



## COURSE OVERVIEW TM1120

### Compliance, Audits & Continuous Improvement Techniques

#### Course Title

Compliance, Audits & Continuous Improvement Techniques

#### Course Date/Venue

July 13-17, 2025/Abu Dhabi Meeting Room,  
The Tower Plaza Hotel, Dubai, UAE

#### Course Reference

TM1120

#### Course Duration/Credits

Five days/3.0 CEUs/30 PDHs



#### Course Description



***This practical and highly-interactive course includes real-life case studies where participants will be engaged in a series of interactive small groups and class workshops.***

This course is designed to provide participants with a detailed and up-to-date overview of Compliance, Audits & Continuous Improvement Techniques. It covers the definition and objectives of compliance, key drivers of compliance and global compliance trends; the regulatory and legal frameworks and compliance risks, apply risk categorization and prioritization, analyze risk impact and compliance risk matrix; establishing a compliance program and corporate governance and internal controls, compliance documentation and recordkeeping; the compliance monitoring techniques, compliance audit planning and risk-based audit approach; and the audit tools and techniques, audit checklists and compliance templates.



Further, the course will also discuss the engagement with stakeholders and audit fieldwork execution and compliance effectiveness assessment; identifying and classifying breaches and immediate response protocols, escalation procedures and reporting obligations; the root cause analysis (RCA), drafting compliance audit reports and audit closing and follow-up; the continuous improvement, lean principles in compliance, six sigma tools for compliance and benchmarking and best practices; and the compliance automation and digital tools and compliance training programs.



During this interactive course, participants will learn the competency matrices and skill gaps and E-learning and microlearning strategies and training effectiveness evaluation; the ethical behavior and incentives and recognition and whistleblower mechanisms; preparing for regulatory audits, coordinate with external auditors and manage audit fatigue; and the audit readiness strategies, setting smart compliance metrics and dashboard development and visualization.

### **Course Objectives**

Upon the successful completion of this course, each participant will be able to:-

- Apply and gain an in-depth knowledge on compliance, audits and continuous improvement techniques
- Discuss the definition and objectives of compliance, key drivers of compliance and global compliance trends
- Identify regulatory and legal frameworks and compliance risks, apply risk categorization and prioritization, analyze risk impact and develop a compliance risk matrix
- Establish a compliance program and apply corporate governance and internal controls including compliance documentation and recordkeeping
- Carryout compliance monitoring techniques, compliance audit planning and risk-based audit approach
- Recognize audit tools and techniques, audit checklists and compliance templates
- Engage with stakeholders and apply audit fieldwork execution and compliance effectiveness assessment
- Identify and classify breaches and discuss immediate response protocols, escalation procedures and reporting obligations
- Employ root cause analysis (RCA), drafting compliance audit reports and audit closing and follow-up
- Implement continuous improvement, lean principles in compliance, Six Sigma tools for compliance and benchmarking and best practices
- Identify compliance automation and digital tools, develop compliance training programs, assess competency matrices and skill gaps and apply E-learning and microlearning strategies and training effectiveness evaluation
- Encourage ethical behavior and discuss incentives and recognition and whistleblower mechanisms
- Prepare for regulatory audits, coordinate with external auditors and manage audit fatigue
- Apply audit readiness strategies, set smart compliance metrics and apply dashboard development and visualization

### **Exclusive Smart Training Kit - H-STK®**



*Participants of this course will receive the exclusive “Haward Smart Training Kit” (H-STK®). The H-STK® consists of a comprehensive set of technical content which includes **electronic version** of the course materials conveniently saved in a **Tablet PC**.*

### **Who Should Attend**

This course provides an overview of all significant aspects and considerations of compliance, audits and continuous improvement techniques for compliance officers and managers, internal and external auditors, quality assurance and quality control personnel, operations and process improvement managers, health, safety, and environmental (HSE) professionals, project managers and team leaders and those who are responsible for ensuring organizational compliance, conducting audits, and driving continuous improvement initiatives.

### **Course Certificate(s)**


Internationally recognized certificates will be issued to all participants of the course who completed a minimum of 80% of the total tuition hours.

### **Certificate Accreditations**

Haward's certificates are accredited by the following international accreditation organizations:

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**British Accreditation Council (BAC)**

Haward Technology is accredited by the **British Accreditation Council** for **Independent Further and Higher Education** as an **International Centre**. Haward's certificates are internationally recognized and accredited by the British Accreditation Council (BAC). BAC is the British accrediting body responsible for setting standards within independent further and higher education sector in the UK and overseas. As a BAC-accredited international centre, Haward Technology meets all of the international higher education criteria and standards set by BAC.

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**The International Accreditors for Continuing Education and Training (IACET - USA)**

Haward Technology is an Authorized Training Provider by the International Accreditors for Continuing Education and Training (IACET), 2201 Cooperative Way, Suite 600, Herndon, VA 20171, USA. In obtaining this authority, Haward Technology has demonstrated that it complies with the **ANSI/IACET 2018-1 Standard** which is widely recognized as the standard of good practice internationally. As a result of our Authorized Provider membership status, Haward Technology is authorized to offer IACET CEUs for its programs that qualify under the **ANSI/IACET 2018-1 Standard**.

Haward Technology's courses meet the professional certification and continuing education requirements for participants seeking **Continuing Education Units** (CEUs) in accordance with the rules & regulations of the International Accreditors for Continuing Education & Training (IACET). IACET is an international authority that evaluates programs according to strict, research-based criteria and guidelines. The CEU is an internationally accepted uniform unit of measurement in qualified courses of continuing education.

Haward Technology Middle East will award **3.0 CEUs** (Continuing Education Units) or **30 PDHs** (Professional Development Hours) for participants who completed the total tuition hours of this program. One CEU is equivalent to ten Professional Development Hours (PDHs) or ten contact hours of the participation in and completion of Haward Technology programs. A permanent record of a participant's involvement and awarding of CEU will be maintained by Haward Technology. Haward Technology will provide a copy of the participant's CEU and PDH Transcript of Records upon request.

### Course Instructor(s)

This course will be conducted by the following instructor(s). However, we have the right to change the course instructor(s) prior to the course date and inform participants accordingly:



**Mr. Dimitry Rovas**, CEng, MSc, PMI-PMP, SMRP-CMRP is a **Senior Management Consultant** with extensive industrial experience in **Oil, Gas, Power and Utilities** industries. His expertise includes **Compliance Risk Assessment, Corporate Governance & Internal Controls, Planning the Compliance Audit, Compliance Automation & Digital Tools, Leadership & Change Management, Talent Management, Presentation Skills, Negotiation Skills, Interpersonal Skills, Communication Skills, Collaboration Skills,**

**Developing Effective Partnership, Developing & Managing Budget, Technical Design & Development, Analytical & Troubleshooting Techniques, Interpersonal Skills, Leadership & Mentoring, Time Management, Performance Management, Strategic Planning & Analysis and Communication & Reporting Skills, Project Management, Construction Management, Project Management Planning & Control Techniques, Project Risk Management, Quality Management, Project Acceleration Techniques, Scope Control Management, Contract Management, Asset Management, Procurement & Purchasing Management, Warehousing, Quality Management System (QMS) and Business Management.** Further, he is also well-versed in **Energy Conservation, Electricity Distribution Systems, Energy Saving, Combined Cycle Power Plant, Gas & Steam Turbines, Heat Transfer, Machine Design, Fluid Mechanics, Heating & Cooling Systems, Heat Insulation Systems and Heat Exchanger & Cooling Towers.** He was the **Project Manager** wherein he was managing, directing and controlling all activities and functions associated with the domestic heating/cooling facilities projects.

During his life career, Mr. Rovas has gained his practical and field experience through his various significant positions and dedication as the **EPC Project Manager, Field Engineer, Preventive Maintenance Engineer, Researcher, Instructor/Trainer, Telecom Consultant and Consultant** from various companies such as the Podaras Engineering Studies, Metka and Diadikasia, S.A., **Hellenic Petroleum Oil Refinery** and COSMOTE.

Mr. Rovas is a **Chartered Engineer** of the **Technical Chamber of Greece**. Further, he has **Master's** degree in **Mechanical Engineering and Energy Production & Management** from the **National Technical University of Athens**. Moreover, he is a **Certified Instructor/Trainer**, a **Certified Maintenance and Reliability Professional (CMRP)** from the Society of Maintenance & Reliability Professionals (**SMRP**), a **Certified Project Management Professional (PMP)**, a **Certified Internal Verifier/Assessor/Trainer** by the **Institute of Leadership & Management (ILM)** and a **Certified Six Sigma Black Belt**. He is an active member of Project Management Institute (**PMI**), Technical Chamber of Greece and Body of Certified Energy Auditors and has further delivered numerous trainings, seminars, courses, workshops and conferences internationally.

### **Training Methodology**

All our Courses are including **Hands-on Practical Sessions** using equipment, State-of-the-Art Simulators, Drawings, Case Studies, Videos and Exercises. The courses include the following training methodologies as a percentage of the total tuition hours:-

- 30% Lectures
- 20% Practical Workshops & Work Presentations
- 30% Hands-on Practical Exercises & Case Studies
- 20% Simulators (Hardware & Software) & Videos

In an unlikely event, the course instructor may modify the above training methodology before or during the course for technical reasons.

### **Course Fee**

**US\$ 5,500** per Delegate + **VAT**. This rate includes H-STK® (Haward Smart Training Kit), buffet lunch, coffee/tea on arrival, morning & afternoon of each day.

### **Accommodation**

Accommodation is not included in the course fees. However, any accommodation required can be arranged at the time of booking.

### **Course Program**

The following program is planned for this course. However, the course instructor(s) may modify this program before or during the workshop for technical reasons with no prior notice to participants. Nevertheless, the course objectives will always be met:

#### **Day 1: Sunday, 13<sup>th</sup> of July 2025**

0730 – 0800	<i>Registration &amp; Coffee</i>
0800 – 0815	<i>Welcome &amp; Introduction</i>
0815 – 0830	<b>PRE-TEST</b>
0830 – 0930	<b><i>Introduction to Compliance Management</i></b> <i>Definition and Objectives of Compliance • Key Drivers of Compliance (Regulatory, Reputational, Legal) • Compliance versus Ethics versus Governance • Overview of Global Compliance Trends</i>
0930 – 0945	<i>Break</i>
0945 – 1030	<b><i>Regulatory &amp; Legal Frameworks</i></b> <i>Local and International Regulatory Bodies • Key Regulations (e.g., SOX, GDPR, FCPA, AML) • Industry-Specific Compliance Requirements • Legal Implications of Non-Compliance</i>
1030 – 1130	<b><i>Compliance Risk Assessment</i></b> <i>Identifying Compliance Risks • Risk Categorization and Prioritization • Risk Impact Analysis • Developing a Compliance Risk Matrix</i>
1130 – 1215	<b><i>Establishing a Compliance Program</i></b> <i>Elements of an Effective Compliance Program • Code of Conduct and Policies • Communication and Training • Roles and Responsibilities</i>

1215 – 1230	Break
1230 – 1330	<b>Corporate Governance &amp; Internal Controls</b> Governance Structures and Roles • Board and Management Responsibilities • Designing Internal Controls for Compliance • Monitoring Control Effectiveness
1330 – 1420	<b>Compliance Documentation &amp; Recordkeeping</b> Legal Documentation Requirements • Document Retention Policies • Version Control and Audit Trails • Confidentiality and Access Control
1420 – 1430	<b>Recap</b> Using this Course Overview, the Instructor(s) will Brief Participants about the Topics that were Discussed Today and Advise Them of the Topics to be Discussed Tomorrow
1430	Lunch & End of Day One

**Day 2: Monday, 14<sup>th</sup> of July 2025**

0730 – 0830	<b>Compliance Monitoring Techniques</b> Continuous Monitoring versus Periodic Reviews • KPIs and Compliance Performance Indicators • Real-Time Compliance Dashboards • Use of Technology in Monitoring
0830 – 0930	<b>Planning the Compliance Audit</b> Objectives of Compliance Auditing • Audit Scope and Methodology • Audit Scheduling and Frequency • Forming the Audit Team
0930 – 0945	Break
0945 – 1100	<b>Risk-Based Audit Approach</b> Audit Risk Assessment • Identifying Key Risk Areas • Prioritizing Audit Focus • Integrating Risk with Audit Planning
1100 – 1215	<b>Audit Tools &amp; Techniques</b> Document Review and Sampling • Interviews and Observations • Control Testing and Walkthroughs • Analytical Procedures
1215 – 1230	Break
1230 – 1330	<b>Audit Checklists &amp; Compliance Templates</b> Standard Checklists for Compliance Audits • Customizing Audit Templates • Tools for Electronic Audits • Pre-Audit Documentation Preparation
1330 – 1420	<b>Engagement with Stakeholders</b> Communicating with Auditees • Managing Audit Expectations • Interview Techniques and Evidence Gathering • Handling Resistance and Objections
1420 – 1430	<b>Recap</b> Using this Course Overview, the Instructor(s) will Brief Participants about the Topics that were Discussed Today and Advise Them of the Topics to be Discussed Tomorrow
1430	Lunch & End of Day Two

**Day 3: Tuesday, 15<sup>th</sup> of July 2025**

0730 – 0830	<b>Audit Fieldwork Execution</b> Opening Meeting and Scope Confirmation • Gathering and Verifying Evidence • Identifying Control Weaknesses • Documenting Findings
0830 – 0930	<b>Assessing Compliance Effectiveness</b> Control Effectiveness Criteria • Compliance Gaps and Causes • Benchmarking Compliance Performance • Use of Maturity Models
0930 – 0945	Break
0945 – 1100	<b>Compliance Breaches &amp; Escalation</b> Identifying and Classifying Breaches • Immediate Response Protocols • Escalation Procedures • Reporting Obligations

1100 – 1215	<b>Root Cause Analysis (RCA)</b> Tools for RCA (e.g., 5 Whys, Fishbone) • Data Collection for RCA • Differentiating Symptoms versus Causes • Linking RCA to Corrective Actions
1215 – 1230	Break
1230 – 1330	<b>Drafting Compliance Audit Reports</b> Report Structure and Tone • Presenting Findings and Evidence • Risk Rating of Findings • Recommendations and Follow-Up Actions
1330 – 1420	<b>Audit Closing &amp; Follow-up</b> Exit Meeting and Stakeholder Buy-In • Feedback and Response from Auditees • Corrective Action Plans (CAPA) • Scheduling Follow-Up Audits
1420 – 1430	<b>Recap</b> Using this Course Overview, the Instructor(s) will Brief Participants about the Topics that were Discussed Today and Advise Them of the Topics to be Discussed Tomorrow
1430	Lunch & End of Day Three

**Day 4: Wednesday, 16<sup>th</sup> of July 2025**

0730 – 0830	<b>Basics of Continuous Improvement</b> Definition and Benefits • PDCA (Plan-Do-Check-Act) Cycle • Aligning Compliance with Business Objectives • Cultural Aspects of Continuous Improvement
0830 – 0930	<b>Lean Principles in Compliance</b> Identifying Non-Value-Added Activities • Waste Reduction in Compliance Processes • Standard Work Documentation • Continuous Feedback Loops
0930 – 0945	Break
0945 – 1100	<b>Six Sigma Tools for Compliance</b> DMAIC Methodology • Process Variation and Control • Compliance Process Metrics • Data-Driven Decision-Making
1100 – 1215	<b>Benchmarking &amp; Best Practices</b> Internal versus External Benchmarking • Compliance Maturity Models • Gap Analysis Against Best Practices • Adapting Industry-Specific Standards
1215 – 1230	Break
1230 – 1330	<b>Compliance Automation &amp; Digital Tools</b> GRC Software Solutions • Automating Routine Compliance Tasks • Integrating Audit Management Tools • Cybersecurity and Data Privacy in Compliance Tech
1330 – 1420	<b>Training &amp; Capacity Building</b> Compliance Training Programs • Competency Matrices and Skill Gaps • E-Learning and Microlearning Strategies • Evaluating Training Effectiveness
1420 – 1430	<b>Recap</b> Using this Course Overview, the Instructor(s) will Brief Participants about the Topics that were Discussed Today and Advise Them of the Topics to be Discussed Tomorrow
1430	Lunch & End of Day Four

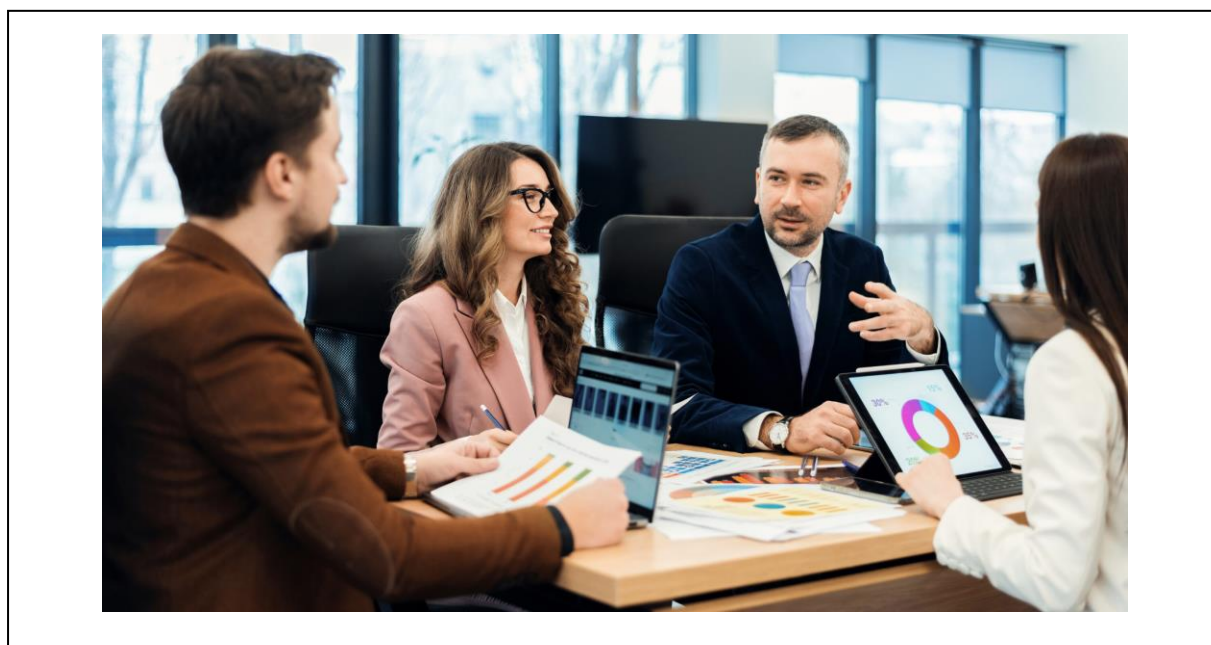
**Day 5: Thursday, 17<sup>th</sup> of July 2025**

0730 – 0830	<b>Building a Culture of Compliance</b> Tone from the Top • Encouraging Ethical Behavior • Incentives and Recognition • Whistleblower Mechanisms
0830 – 0930	<b>Internal versus External Audits</b> Differences and Complementary Roles • Preparing for Regulatory Audits • Coordination with External Auditors • Managing Audit Fatigue
0930 – 0945	Break

0945 – 1100	<b>Audit Readiness Strategies</b> <i>Ongoing Documentation Hygiene • Real-Time Compliance Health Checks • Readiness Assessments • Stress-Testing Audit Scenarios</i>
1100 – 1215	<b>KPI &amp; Compliance Metrics Management</b> <i>Setting SMART Compliance Metrics • Dashboard Development and Visualization • Reporting to Senior Leadership • Data Interpretation and Insights</i>
1215 – 1230	<b>Break</b>
1230 – 1315	<b>Case Studies &amp; Real-Life Scenarios</b> <i>Industry Examples of Compliance Failure • Successful Audit Implementation Stories • Group Exercises and Scenario Simulation • Lessons Learned and Best Practices</i>
1315 - 1345	<b>Final Assessment &amp; Action Planning</b> <i>Post-Course Assessment Quiz • Compliance Improvement Roadmap • Personal Action Plans</i>
1345 – 1400	<b>Course Conclusion</b> <i>Using this Course Overview, the Instructor(s) will Brief Participants about the Content that were Covered During the Course</i>
1400 - 1415	<b>POST-TEST</b>
1415 – 1430	<i>Presentation of Course Certificates</i>
1430	<i>Lunch &amp; End of Course</i>

### **Practical Sessions**

This practical and highly-interactive course includes real-life case studies and exercises:-



### **Course Coordinator**

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