to leadership.

Q3 What skills will I gain from the "Statutory, Legal and Compliance Requirements" course?

Statutory obligation mapping and register development, compliance risk assessment with control design and testing, licensing, permitting, and reporting duty management, and audit, enforcement, and compliance governance administration.

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Q4 What tools, methods, or standards are covered in the "Statutory, Legal and Compliance Requirements" course?

The course covers regulatory obligation registers and mapping frameworks, compliance risk assessment methodologies with scoring models, risk appetite and tolerance frameworks, control design and control effectiveness testing, key compliance indicators and KRIs, licensing and authorisation procedure frameworks, fit and proper person assessment criteria, statutory reporting and filing obligations, data protection and record retention standards, AML and customer due diligence requirements, the FCPA and UK Bribery Act 2010, sanctions and denied party screening lists, whistleblowing channel design, and compliance monitoring and assurance mapping methods.

Q5 How is the "Statutory, Legal and Compliance Requirements" course applied in real-world practice?

Delegates apply it through obligation registers, compliance policies and procedures, control matrices, risk assessments, licensing applications and renewals, regulatory filings, due diligence files, sanctions screening records, inspection response packs, remediation trackers, and compliance reports to the board. They also use it to prepare audit-ready compliance files and to design compliance training.