Compliance Program Design and Effectiveness Training Course

Professional Development Training Course Outline

Category	Risk Management	**Duration**	5 Days
Base Fee	$1,500 USD	**Delivery Mode**	Online / On-site Hybrid

Course Introduction

In today's hyper-regulated global business landscape, a robust Ethics & Compliance Program is no longer a mere legal formality but a strategic imperative for organizational resilience and sustained success. The speed of digital transformation, coupled with rising expectations from regulators, investors, and the public, demands a proactive, data-driven approach to risk management. Compliance Program Design and Effectiveness Training Course is specifically designed to transition compliance professionals from a reactive, check-the-box mentality to a holistic, Culture of Compliance framework. We equip participants with the Governance, Risk, and Compliance methodologies and tools necessary to design, implement, and, critically, measure a program that not only meets global standards but also fosters ethical decision-making at every level of the organization.

The current environment is characterized by the acceleration of risks related to AI Governance, Cybersecurity, and complex ESG (Environmental, Social, and Governance) mandates, alongside traditional concerns like Anti-Corruption and Anti-Money Laundering. An effective compliance program must be adaptive, technology-leveraged, and deeply integrated into the business operations. This course provides the blueprints for creating a program that demonstrates accountability and transparency, turning regulatory requirements into a competitive advantage by building stakeholder trust and safeguarding the enterprise's reputation and bottom line. Data privacy, third-party risk management, and continuous monitoring are explored as core components of a modern, future-proof compliance function.

Programme Curriculum

Compliance Program Design and Effectiveness Training Course

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Course Duration

5 days

Course Objectives

1. Strategize a Risk-Based Compliance framework aligned with evolving Regulatory Technology.
2. Design a program structure that meets global standards and promotes Ethical Culture development.
3. Implement advanced Third-Party Due Diligence and Supply Chain Compliance controls to mitigate extended enterprise risk.
4. Develop robust, role-specific Compliance Training strategies utilizing modern, engaging, and measurable learning methodologies.
5. Establish clear and enforceable Code of Conduct and policy management frameworks across global operations.
6. Master the principles of Internal Investigations and Incident Response planning to ensure timely, defensible remediation.
7. Leverage Data Analytics and Continuous Monitoring techniques for proactive identification of high-risk transactions and behavioral red flags.
8. Evaluate program efficacy using Key Performance Indicators (KPIs) and Key Risk Indicators (KRIs) for continuous improvement.
9. Integrate ESG Compliance and Sustainable Governance practices into the core E&C program architecture.
10. Address emerging technology risks, specifically focusing on AI Governance and Cybersecurity Compliance mandates.
11. Cultivate Speak-Up Culture through effective, confidential, and non-retaliatory internal reporting mechanisms.
12. Define roles, responsibilities, and Accountability for compliance throughout the organization
13. Prepare for and effectively manage Regulatory Audits and enforcement actions by documenting program effectiveness and control design.

Target Audience

1. Compliance Officers and Managers
2. Ethics & Governance Professionals
3. Internal Auditors and Risk Managers
4. Legal Counsel and Regulatory Affairs Specialists
5. Chief Financial Officers (CFOs) and Senior Business Leaders
6. Human Resources (HR) and Training Directors
7. Third-Party and Vendor Management Specialists
8. Information Security and Data Privacy Officers

Course Modules

Module 1: Foundational Elements and Regulatory Expectations

- Core principles of the US DOJ Evaluation of Corporate Compliance Programs.
- Defining and embedding the 'Tone at the Top' and 'Culture in the Middle'.
- Conducting comprehensive, enterprise-wide Compliance Risk Assessments.
- Mapping legal obligations to internal policies and controls.
- Case Study: Analyzing a recent FCPA enforcement action to deconstruct the regulator's view on "ineffective compliance program."

Module 2: Policy and Procedure Management

- Developing a clear, accessible, and globally consistent Code of Conduct.
- The lifecycle of policy management
- Structuring policies for high-risk areas
- Strategies for policy attestation and version control management.
- Case Study: A multinational company's failure to localize an Anti-Corruption policy, leading to a foreign subsidiary violation.

Module 3: Effective Compliance Training and Communications

- Moving beyond "check-the-box".
- Leveraging Microlearning and Scenario-Based Training for engagement.
- Measuring the impact and effectiveness of training
- Communication strategies to maintain continuous compliance awareness.
- Case Study: Evaluating the impact of gamified compliance training versus traditional lecture-style modules on employee behavior post-training.

Module 4: Third-Party Risk Management (TPRM)

- Establishing a risk-tiered due diligence process for all vendors and partners.
- Contractual clauses.
- Continuous monitoring of high-risk third parties
- Addressing Supply Chain Human Rights and ESG risks in the vendor lifecycle.
- Case Study: A major retailer facing regulatory scrutiny due to poor labor practices found deep within their supply chain and their subsequent remediation plan.

Module 5: Internal Reporting and Investigations

- Designing an effective, confidential, and anonymous Whistleblowing Hotline system.
- Developing and publicizing a robust Non-Retaliation Policy.
- Best practices for scoping, conducting, and documenting internal investigations.

- Determining root cause analysis and implementing effective corrective and disciplinary action.
- Case Study: A financial institution's mishandling of an internal misconduct report that led to a breakdown of employee trust and a significant regulatory penalty.

Module 6: Monitoring, Auditing, and Testing

- Implementing Continuous Monitoring controls using automated tools and Data Analytics.
- Distinguishing between Auditing and Monitoring
- Developing and tracking Key Risk Indicators and Compliance Metrics.
- Using internal audit and self-assessment to Test Program Design and operating effectiveness.
- Case Study: A logistics firm using predictive analytics to flag suspicious expense reports and proactively prevent embezzlement before significant loss occurred.

Module 7: Global Data Privacy and Technology Compliance

- Overview of major global frameworks.
- Implementing Privacy by Design and conducting Data Protection Impact Assessments.
- Managing cross-border data transfers and data localization requirements.
- Compliance considerations for adopting Generative AI and other new technologies.
- Case Study: A technology company's strategy to achieve multi-jurisdictional data privacy compliance with a unified policy and technology platform.

Module 8: Program Evaluation and Future-Proofing

- Measuring Program Effectiveness using quantitative and qualitative data.
- Benchmarking the program against industry standards and enforcement guidance.
- Developing an Adaptive Compliance strategy for continuous improvement and regulatory horizon scanning.
- Demonstrating the value of compliance as an enabler of business strategy.
- Case Study: Preparing the 'Proof of Program' for a hypothetical deferred prosecution agreement (DPA) exit requirement.

Training Methodology

This course employs a participatory and hands-on approach to ensure practical learning, including:

- Interactive lectures and presentations.
- Group discussions and brainstorming sessions.
- Hands-on exercises using real-world datasets.
- Role-playing and scenario-based simulations.
- Analysis of case studies to bridge theory and practice.
- Peer-to-peer learning and networking.
- Expert-led Q&A sessions.
- Continuous feedback and personalized guidance.

Register as a group from 3 participants for a Discount

Send us an email: info@fineskilltrainingcenter.org or call +254769199797

Certification

Upon successful completion of this training, participants will be issued with a globally- recognized certificate.

Tailor-Made Course

We also offer tailor-made courses based on your needs.

Key Notes

a. The participant must be conversant with English.

b. Upon completion of training the participant will be issued with an Authorized Training Certificate

c. Course duration is flexible and the contents can be modified to fit any number of days.

d. The course fee includes facilitation training materials, 2 coffee breaks, buffet lunch and A Certificate upon successful completion of Training.

e. One-year post-training support Consultation and Coaching provided after the course.

f. Payment should be done at least a week before commence of the training, to Fineskill Training Center account, as indicated in the invoice so as to enable us prepare better for you.

Upcoming Scheduled Sessions

Start Date	End Date	Location	Price
23 Nov 2026	27 Nov 2026	Online	$1,000
23 Nov 2026	27 Nov 2026	Physical	$1,500
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$3,000
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$4,500
23 Nov 2026	27 Nov 2026	Physical	$6,000
23 Nov 2026	27 Nov 2026	Physical	$6,000

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