Haward Technology Middle East

COURSE OVERVIEW FM0245
Risk and Compliance

Course Title
Risk and Compliance

Course Date/Venu
August 03-07, 2025/Meeting Plus 9, City Centre Rotana, Doha, Qatar

Course Reference
FM0245

Course Duration/Credits
Five days/3.0 CEUs/30 PDHs

Course Description

This practical and highly-interactive course includes various practical sessions and exercises. Theory learnt will be applied using "MS-Excel" application.

This course is designed to provide participants with a detailed and up-to-date overview of Risk and Compliance. It covers the risk and compliance covering the definitions and distinctions; the types and categories of risk and risk management frameworks; the compliance management systems, ethics and corporate governance and risk culture and organizational behavior; the risk identification techniques, risk assessment and evaluation and risk response and treatment strategies; designing and implementing internal controls; the key risk indicators (KRIs), key control indicators (KCIs) and risk in strategic and operational planning.

During this interactive course, participants will learn the regulatory frameworks and legal environment, building a compliance program and anti-bribery, corruption and fraud prevention including the data privacy and cyber compliance and trade compliance and sanctions; the compliance audits and assessments and risk monitoring tools and techniques and risk and compliance reporting; the role of technology in risk and compliance, incident management and crisis response, risk-based internal auditing and third-party risk and vendor compliance; the enterprise risk management (ERM) integration, compliance in ESG and sustainability; and the culture of compliance and leadership engagement and global risk trends and emerging threats.

Course Objectives

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

- Apply and gain an in-depth knowledge on risk and compliance

- Discuss risk and compliance covering the definitions and distinctions as well as the types and categories of risk and risk management frameworks

- Explain compliance management systems, ethics and corporate governance and risk culture and organizational behavior

- Identify risk identification techniques, risk assessment and evaluation and risk response and treatment strategies

- Design and implement internal controls and apply key risk indicators (KRIs), key control indicators (KCIs) and risk in strategic and operational planning

- Discuss regulatory frameworks and legal environment, build a compliance program and recognize anti-bribery, corruption & fraud prevention including the data privacy and cyber compliance and trade compliance and sanctions

- Perform compliance audits and assessments and identify risk monitoring tools and techniques and risk and compliance reporting

- Identify the role of technology in risk and compliance, incident management and crisis response, risk-based internal auditing and third-party risk and vendor compliance

- Discuss enterprise risk management (ERM) integration, compliance in ESG and sustainability, culture of compliance and leadership engagement and global risk trends and emerging threats

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 Risk Managers and Officers, Compliance Officers and Managers, Internal Auditors, Finance and Accounting Executives, IT and Cybersecurity Professionals, Operations and Business Unit Heads, Board Members and Senior Executives, Board Members and Senior Executives and those who responsible for managing, overseeing, or supporting risk and compliance functions across various industries.

Course Fee

US$ 6,000 per Delegate. This rate includes H-STK® (Haward Smart Training Kit), buffet lunch, coffee/tea on arrival, morning & afternoon of each day.

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

Certificates are accredited by the following international accreditation organizations:

- **British Accreditation Council (BAC)**

    Haward Technology is accredited by the **British Accreditation Council** for **Independent Further and Higher Education** as an **International Centre**. 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.

- **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. Mike Taylor, PhD (on-going), MScLI, MBA, MBL, BSc, HDE, is a **Senior Finance & Management Consultant** with over **25 years** of experience in **Power** & **Water Utilities**, **Other Energy** Sectors and **Financial** industries. His expertise lies extensively in the areas of **Finance Budgeting**, **Budgeting**, Forecasting & Planning, **Budgeting** and Cost Control, **Finance & Budgeting** Process & Procedures, **Effective Budgeting** & Cost Control,**Project Financial Data, Financial Indicators**, **Financial Leverage**, **Discounted Cash Flows**, **Economic Cost** Analysis, **Equity Profitability** Analysis, **Financial** Modelling & Forecasting, **Financial** Analysis Techniques, **Financial Data** Analysis Concepts & Process, **Credit** Analysis, **Financial & Accounting** Management, **Financial Planning** Techniques, **Vendor Invoice Processing** & **Management**, **Evaluating Cost** & **Revenue**, **Budgeting & Cost Control** and **Marketing** Management, **Project Quality** Management**, Quality Control & Site Inspection, Project Quality Plan, Construction Quality** Management, **Material** Management **& Project Turnover, Project Risk** Management, **Risk** Identification Tools & Techniques, **Project** Life Cycle, **Project Stakeholder** & Governance, **Project Management** Processes, **Project Integration** Management, **Project** Management Plan, **Project Work** Monitoring & Control, **Project Scope** Management, **Project Time** Management, **Project Cost** Management, **Project Quality** Management, **Quality** Assurance, **Project Human Resource** Management, **Project Communications** Management, **Project Planning, Scheduling & Cost Control Professional**, **Project Scheduling & Cost Control**, **Facilitation & Leadership** Skills, **Coaching**, **Human Resource** Development, **Psychometric** Testing, **Career Development** & Competence, **Succession Planning**, **Self-Development & Empowerment**, **Personal Learning Needs Identification**, **Data Quality Control**, **Data Quality Assessment**, **Data Quality Planning**, **Data Quality Strategy** Management, **Customer** Management. Further, he is also well-versed in. **Leadership** Skills, **Presentation** Skills, **Negotiation** Skills, **Decision Making** Skills, **Communication** Skills, **Emotional Intelligence**, **Performance** Management, **Contract** Management, **Quality** Management, **Commercial Strategy**, **Project** Management, **Risk** Management, **Leadership & Business** Management, **Human Resource** Management, **Planning**, **Budgeting & Cost Control**, **Business Development**, Innovation, Sales Strategy and Knowledge & **Intangible Asset Assessment** Design.Mr. Taylor is the **Founder & CEO** of Mitakon Innovation Pty Ltd wherein he is responsible for the development of Executives & Senior Managers specializing in innovation, knowledge management and commercial negotiation as well as authored, implemented and executed a global 21st century facilitation and leadership methodology.

During his career life, Mr. Taylor has gained his practical and field experience through his various significant positions and dedication as the **Knowledge-Solutions Service Provider**, **Founder-Principal/CIO**, **Subject Matter Expert**, **Consulting Partner**, **Executive/Management Development Facilitator**, **Multinational/Corporate Senior Management Consultant**, **Senior Quality & Finance Management Consultant**, **Executive Management Development/Facilitator**, **Business Consultant/Facilitator**, **Business & Quality Consultant/Coach**, **Client Director**, **Administration Manager**, **Quality Manager**, **International Sales & Business Development Executive**, **Regional Sales Manager**, **National Key Accounts Manager**, **Commercial Sales & Marketing Consultant**, **Admin Assistant**, **Sales & Marketing Representative**, **Key Note Speaker**, **Lecturer** and **Instructor/Trainer** for various international companies such as the Highland Group (Business Consulting), **Anglo American**, **BHP Billiton**, Rio Tinto, DI Management Solutions (BPO), Master Deal Making Institute (MDMI), RMG/Contact Media & Communications, Paul Dinsdale Properties (PDP), Giant Leap Architects, Wise Capital Investments (HOD), Evolution® Advertising, Collaborative Xchange, Leatt Corporation, Dentsply SA, FMCG/Binzagr Company, **Unilever**, **Kellogg's**, BAT, **Hershey's**, CORO, Lilly Direct/Lennon Generics and Bausch & Lomb.

Mr. Taylor has **Master's** degree in **Leadership & Innovation**, **Business Administration** and **Business Leadership** as well as a **Bachelor** degree in **Physical Education** and pursuing **PhD** in **Global Governance & Energy Policy**. Further, he is a **Certified Instructor/Trainer**, **Certified Internal Verifier/Trainer/Assessor** by the **Institute of Leadership & Management** (**ILM**) and a member of Incremental Advantage, Da Vinci Institute, Black Management Forum, Institute of Directors (IOD), World Future Society (WFS), Social Science Research Network, University of Kwazulu Natal (Alumnus), Anthropology & Archaeology Research Network and National Research Foundation (NRF). He has further delivered numerous trainings, courses, workshops, seminars and conferences globally.

0Training 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.

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 course for technical reasons with no prior notice to participants. Nevertheless, the course objectives will always be met:

Day 1:   **Sunday, 03rd of August 2025**

0730 – 0800	*Registration & Coffee*
0800 – 0815	*Welcome & Introduction*
0815 – 0830	**PRE-TEST**
0830 – 0930	**Introduction to Risk & Compliance** *Definitions and Distinctions: Risk versus Compliance • Objectives and Benefits of a Strong Risk/Compliance Program • Key Stakeholders and Cross-Functional Coordination • Risk and Compliance in the Context of Corporate Governance*
0930 – 0945	*Break*
0945 – 1040	**Types & Categories of Risk** *Strategic, Operational, Financial, Reputational, Regulatory Risks • Internal versus External Risk Factors • Emerging Risks and Black Swan Events • Industry-Specific Risk Examples*
1040 – 1135	**Risk Management Frameworks** *ISO 31000 Principles and Structure • COSO Enterprise Risk Management (ERM) • Three Lines Model (Formerly Three Lines of Defense) • GRC (Governance, Risk, and Compliance) Integration*
1135 - 1230	**Compliance Management Systems** *ISO 37301 and Compliance Program Lifecycle • Risk-Based Compliance Planning • Elements of an Effective Compliance Framework • Aligning Compliance with Legal and Regulatory Obligations*
1230 – 1245	*Break*
1245 – 1335	**Ethics & Corporate Governance** *Principles of Good Governance • Code of Conduct and Ethical Leadership • Tone at the Top and Accountability Structures • Ethics Committees and Whistleblowing Mechanisms*

1335 - 1420	**Risk Culture & Organizational Behavior** *What Is Risk Culture and Why It Matters • Embedding Risk Awareness into Operations • Role of Leadership and Incentives in Shaping Behavior • Metrics for Assessing and Enhancing Risk Culture*
1420 – 1430	**Recap** *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, 04ᵗʰ of August 2025**

0730 – 0830	**Risk Identification Techniques** *Risk Register and Inventory • Workshops, Interviews, and Brainstorming • Use of SWOT, PESTLE, and Bow-Tie Analysis • Incident Reviews and Lessons Learned*
0830 – 0900	**Risk Assessment & Evaluation** *Likelihood and Impact Matrix • Inherent versus Residual Risk • Risk Appetite and Risk Tolerance • Prioritizing Risks for Mitigation*
0900 – 0915	*Break*
0915 – 1100	**Risk Response & Treatment Strategies** *Avoid, Reduce, Transfer, or Accept Risk • Cost-Benefit Analysis of Risk Responses • Risk Mitigation Planning • Documentation and Ownership of Mitigation Actions*
1100 – 1230	**Designing & Implementing Internal Controls** *Preventive versus Detective Controls • Control Objectives and Activities • Control Testing and Walkthroughs • Role of Control Frameworks (COSO, COBIT)*
1230 – 1245	*Break*
1245 – 1335	**Key Risk Indicators (KRIs) & Key Control Indicators (KCIs)** *Defining Effective KRIs and KCIs • Thresholds, Triggers, and Escalation • Integration into Dashboards and Reports • Monitoring Trends and Early Warning Systems*
1335 - 1420	**Risk in Strategic & Operational Planning** *Embedding Risk into Strategy Formulation • Scenario Planning and Stress Testing • Linking Risk with Project and Performance Management • Board Reporting and Risk-Adjusted Decision Making*
1420 – 1430	**Recap** *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, 05ᵗʰ of August 2025**

0730 – 0830	**Regulatory Frameworks & Legal Environment** *Understanding Domestic and International Laws • Role of Regulators and Enforcement Agencies • Industry-Specific Regulations (Banking, Energy, Healthcare, etc.) • Legal Risk and Liability Exposure*
0830 – 0900	**Building a Compliance Program** *Components of a Compliance Management System • Compliance Risk Assessment and Planning • Roles and Responsibilities (Compliance Officer, Business Unit) • Compliance Calendar and Obligation Management*

0900 – 0915	*Break*
0915 – 1100	**Anti-Bribery, Corruption & Fraud Prevention** *Overview of Global Anti-Corruption Laws (FCPA, UK Bribery Act) • Red Flags and Fraud Indicators • Internal Controls and Segregation of Duties • Investigations and Disciplinary Actions*
1100 – 1230	**Data Privacy & Cyber Compliance** *Overview of GDPR, CCPA, and Data Protection Principles • Consent, Transparency, and Data Subject Rights • Cyber Risk Governance and Incident Response • Roles of DPO, IT, and Compliance in Data Governance*
1230 – 1245	*Break*
1245 – 1335	**Trade Compliance & Sanctions** *Import/Export Controls and Embargoes • OFAC, BIS, and UN Sanctions Overview • Due Diligence on Third Parties and Vendors • Screening Tools and Red Flag Escalation*
1335 - 1420	**Compliance Audits & Assessments** *Planning and Executing Compliance Reviews • Compliance Monitoring Tools and Techniques • Reporting, Findings, and Follow-Up Actions • Continuous Improvement and Audit Readiness*
1420 – 1430	**Recap** *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, 06th of August 2025**

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0730 – 0830	**Risk Monitoring Tools & Techniques** *Control Self-Assessments (RCSA) • Risk Dashboards and Real-Time Alerts • Automated versus Manual Tracking Systems • Issue Tracking and Escalation*
0830 – 0930	**Risk & Compliance Reporting** *Internal Reports for Executives and the Board • External Reports for Regulators and Stakeholders • Frequency, Format, and Audience-Specific Reporting • Transparency, Assurance, and Integrated Reporting*
0930 – 0945	*Break*
0945 – 1100	**Role of Technology in Risk & Compliance** *GRC Platforms and Tools (e.g., MetricStream, SAP GRC) • Compliance Automation and Workflow Management • Data Analytics and AI in Risk Detection • Cloud versus On-Premise Solutions*
1100 – 1215	**Incident Management & Crisis Response** *Incident Identification and Classification • Root Cause Analysis and Corrective Actions • Escalation Protocols and Stakeholder Communication • Business Continuity and Recover*
1215 – 1230	*Break*
1245 – 1335	**Risk-Based Internal Auditing** *Alignment of Audit Plans with Risk Registers • Assurance Mapping and Audit Universe • Audit Findings and Control Evaluations • Cooperation Between Internal Audit and Compliance*

1335 - 1420	**Third-Party Risk & Vendor Compliance** *Supplier Due Diligence and Onboarding • Risk Scoring and Contract Compliance • Ongoing Monitoring and Certification • Mitigating Reputational and Legal Exposure*
1420 – 1430	**Recap** *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, 07th of August 2025***

0730 – 0830	**Enterprise Risk Management (ERM) Integration** *Aligning ERM with Strategy, Objectives, and Performance • Cross-Functional Roles and Risk Ownership • ERM Maturity Models and Implementation Roadmap • Value Creation Through ERM*
0830 – 0930	**Compliance in ESG & Sustainability** *ESG-Related Regulatory Expectations • Greenwashing and Misreporting Risks • Compliance in Environmental Disclosures (GRI, SASB, TCFD) • ESG Risk and Compliance Integration*
0930 – 0945	*Break*
0945 – 1045	**Culture of Compliance & Leadership Engagement** *Leading by Example and Tone at the Top • Employee Training and Awareness • Communication Strategies and Compliance Ambassadors • Measuring and Rewarding Compliance Behavior*
1045 – 1215	**Global Risk Trends & Emerging Threats** *Climate Change and Supply Chain Disruptions • Cybersecurity and Data Sovereignty • Geopolitical Instability and Sanctions Risk • AI/ML Governance and Digital Ethics*
1215 – 1230	*Break*
1230 – 1345	**Case Studies & Sector-Specific Challenges** *Financial Sector: AML, KYC, Basel III • Oil & Gas: HSE Compliance, Environmental Penalties • Pharma: GxP, Clinical Compliance • Cross-Border Regulatory Investigations*
1345 – 1400	**Course Conclusion** *Using this Course Overview, the Instructor(s) will Brief Participants about Topics that were Covered During the Course*
1400 – 1415	**POST-TEST**
1415 – 1430	*Presentation of Course Certificates*
1430	*Lunch & End of Course*

Haward Technology Middle East

Simulator (Hands-on Practical Sessions)

Practical sessions will be organized during the course for delegates to practice the theory learnt. Delegates will be provided with an opportunity to carryout various exercises using "MS-Excel" application.
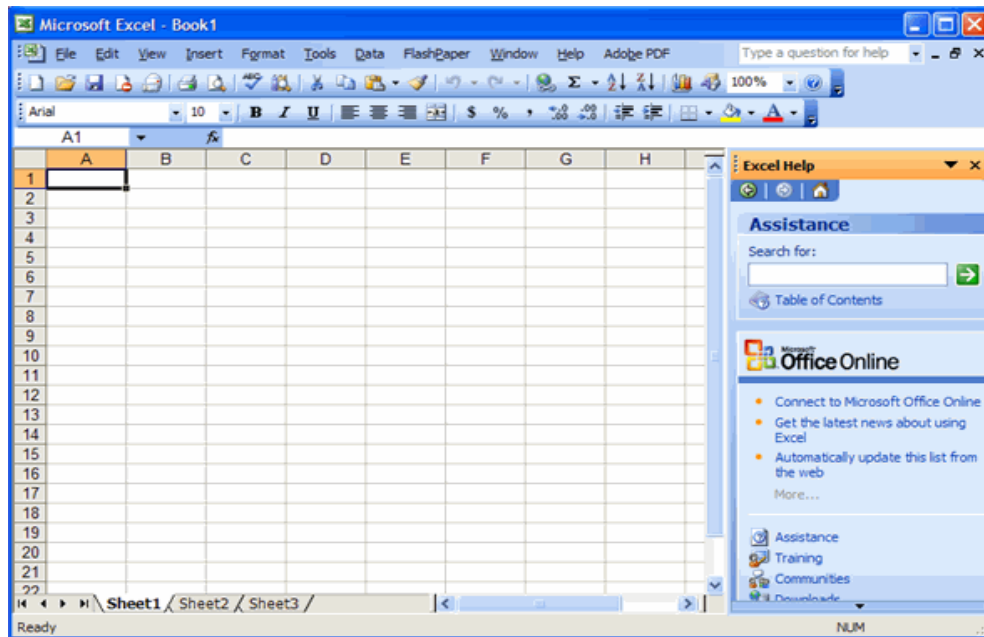
MS-Excel

Course Coordinator

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