QUEST
Professional Center

PROFESSIONAL TRAINING COURSE

Course No. 1617

Regulatory Compliance & Corporate Compliance Management

LEGAL, CONTRACTS & COMPLIANCE
OIL & GAS

DURATION
5 Days

DELIVERY
Classroom

Course Overview

Regulatory Compliance & Corporate Compliance Management is a comprehensive professional training course designed to strengthen an organization's ability to understand, implement, monitor, and continuously improve its compliance framework. In an increasingly regulated business environment, organizations across government, banking, financial services, oil and gas, and large corporations must manage a wide range of legal, regulatory, ethical, and internal policy requirements while maintaining operational efficiency and business continuity. This course provides a structured approach to building effective corporate compliance practices that support sound governance, accountability, and responsible decision-making.

The course examines the principles and practical mechanisms of regulatory compliance, corporate compliance management, compliance risk assessment, regulatory obligations, internal controls, policies and procedures, monitoring, reporting, investigations, and corrective actions. Participants will explore how compliance requirements can be translated into clear organizational controls and responsibilities, enabling management teams and compliance professionals to identify potential exposures before they develop into significant operational, financial, legal, or reputational issues.

A key focus of the Regulatory Compliance & Corporate Compliance Management course is the integration of compliance into organizational decision-making and daily operations. Rather than treating compliance as a standalone administrative function, participants will learn how to establish clear governance structures, define accountability, strengthen the three lines model, coordinate with legal, risk, audit, finance, human resources, procurement, operations, and other functions, and create practical mechanisms for embedding compliance into business processes.

The course also addresses contemporary compliance challenges, including regulatory change management, compliance monitoring, regulatory reporting, conflicts of interest, corporate ethics, third-party compliance, whistleblowing, investigations, documentation, and management reporting. Through practical exercises and workplace-oriented case discussions, participants will develop the ability to evaluate existing compliance arrangements and identify opportunities to improve organizational resilience and regulatory readiness.

Objectives

- Analyze the fundamental principles of regulatory compliance and corporate compliance management and relate them to organizational governance, accountability, and business objectives.
- Develop a structured compliance management approach that clearly defines regulatory obligations, ownership, responsibilities, controls, monitoring activities, and escalation mechanisms.
- Assess regulatory and compliance risks using practical risk-based methodologies and prioritize areas requiring management attention and corrective action.
- Evaluate the effectiveness of existing compliance policies, procedures, internal controls, and governance arrangements against identified regulatory and organizational requirements.
- Apply compliance obligation mapping techniques to identify relevant laws, regulations, standards, contractual requirements, and internal policies affecting business activities.
- Design practical compliance monitoring and testing activities capable of identifying control weaknesses, non-compliance, recurring issues, and emerging regulatory risks.
- Improve the management of regulatory change by establishing processes for identifying, assessing, communicating, and implementing new or amended requirements.
- Strengthen compliance reporting by developing meaningful management information, escalation processes, compliance indicators, and actionable reporting mechanisms.
- Implement effective approaches for managing compliance incidents, investigations, breaches, corrective actions, and follow-up activities.
- Align compliance management with enterprise risk management, internal audit, corporate governance, ethics, and operational control frameworks.
- Design practical initiatives that strengthen compliance culture, employee awareness, accountability, and ethical decision-making across organizational functions.

Who Should Attend

This course is designed for compliance professionals, compliance officers, regulatory affairs specialists, legal and governance professionals, risk managers, internal control specialists, internal auditors, ethics and integrity officers, and professionals responsible for monitoring regulatory obligations. It is particularly relevant to managers and specialists working in compliance, legal affairs, risk management, corporate governance, internal audit, finance, procurement, human resources, operations, quality, and business assurance.

The program is also suitable for executives, department heads, senior managers, directors, and decision makers who have responsibility for regulatory exposure, organizational governance, risk oversight, operational controls, or corporate accountability. It is highly relevant to professionals in ministries, government entities, public sector organizations, banks, financial institutions, oil and gas companies, multinational organizations, and regulated industries seeking to strengthen their corporate compliance management capabilities.

Learning Outcomes

- Explain the relationship between regulatory compliance, corporate governance, enterprise risk management, internal controls, and organizational performance.
- Identify and categorize regulatory, legal, contractual, ethical, and internal compliance obligations relevant to specific organizational activities.
- Construct a practical compliance obligations register and establish clear ownership for key regulatory requirements.
- Assess compliance risks using risk-based criteria and prioritize risks according to potential impact, likelihood, control effectiveness, and management significance.
- Evaluate compliance policies and procedures and identify gaps between documented requirements and actual operational practices.
- Develop compliance monitoring plans that define scope, frequency, testing methods, evidence requirements, responsibilities, and reporting processes.
- Analyze regulatory changes and determine their potential impact on policies, processes, systems, controls, employees, and business activities.
- Prepare concise compliance reports that communicate key risks, incidents, trends, control weaknesses, corrective actions, and management priorities.
- Apply structured approaches to managing compliance breaches, investigations, root-cause analysis, remediation, and follow-up verification.
- Strengthen coordination between compliance, legal, risk, audit, human resources, procurement, finance, and operational functions.
- Develop practical initiatives for improving compliance awareness, ethical behavior, accountability, and organizational compliance culture.
- Produce a workplace-oriented compliance improvement action plan with defined priorities, responsibilities, milestones, and performance measures.

Course Outline

DAY 01

Foundations of Regulatory Compliance and Corporate Compliance Management

- Principles, purpose, and strategic value of regulatory compliance
- Regulatory compliance versus corporate compliance, governance, risk, and internal control
- The compliance function, responsibilities, authority, and organizational positioning
- Roles of executives, boards, management, compliance officers, legal, risk, audit, and business functions
- The three lines model and coordination between assurance and control functions
- Regulatory obligations, internal policies, codes of conduct, and organizational standards
- Building an effective compliance culture and management accountability

> **PRACTICAL APPLICATION**
>
> Assessing the current compliance structure of a representative organization

DAY 02

Compliance Risk Assessment, Obligations Mapping, and Regulatory Change

- Identifying regulatory and compliance obligations across business activities
- Building and maintaining a regulatory obligations register
- Compliance risk identification, analysis, evaluation, and prioritization
- Risk-based compliance assessment methodologies
- Linking compliance risks to business processes, controls, and responsible owners
- Regulatory horizon scanning and regulatory change management
- Assessing the operational impact of new and amended regulatory requirements
- Translating regulatory requirements into policies, procedures, controls, and implementation actions

DAY 02 — CONTINUED

> **PRACTICAL APPLICATION**
> Developing a compliance obligations and risk assessment framework

DAY 03

Compliance Frameworks, Policies, Internal Controls, and Monitoring

- Designing an integrated corporate compliance management framework
- Developing effective compliance policies, procedures, standards, and guidance
- Establishing roles, responsibilities, approval authorities, and escalation mechanisms
- Compliance controls and their relationship with operational processes
- Preventive, detective, and corrective compliance controls
- Compliance monitoring, testing, reviews, and evidence collection
- Identifying control deficiencies, recurring non-compliance, and emerging risks
- Compliance indicators, key risk indicators, and management information

> **PRACTICAL APPLICATION**
> Designing a compliance monitoring and testing plan

DAY 04

Compliance Incidents, Investigations, Reporting, and Remediation

- Identifying and classifying compliance incidents and potential breaches
- Incident escalation, notification, documentation, and decision-making
- Principles of effective compliance investigations
- Evidence management, confidentiality, interviews, documentation, and investigation records
- Root-cause analysis and determining contributing organizational factors
- Corrective and preventive actions and remediation planning
- Managing conflicts of interest, ethical concerns, whistleblowing, and misconduct risks

DAY 04 — CONTINUED

- Compliance reporting to senior management and relevant governance bodies
- Tracking remediation actions and verifying sustainable closure

PRACTICAL APPLICATION

Analyzing a compliance breach and developing a remediation plan

DAY 05

Compliance Culture, Performance Management, and Strategic Implementation

- Building an effective organizational compliance culture
- Compliance communication, awareness, training, and employee accountability
- Managing third-party, supplier, contractor, and business-partner compliance risks
- Integrating compliance with enterprise risk management, internal audit, governance, and business assurance
- Measuring compliance performance and identifying meaningful improvement indicators
- Compliance dashboards, management reporting, and executive-level decision support
- Continuous improvement of the corporate compliance management framework
- Preparing for regulatory reviews, inspections, audits, and external scrutiny
- Prioritizing compliance improvement initiatives based on organizational risk and strategic objectives

FINAL WORKSHOP, ACTION PLAN, OR IMPLEMENTATION EXERCISE

Developing a practical Corporate Compliance Improvement Roadmap

Register or Request More Information

Course page: https://quest-training.com/courses/regulatory-compliance-corporate-compliance-management
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