

Course No. 1044

Compliance Risk Management

COMPLIANCE, AML & FINANCIAL CRIME
FINANCE, INVESTMENT & BANKING

DURATION

5 Days

LOCATION

Vienna, Austria

DELIVERY

Classroom

DATES

30 Nov – 4 Dec 2026



Scheduled Event Details

CITY	Vienna, Austria
DATE	30 Nov – 4 Dec 2026
DELIVERY TYPE	Classroom
COURSE FEE	€5,700

Course 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

DAY 01

Foundations of Compliance Risk Management

- Principles and objectives of Compliance Risk Management
- International regulatory frameworks and industry standards
- Compliance governance and organizational responsibilities
- Risk-based compliance management methodology

PRACTICAL APPLICATION

Conducting a compliance risk assessment within a financial institution

DAY 02

Compliance Risk Assessment and Regulatory Obligations

- Compliance risk identification and assessment methodologies
- Regulatory obligations and compliance registers
- Regulatory change management
- Compliance risk prioritization and treatment strategies

PRACTICAL APPLICATION

Developing a comprehensive compliance risk register

DAY 03

Compliance Controls, Monitoring, and Reporting

- Compliance policies, procedures, and internal controls
- Compliance monitoring and testing programs
- Key Risk Indicators (KRIs) and compliance performance measurement
- Regulatory reporting and management information

DAY 03 — CONTINUED

PRACTICAL APPLICATION

Designing compliance monitoring programs and executive reporting dashboards

DAY 04**Governance, Assurance, and Emerging Compliance Risks**

- Compliance governance and organizational culture
- Integration with Enterprise Risk Management and Internal Audit
- Compliance risks in digital banking, FinTech, artificial intelligence, and data protection
- Independent assurance and continuous compliance improvement

PRACTICAL APPLICATION

Evaluating compliance program effectiveness and recommending governance enhancements

DAY 05**Building a High-Performance Compliance Risk Management Framework**

- Integrating Compliance Risk Management with strategic business objectives
- International best practices and evolving regulatory expectations
- Continuous improvement of compliance management systems
- Performance measurement and executive oversight

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.



Register or Request More Information

Course page: <https://quest-training.com/courses/compliance-risk-management>

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