

Course No. 1420

Conduct Risk & Compliance Culture Training Course

**COMPLIANCE, AML & FINANCIAL CRIME
FINANCE, INVESTMENT & BANKING**

DURATION

5 Days

DELIVERY

Classroom



Course Overview

In today's increasingly regulated and stakeholder-driven business environment, organizations are expected not only to comply with laws and regulations but also to foster ethical behavior, accountability, and integrity across all levels of the organization. Regulatory authorities, investors, customers, and the public increasingly recognize that organizational culture and employee behavior play a critical role in determining whether compliance programs are effective and sustainable.

Conduct risk refers to the risk that an organization's actions, decisions, behaviors, or business practices may lead to poor outcomes for customers, employees, stakeholders, or the organization itself. Weak conduct management can result in regulatory breaches, financial losses, reputational damage, operational disruptions, and a loss of stakeholder trust. As a result, conduct risk management and compliance culture have become strategic priorities for organizations across both the public and private sectors.

The Conduct Risk & Compliance Culture Training Course provides participants with a comprehensive understanding of the drivers, indicators, and consequences of conduct risk. The course explores how organizations can identify, assess, monitor, and manage behavioral risks while creating a culture that promotes ethical decision-making, regulatory compliance, and responsible business conduct.

Participants will examine the relationship between organizational culture, governance, leadership, incentives, accountability, and compliance performance. The course also highlights practical approaches for embedding compliance values into everyday operations, measuring culture effectiveness, strengthening employee engagement, and ensuring that conduct expectations are consistently applied throughout the organization.

Through practical case studies, interactive discussions, self-assessment exercises, and implementation-focused workshops, participants will gain the knowledge and tools necessary to strengthen compliance culture, manage conduct risks proactively, and support long-term organizational performance, resilience, and regulatory confidence.

Objectives

- Analyze the key drivers and organizational impacts of conduct risk within regulated and non-regulated environments.
- Evaluate the effectiveness of existing compliance culture frameworks and behavioral risk controls.
- Apply conduct risk assessment methodologies to identify behavioral vulnerabilities across business functions.
- Develop strategies to strengthen ethical behavior and compliance culture throughout the organization.
- Design conduct risk management frameworks aligned with governance and compliance objectives.
- Implement practical initiatives that promote accountability, integrity, and responsible decision-making.
- Assess the influence of leadership, incentives, and organizational structures on employee behavior.
- Improve reporting and escalation mechanisms related to misconduct and compliance concerns.
- Strengthen management capabilities in identifying and addressing conduct-related risks.
- Align compliance culture initiatives with organizational values, objectives, and regulatory expectations.
- Develop action plans for enhancing conduct risk oversight and cultural maturity.
- Evaluate organizational readiness for sustaining a strong and effective compliance culture.

Who Should Attend

This course is designed for compliance officers, governance professionals, risk managers, internal auditors, legal and regulatory specialists, ethics officers, and professionals responsible for compliance oversight, conduct risk management, and organizational integrity programs.

The program is highly beneficial for executives, senior managers, department heads, board members, human resources professionals, organizational development specialists, employee relations managers, and leaders responsible for shaping workplace culture, employee conduct, and ethical performance.

It is also suitable for professionals working in government entities, ministries, regulatory authorities, public sector organizations, banks and financial institutions, oil and gas companies, multinational corporations, and large organizations seeking to strengthen compliance culture, improve employee accountability, and manage conduct-related risks more effectively.

Learning Outcomes

- By the end of this course, participants will be able to:
- Explain the concept, significance, and impact of conduct risk on organizational performance.
- Identify behavioral and cultural factors that contribute to conduct-related risks.
- Assess the effectiveness of compliance culture within an organization.
- Conduct structured conduct risk assessments using practical evaluation techniques.
- Develop initiatives that promote ethical conduct and regulatory compliance.
- Design conduct risk indicators and culture measurement frameworks.
- Implement mechanisms for monitoring and managing conduct-related issues.
- Strengthen leadership involvement in promoting a culture of compliance.
- Improve whistleblowing, reporting, and misconduct management processes.
- Integrate conduct risk management into governance and enterprise risk management frameworks.
- Develop communication and awareness programs that reinforce compliance expectations.
- Create practical action plans to improve organizational culture and conduct risk management.

Course Outline

DAY 01

Foundations of Conduct Risk and Compliance Culture

- Understanding conduct risk and its organizational impact
- Regulatory expectations regarding conduct and culture
- The relationship between conduct risk, governance, and compliance
- Organizational culture and its influence on business behavior

DAY 01 — CONTINUED

PRACTICAL DISCUSSION

Conduct risk challenges and lessons learned

DAY 02**Drivers of Conduct Risk and Behavioral Influences**

- Leadership influence on organizational behavior
- Incentives, performance management, and employee conduct
- Ethical decision-making and professional responsibility
- Behavioral risk indicators and early warning signs

PRACTICAL APPLICATION

Identifying conduct risk drivers within the organization

DAY 03**Assessing and Measuring Conduct Risk**

- Conduct risk assessment methodologies
- Compliance culture assessment techniques
- Conduct risk indicators and key performance measures
- Data collection, analysis, and behavioral monitoring

PRACTICAL WORKSHOP

Conduct risk assessment and culture evaluation

DAY 04**Building and Strengthening a Compliance Culture**

- Developing a sustainable compliance culture framework
- Communication, awareness, and employee engagement strategies
- Managing misconduct, investigations, and disciplinary processes

DAY 04 — CONTINUED

- Encouraging transparency, accountability, and ethical behavior

PRACTICAL EXERCISE

Designing a compliance culture enhancement initiative

DAY 05

Sustaining Conduct Risk Management and Cultural Excellence

- Integrating conduct risk into governance and enterprise risk management
- Continuous improvement of compliance culture programs
- Monitoring cultural effectiveness and behavioral outcomes
- International best practices in conduct risk management

FINAL WORKSHOP

Developing a conduct risk and compliance culture action plan

Register or Request More Information

Course page: <https://quest-training.com/courses/conduct-risk-compliance-culture-training-course>

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