

# Compliance Risk Management

Compliance, AML & Financial Crime · Banking & Finance · 5 Days · Classroom

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## OVERVIEW

Compliance Risk Management is a comprehensive professional training course designed to equip banking and financial professionals with the knowledge, strategic perspective, and practical skills required to identify, assess, monitor, and mitigate compliance risks across financial institutions. As regulatory frameworks continue to evolve, supervisory expectations become more demanding, and financial services grow increasingly complex, effective Compliance Risk Management has become essential for protecting organizations from regulatory breaches, legal liabilities, financial penalties, reputational damage, and operational disruptions while supporting sustainable business growth.

This course provides participants with a structured understanding of internationally recognized Compliance Risk Management frameworks and industry best practices. Participants will explore the principles of regulatory compliance, risk-based compliance methodologies, governance structures, regulatory obligations, compliance monitoring, compliance assurance, and organizational accountability. The program emphasizes how effective compliance risk management strengthens corporate governance, enhances operational resilience, supports ethical business conduct, and contributes to long-term organizational success.

The program also examines the essential components of a robust compliance framework, including compliance risk assessments, regulatory change management, policy development, internal controls, compliance monitoring programs, compliance reporting, issue management, corrective action planning, Key Risk Indicators (KRIs), compliance culture, and independent assurance. Participants will gain practical knowledge of integrating Compliance Risk Management with Enterprise Risk Management (ERM), Operational Risk Management, Internal Audit, Anti-Money Laundering (AML), Financial Crime Risk Management, and corporate governance frameworks.

Through practical case studies, regulatory scenarios, and interactive workshops, participants will strengthen their ability to evaluate compliance risks, improve governance structures, enhance internal controls, prepare executive reports, and support regulatory examinations. By the end of the course, participants will be equipped to strengthen compliance programs, improve regulatory readiness, reduce compliance risks, enhance organizational resilience, and support sustainable business performance through effective Compliance Risk Management.

## OBJECTIVES

- Analyze Compliance Risk Management principles and evaluate their implementation within banking and financial institutions by the end of the course.
- Develop comprehensive risk-based methodologies for identifying, assessing, monitoring, and mitigating compliance risks across organizational activities.
- Evaluate regulatory obligations and assess their impact on banking operations, products, services, and business processes.

- Apply internationally recognized compliance frameworks, governance principles, and regulatory best practices to strengthen organizational compliance.
- Design effective compliance policies, procedures, and internal controls that support regulatory compliance and operational excellence.
- Improve compliance monitoring programs through the implementation of Key Risk Indicators (KRIs), compliance dashboards, and performance measurement tools.
- Strengthen governance structures by defining clear compliance responsibilities, reporting lines, and oversight mechanisms.
- Implement compliance risk assessments, regulatory reporting processes, issue management procedures, and corrective action frameworks.
- Assess emerging compliance risks associated with digital banking, financial technology, artificial intelligence, data protection, and evolving regulatory environments.
- Align Compliance Risk Management practices with Enterprise Risk Management, Operational Risk Management, corporate governance, and strategic business objectives before course completion.

## **WHO SHOULD ATTEND**

This course is designed for Compliance Managers, Compliance Risk Managers, Enterprise Risk Managers, Operational Risk Managers, Internal Audit Managers, Internal Control Managers, Governance Managers, Regulatory Affairs Managers, Legal Managers, Banking Operations Managers, Financial Crime Risk Managers, AML Managers, Quality Managers, Compliance Analysts, Risk Analysts, Policy and Procedure Specialists, and professionals responsible for regulatory compliance within banks and financial institutions.

The program is equally valuable for Chief Compliance Officers, Chief Risk Officers, Chief Audit Executives, Executive Management Teams, Board Risk Committee members, Audit Committee members, Chief Legal Officers, Finance Managers, Treasury Managers, Digital Banking Managers, FinTech Compliance Specialists, Central Bank Professionals, Financial Regulators, Insurance Companies, Investment Firms, Payment Service Providers, and senior decision-makers responsible for governance, regulatory compliance, enterprise risk management, and organizational resilience.

## **LEARNING OUTCOMES**

- By the end of this course, participants will be able to:
- Develop an integrated Compliance Risk Management framework aligned with international regulatory standards and industry best practices.
- Identify, assess, prioritize, and manage compliance risks affecting banking and financial institutions.
- Apply risk-based compliance assessment methodologies to regulatory obligations, business activities, and operational processes.
- Design effective compliance policies, procedures, governance structures, and internal control frameworks.
- Develop compliance monitoring programs using Key Risk Indicators (KRIs), compliance dashboards, and performance metrics.
- Prepare executive compliance reports, regulatory submissions, and governance updates for senior management and boards.
- Integrate Compliance Risk Management with Enterprise Risk Management, Operational Risk Management, Internal Audit, and Financial Crime Risk Management frameworks.

- Evaluate regulatory changes and implement structured regulatory change management processes.
- Assess emerging compliance risks associated with digital banking, financial technology, artificial intelligence, and evolving supervisory expectations.
- Develop a practical implementation roadmap to strengthen Compliance Risk Management, regulatory compliance, governance effectiveness, operational resilience, and sustainable organizational performance.

## **COURSE OUTLINE**

1. Course Outline:
2. Day 1: Foundations of Compliance Risk Management
3. Foundations of Compliance Risk Management
4. Principles and objectives of Compliance Risk Management
5. International regulatory frameworks and industry standards
6. Compliance governance and organizational responsibilities
7. Risk-based compliance management methodology
8. Practical application: Conducting a compliance risk assessment within a financial institution
9. Day 2: Compliance Risk Assessment and Regulatory Obligations
10. Compliance Risk Assessment and Regulatory Obligations
11. Compliance risk identification and assessment methodologies
12. Regulatory obligations and compliance registers
13. Regulatory change management
14. Compliance risk prioritization and treatment strategies
15. Practical application: Developing a comprehensive compliance risk register
16. Day 3: Compliance Controls, Monitoring, and Reporting
17. Compliance Controls, Monitoring, and Reporting
18. Compliance policies, procedures, and internal controls
19. Compliance monitoring and testing programs
20. Key Risk Indicators (KRIs) and compliance performance measurement
21. Regulatory reporting and management information
22. Practical application: Designing compliance monitoring programs and executive reporting dashboards
23. Day 4: Governance, Assurance, and Emerging Compliance Risks
24. Governance, Assurance, and Emerging Compliance Risks
25. Compliance governance and organizational culture
26. Integration with Enterprise Risk Management and Internal Audit
27. Compliance risks in digital banking, FinTech, artificial intelligence, and data protection
28. Independent assurance and continuous compliance improvement
29. Practical application: Evaluating compliance program effectiveness and recommending governance enhancements
30. Day 5: Building a High-Performance Compliance Risk Management Framework
31. Building a High-Performance Compliance Risk Management Framework
32. Integrating Compliance Risk Management with strategic business objectives
33. International best practices and evolving regulatory expectations
34. Continuous improvement of compliance management systems
35. Performance measurement and executive oversight
36. Final workshop: Developing a comprehensive Compliance Risk Management implementation

plan that includes compliance risk assessments, regulatory obligation management, policy development, internal control enhancements, compliance monitoring, governance improvements, executive reporting, regulatory change management, performance measurement, and continuous improvement initiatives to strengthen regulatory compliance, organizational resilience, governance effectiveness, and sustainable business performance.

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### **Register or Request More Information**

Course page: <http://localhost:3000/courses/compliance-risk-management>

Website: <http://localhost:3000>

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