



COURSE OVERVIEW TM0378 **Compliance Regulatory Professionals**

Course Title

Compliance Regulatory Professionals

Course Date/Venue

October 04-08, 2026/TBA Meeting Room, Holiday Inn Corniche, Al Khobar, KSA

Course Reference

TM0378

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 our software tools.

This intensive course provides participants with comprehensive knowledge and practical skills required to perform effectively as Compliance Regulatory Professionals. It covers the regulatory frameworks, compliance management systems, governance, ethics, risk assessment, regulatory investigations, compliance monitoring, financial crime prevention, data privacy, reporting, auditing and emerging compliance challenges. Through case studies, practical workshops and international best practices, participants will learn how to establish, implement, monitor and continuously improve organizational compliance programs aligned with ISO 37301 Compliance Management Systems, ISO 37001 Anti-Bribery Management Systems, COSO, OECD Guidelines and other internationally recognized regulatory frameworks.

Further, the course will also discuss the principles of compliance and regulatory governance; the international compliance frameworks and standards; the types of laws and regulations affecting organizations, regulatory authorities and enforcement agencies; the legal obligations, statutory requirements, regulatory updates and legislative monitoring; the compliance risk management, compliance culture, ethical conduct and compliance organization structure; the effective compliance program and regulatory requirement identification; the compliance controls and internal control systems; and the compliance documentation and record management; and the compliance training and awareness and third-party compliance management.

During this interactive course, participants will learn the compliance monitoring techniques, compliance auditing, regulatory investigation, incident reporting and corrective actions; the regulatory reporting, compliance performance measurement and anti-bribery and anti-corruption compliance; the anti-money laundering (AML) and financial crime compliance, data privacy and information protection; the trade compliance and sanctions, environmental, health and safety (EHS) compliance and industry-specific regulatory compliance; the compliance leadership, compliance technology and digital transformation, crisis management and regulatory response; and the global compliance trends covering EG-related regulatory development, cybersecurity compliance, cross-border regulatory coordination and emerging international regulations.

Course Objectives/Outcomes & Benefits for the Participants

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

- Apply and gain an in-depth knowledge of regulatory compliance
- Discuss the principles of compliance and regulatory governance including the international compliance frameworks and standards
- Identify the types of laws and regulations affecting organizations, regulatory authorities and enforcement agencies, legal obligations and statutory requirements as well as regulatory updates and legislative monitoring
- Carryout compliance risk management, compliance culture and ethical conduct and compliance organization structure
- Design an effective compliance program and apply regulatory requirement identification and compliance controls and internal control systems
- Employ compliance documentation and record management, compliance training and awareness and third-party compliance management
- Apply compliance monitoring techniques, compliance auditing, regulatory investigation, incident reporting and corrective actions
- Carryout regulatory reporting, compliance performance measurement, anti-bribery and anti-corruption compliance
- Implement anti-money laundering (AML) and financial crime compliance as well as data privacy and information protection
- Recognize trade compliance and sanctions and apply environmental, health and safety (EHS) compliance and industry-specific regulatory compliance
- Employ compliance leadership, compliance technology and digital transformation including crisis management and regulatory response
- Discuss global compliance trends covering EG-related regulatory development, cybersecurity compliance, cross-border regulatory coordination and emerging international regulations.

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 regulatory compliance for compliance officers, regulatory affairs professionals, internal auditors, risk managers, legal advisors, governance professionals, financial crime specialists, HSE compliance personnel, quality managers, operations managers, and professionals responsible for ensuring organizational compliance with applicable laws, regulations, standards, and ethical requirements.

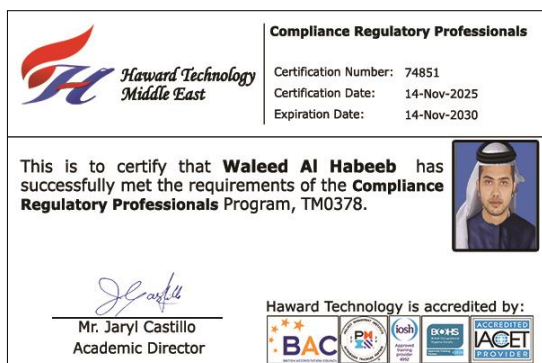
Course Certificate(s)

- (1) Internationally recognized Competency Certificates and Plastic Wallet Cards will be issued to participants who completed a minimum of 80% of the total tuition hours and successfully passed the exam at the end of the course. Certificates are valid for 5 years.

Recertification is FOC for a Lifetime.

Sample of Certificates

The following are samples of the certificates that will be awarded to course participants:-





- (2) Official Transcript of Records will be provided to the successful delegates with the equivalent number of ANSI/IACET accredited Continuing Education Units (CEUs) earned during the course.

* Haward Technology * CEUs * Haward Technology * CEUs * Haward Technology * CEUs * Haward Technology *

Haward Technology Middle East
Continuing Professional Development (HTME-CPD)

CEU Official Transcript of Records

TOR Issuance Date: 14-Nov-25
HTME No. 74851
Participant Name: Waleed Al Habeeb

Program Ref.	Program Title	Program Date	No. of Contact Hours	CEU's
TM0378	Compliance Regulatory Professionals	Nov 10-14, 2025	30	3.0

Total No. of CEU's Earned as of TOR Issuance Date **3.0**

TRUE COPY

Jaryl Castillo
Academic Director

Haward Technology has been approved as an Accredited Provider by the International Association for Continuing Education and Training (IACET), 2201 Cooperative Way, Suite 800, Herndon, VA 20171, USA. In obtaining this approval, Haward Technology has demonstrated that it complies with the ANSI/IACET 1-2018 Standard which is widely recognized as the standard of good practice internationally. As a result of their Authorized Provider membership status, Haward Technology is authorized to offer IACET CEUs for programs that qualify under the ANSI/IACET 1-2018 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 Association 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 is accredited by

BAC AWS iosh TCMF ISO 9001:2015 Certified UKAS PM BOKS ACCREDITED IACET PROVIDER

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* Haward Technology * CEUs * Haward Technology * CEUs * Haward Technology * CEUs * Haward Technology *

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 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.

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:



Dr. Chris Le Roux, PhD, M.Com, B.Com (Hons), PMP, Industrial Psychologist (HPCSA Reg.), PMI-ATP Instructor PMI-PMP, PMI-CAPM Instructor is a **Senior Management Consultant & Project Management Professional** with over **30 years** of combined engineering, managerial, consulting, counseling, and international training experience across Africa, the Middle East, the Gulf region, and Europe. His expertise lies extensively in the areas of **Project & Contracts Management Skills, Project & Construction Management, Project Planning, Scheduling, Cost Control, and Earned Value Management, Project Management (Predictive, Agile, and Hybrid), PMO setup and governance, Project Delivery & Governance Framework, Project Management Practices, Project Management Disciplines,**

Risk and Contract Management (including contract development, tendering, dispute resolution, and claims), **Risk Identification Tools & Techniques, Project Life Cycle, Stakeholder Management and Communication, Performance Coaching and Difficult Conversations, 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, Leadership Orientation Programme, Leadership & Team Development, Psychology of Leadership, Interpersonal Skills & Teamwork, Coaching & Mentoring, Innovation & Creativity, Leadership & Performance Management, Leadership Communication, Leadership Excellence for Senior Management, Supervisory, Leadership, Coaching & Mentoring, Leadership, Communications & Interpersonal Skills, Administrative Leadership Skills, Office Management & Administration Skills, Contract Management, Tender Development, Contract Standards & Laws, Dispute Resolution & Risk Identification, Myers-Briggs Type Indicator (MBTI), Organization Development Consultation, Advanced Debriefing of Emotional Trauma, Interpersonal Motivation, Model Based Interviewing, Coaching & Motivation, Creative Thinking & Problem-Solving Techniques, Emotional Intelligence and Resilience, Presentation Skills, Communication & Interpersonal Skills, Effective Communication & Influencing Skills, Effective Business Writing Skills, Writing Business Documents, Business Writing (Memo & Report Writing), Controlling Your Time & Managing Stress, Crisis Management and Decision-Making Under Pressure; and Customer Experience, Service Excellence, and Negotiation Skills, Strategic Human Resources Management, Change Management and Organizational Development, Human Capital and Talent Management (succession planning, performance management, competency frameworks, and behavioral assessment), Strategic Planning and Execution, Project Risk Analysis & Risk Management, Global Diverse & Virtual Teams Operation, Exceeding Customer Expectations, Corporate Governance Best Practice, Business Performance Management & Improvement, Building Environment of Trust & Commitment, Win-Win Negotiation Strategies, Quality Improvement & Resource Optimization, Neuro Linguistic Programming (NLP), Personal Resilience Developing, Effective Role Modelling & Development, Managing Dynamic Work Environments, Organizational Development, Career Management, Situation & Behaviour Analysis, Interpersonal Motivation Skills, Inventory Management and Financial Administration. Further, he has also led or supported Training Needs Analyses (TNA), large-scale capability development programs, and leadership pipelines for technical, operational, and graduate employees.**

During his career life, Dr. Le Roux has gained his academic and field experience through his various significant positions and dedication as the **Training & Development General Manager, Departmental Head (Electrical), Project Manager, Account Manager, Commercial Sales Manager, Manager, Sales Engineer, Project Specialist, Psychology Practitioner, Senior Consultant/Trainer, Business Consultant, Assistant Chief Education Specialist, ASI Coordinator, Part-time Lecturer/Trainer, PMP & Scrum Trainer, Assessor & Moderator, Team Leader, Departmental Head, Senior HR Consultant, Senior Lecturer / Academic Supervisor, Technical Instructor/Qualifying Technician, Apprentice Electrician: Signals, International Trainer, and Part-Time Electrician** from various companies and universities such as the South African Railway (SAR), Department of Education & Culture, **ESKOM**, Logistic Technologies (Pty. Ltd), Human Development: Consulting Psychologies (HDCP) & IFS, Mincon, Eagle Support Africa, Sprout Consulting, UKZN, Grey Campus, Classis Seminars and CBM Training.

Dr. Le Roux has a **PhD in Leadership in Performance & Change**, a **Master's degree in Human Resource Management**, a **Bachelor's degree (with Honours) in Industrial Psychology**, a **National Higher Diploma** and a **National Technical Diploma in Qualified Electrical & Mechanical Engineering** from **Germiston College, South Africa**. Further, he is a **Certified Project Management Professional (PMP)**, a **PMI Authorized Training Partner (ATP) Instructor**, a **Certified Associate in Project Management (PMI-CAPM)**, a **Certified Scrum Master Trainer** by the VMEdu, a **Certified Instructor/Trainer** and a **Certified Internal Verifier/Assessor/Trainer** by the **Institute of Leadership & Management (ILM)**. Moreover, he is a **Registered Industrial Psychologist** by the Health Professions Council of South Africa (HPCSA), a **Registered Educator** by the South African Council for Educators (SACE) and a **Registered Facilitator, Assessor & Moderator** with Education, Training and Development Practices (ETDP) SETA. He has further delivered numerous trainings, courses, seminars, conferences and workshops globally.

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.

Learning Design & Customization

This course can be customized to the exact requirements of clients. Haward Technology is so proud of our huge capabilities in tailoring our courses to the training needs of our valued clients.

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, 04th of October 2026

0730 – 0800	Registration & Coffee
0800 – 0815	Welcome & Introduction
0815 – 0830	PRE-TEST
0830 – 0930	Principles of Compliance & Regulatory Governance Definition and Objectives of Compliance Management • Roles and Responsibilities of Compliance Professionals • Importance of Regulatory Compliance in Organizations • Corporate Governance and Ethical Leadership
0930 – 0945	Break
0945 – 1030	International Compliance Frameworks & Standards ISO 37301 Compliance Management Systems • ISO 37001 Anti-Bribery Management Systems • COSO Internal Control Framework • OECD Corporate Governance Principles
1030 – 1130	Legal & Regulatory Environment Types of Laws and Regulations Affecting Organizations • Regulatory Authorities and Enforcement Agencies • Understanding Legal Obligations and Statutory Requirements • Regulatory Updates and Legislative Monitoring
1130 – 1215	Compliance Risk Management Identifying Compliance Risks • Risk Assessment Methodologies • Compliance Risk Registers • Risk Prioritization Techniques

1215 – 1230	Break
1230 – 1330	Compliance Culture & Ethical Conduct Developing Ethical Workplace Culture • Code of Conduct and Professional Ethics • Conflict of Interest Management • Whistleblower Protection Programs
1330 – 1420	Compliance Organization Structure Compliance Governance Models • Roles of Board and Executive Management • Three Lines Model (Governance) • Compliance Reporting Relationships
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, 05th of October 2026

0730 – 0830	Designing an Effective Compliance Program Compliance Program Lifecycle • Compliance Policies and Procedures • Compliance Objectives and Planning • Resource Allocation
0830 – 0930	Regulatory Requirement Identification Regulatory Inventory Development • Legal Obligation Registers • Compliance Obligations Mapping • Regulatory Horizon Scanning
0930 – 0945	Break
0945 – 1100	Compliance Controls & Internal Control Systems Preventive Controls • Detective Controls • Corrective Controls • Compliance Monitoring Controls
1100 – 1215	Compliance Documentation & Record Management Documentation Requirements • Record Retention Policies • Document Version Control • Regulatory Evidence Management
1215 – 1230	Break
1230 – 1330	Compliance Training & Awareness Employee Compliance Training • Regulatory Awareness Campaigns • Competency Development • Measuring Training Effectiveness
1330 – 1420	Third-Party Compliance Management Vendor Due Diligence • Third-Party Risk Assessments • Contractor Compliance Monitoring • Supply Chain Compliance
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, 06th of October 2026

0730 – 0830	Compliance Monitoring Techniques Compliance Performance Indicators • Continuous Monitoring • Compliance Inspections • Dashboard Reporting
0830 – 0930	Compliance Auditing Internal Compliance Audits • Audit Planning • Audit Evidence Collection • Audit Reporting
0930 – 0945	Break
0945 – 1100	Regulatory Investigations Investigation Procedures • Evidence Preservation • Interview Techniques • Regulatory Cooperation

1100 – 1215	Incident Reporting & Corrective Actions Compliance Incident Management • Root Cause Analysis • Corrective Action Plans • Preventive Action Programs
1215 – 1230	Break
1230 – 1330	Regulatory Reporting Mandatory Reporting Obligations • Regulatory Submissions • Management Reporting • Board Reporting
1330 – 1420	Compliance Performance Measurement Compliance KPIs • Maturity Assessments • Benchmarking • Continuous Improvement
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, 07th of October 2026

0730 – 0830	Anti-Bribery & Anti-Corruption Compliance Bribery Risk Identification • Gifts and Hospitality Policies • Third-Party Corruption Risks • ISO 37001 Implementation
0830 – 0930	Anti-Money Laundering (AML) & Financial Crime Compliance AML Regulatory Framework • Customer Due Diligence (CDD) • Know Your Customer (KYC) • Suspicious Transaction Reporting
0930 – 0945	Break
0945 – 1100	Data Privacy & Information Protection Data Protection Principles • Privacy Regulations (e.g., GDPR Concepts) • Information Security Responsibilities • Data Breach Management
1100 – 1215	Trade Compliance & Sanctions International Trade Regulations • Export Controls • Economic Sanctions • Restricted Party Screening
1215 – 1230	Break
1230 – 1330	Environmental, Health & Safety (EHS) Compliance Environmental Regulations • Occupational Safety Compliance • Regulatory Permits • Compliance Inspections
1330 – 1420	Industry-Specific Regulatory Compliance Financial Services Regulations • Energy and Utilities Compliance • Manufacturing Compliance • Healthcare and Pharmaceutical Regulations
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, 08th of October 2026

0730 – 0830	Compliance Leadership Leadership Responsibilities • Decision-Making Under Regulatory Requirements • Influencing Organizational Behavior • Building Compliance Accountability
0830 – 0930	Compliance Technology & Digital Transformation Governance, Risk and Compliance (GRC) Software • Regulatory Technology (RegTech) • Artificial Intelligence in Compliance • Automated Compliance Monitoring

0930 – 0945	Break
0945 – 1100	Crisis Management & Regulatory Response Regulatory Inspections • Managing Enforcement Actions • Crisis Communication • Business Continuity Considerations
1100 – 1215	Global Compliance Trends ESG-Related Regulatory Developments • Cybersecurity Compliance • Cross-Border Regulatory Coordination • Emerging International Regulations
1215 – 1230	Break
1230 – 1245	Practical Compliance Workshops Compliance Risk Assessment Exercise • Regulatory Case Study Analysis • Mock Regulatory Investigation • Compliance Reporting Workshop
1245 – 1300	Action Planning Review of Key Compliance Concepts • Knowledge Assessment and Discussion • Individual Compliance Improvement Plans
1300 – 1315	Course Conclusion Using this Course Overview, the Instructor(s) will Brief Participants about the Course Topics that were Covered During the Course
1315 – 1415	COMPETENCY EXAM
1415 – 1430	Presentation of Course Certificates
1430	Lunch & End of Course

Practical Workshops Included Throughout the Course

- Developing a Compliance Management System (CMS)
- Building a Regulatory Compliance Register
- Conducting Compliance Risk Assessments
- Designing Compliance Policies and Procedures
- Compliance Audit Planning and Execution
- Regulatory Investigation Simulation
- AML/KYC Due Diligence Exercises
- Third-Party Compliance Risk Assessment
- Compliance Dashboard and KPI Development
- ISO 37301 Compliance Management System Implementation
- ISO 37001 Anti-Bribery Management System Case Study
- Regulatory Inspection and Enforcement Simulation



Software Tools Demonstration

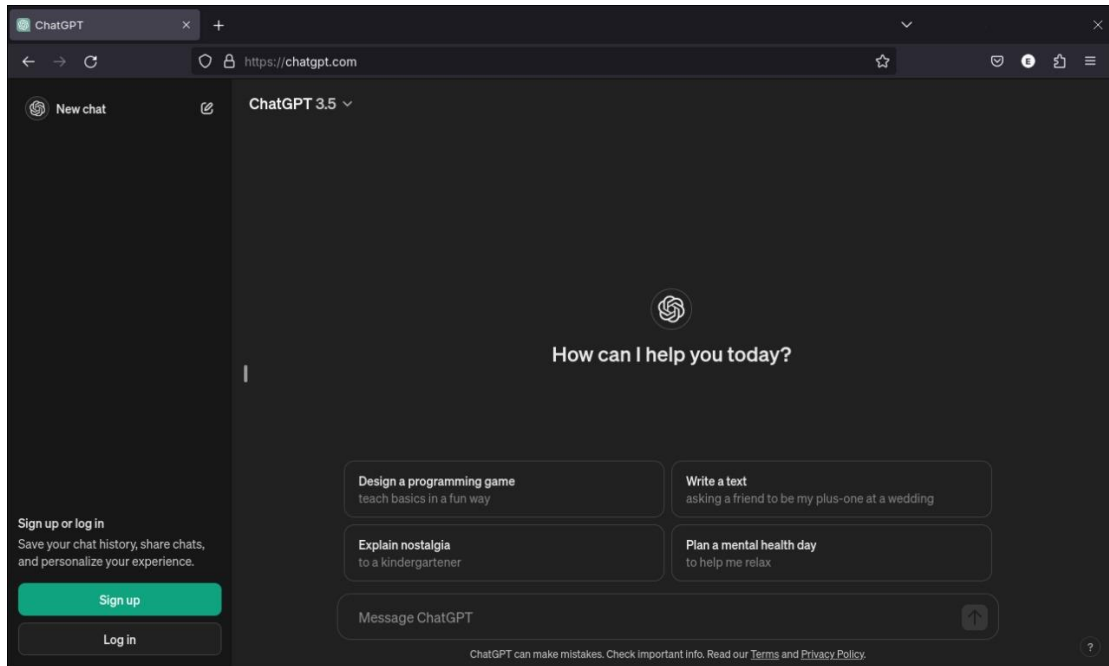
Practical sessions will be demonstrated through software tools during the course for delegates. Delegates will have an opportunity to understand the exercises using the “Mindview Software”, “Visio Software”, “ChatGPT” and “PMI Infinity”.

The screenshot displays the Mindview Software interface. The main window shows a mind map titled "Problem Solving" with branches for "Assessment", "Planning", "Monitoring", and "Measurement". A red arrow points from the mind map to a Word document titled "PROBLEM SOLVING". The Word document contains a list of steps for problem solving, including "Recognize symptoms", "Set up team", "Identify main problems", "Select problem", "Measure results", and "Monitor progress".

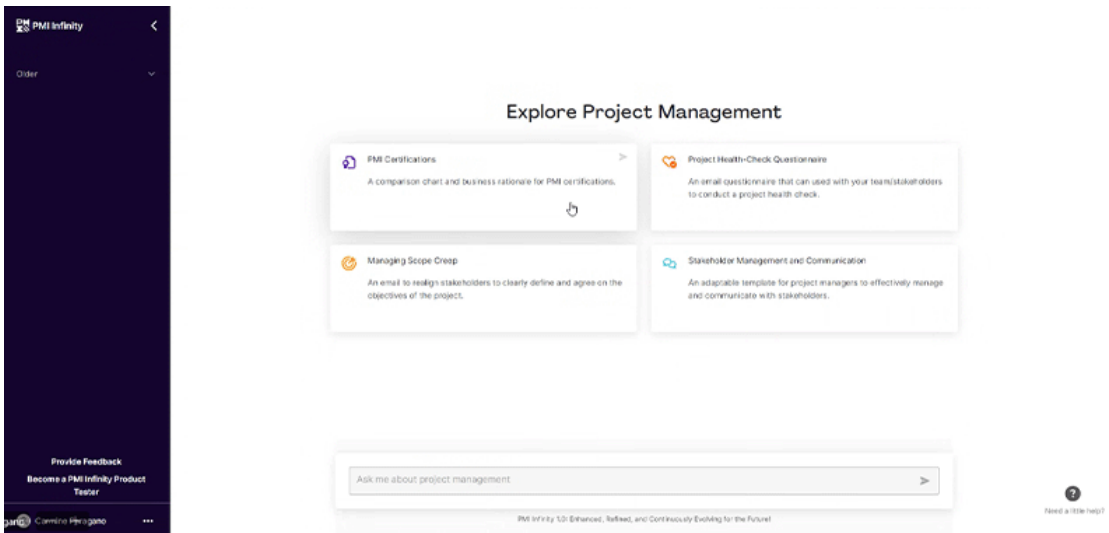
Mindview Software

The screenshot displays the Visio Software interface. The main window shows an Ishikawa diagram titled "Ishikawa diagram - Factors reducing competitiveness". The diagram is a fishbone diagram with a central spine pointing to a red box labeled "Reduced Competitiveness". The spine is divided into three sections: "External Environment", "Management Project Approach", and "Management". Various factors are listed on the left and right sides of the spine, such as "Lobbying", "Absence of Change Management Rules", "High Prices of Development", "Lack of Training Programs", "Incompetent Managers", "Contradiction between the Duties and Powers", "No Interest in the Outcome", "Lack of Market Research", "Learning and Development", "Process Landscape Doesn't Correspond to Activities", "Formal Implementation of the Standard ISO 9001:2000", "Incompetent Managers", "Lack of Motivation Programs", "Incorrect BNP", "Process Approach to Management", "Staff", and "Corporate Structure".

Visio Software



ChatGPT Software



PMI Infinity

Course Coordinator

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