

Corporate Control, Regulation and Compliance Course

Venue Information

Venue: London UK

Place:

Start Date: 2026-10-27

End Date: 2026-10-31

Course Details

Net Fee: £4750.00

Duration: 1 Week

Category ID: MAL

Course Code: MAL-143

Syllabus

Course Syllabus

Course Introduction

The "Corporate Control, Regulation & Compliance" course is designed to provide participants with an in-depth understanding of the essential frameworks and mechanisms that govern corporate behavior and ensure regulatory adherence.

Throughout this five-day intensive program, attendees will explore key concepts, practical tools, and best practices essential for maintaining robust corporate control systems.

The course will cover the regulatory landscape, compliance strategies, risk management, and the pivotal role of corporate governance in promoting ethical business practices.

By the conclusion of this course, participants will be equipped to navigate the complexities of corporate regulation and uphold their organizations' legal and ethical standards.

- Identifying key compliance requirements and best practices.
- Develop strategies for effective risk management and internal controls.
- Learn to implement and monitor compliance programs.
- Understand the role of corporate ethics in regulatory compliance.
- Gain insights into global regulatory trends and their impact on businesses.

Course Outline Day 1: Introduction to Corporate Governance and Regulation

- Overview of corporate governance, its principles, and the roles and responsibilities of the board of directors.
- Examination of regulatory frameworks, including key regulations like the Sarbanes-Oxley Act and the Dodd-Frank Act, and the relationship between regulation and corporate governance.
- Understanding the essentials of compliance, its importance, and developing a culture of compliance within an organization.

Day 2: Risk Management and Internal Controls

- Comprehensive overview of risk management, including types of risks (financial, operational, strategic, reputational), risk assessment, and management processes.
- Designing effective internal controls, understanding their purpose and components, and evaluating their effectiveness through frameworks like COSO and COBIT.
- Learning from case studies on risk and control failures, analyzing real-world corporate failures, and deriving lessons and best practices.

Day 3: Regulatory Compliance Programs

- Building a compliance program by understanding its key elements, conducting compliance risk assessments, and developing relevant policies, procedures, and training.
- Monitoring and auditing for compliance by designing compliance monitoring systems, conducting compliance audits, and reporting and addressing compliance issues.
- Utilizing technology in compliance to enhance monitoring, reporting, and adherence to regulatory standards.

Day 4: Corporate Ethics and Regulatory Challenges

- Exploring the role of corporate ethics in compliance, understanding ethical dilemmas, and promoting an ethical culture within the organization.
- Navigating regulatory challenges by understanding the dynamic regulatory environment, identifying emerging trends, and adapting to new regulatory requirements.
- Managing regulatory investigations and enforcement actions, understanding the process, and developing strategies for effective response and resolution.

Day 5: Global Regulatory Trends and Future Directions

- Analyzing global regulatory trends and their implications for businesses, understanding regional differences in regulatory approaches, and adapting strategies accordingly.
- Future directions in corporate regulation and compliance, anticipating changes, and preparing organizations for upcoming regulatory developments.

