XCELERATE TRAINING INSTITUTE

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AUDIT, COMPLIANCE AND GOVERNANCE

Compliance Officer

DURATION	LANGUAGE	FORMAT
5 days	**English**	**Classroom / Online**

Upcoming dates

Dates	Venue	Format	Fee
4 – 8 Jan 2027	Live online	Online (live)	**€1,200**
8 – 12 Feb 2027	London	Classroom	**€4,800**
12 – 16 Jul 2027	Live online	Online (live)	**€1,200**

Register or ask a question

Online: staging.x8ti.com/course/compliance-officer/

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Compliance Officer

Introduction

Applied law and compliance are aspects critical to the maintenance of operational hygiene for the success of a business. Applied law refers to the rules, regulations, policies and clauses applicable and applied to various areas of operations within an organization, which encompass processes, infrastructure, business transactions, employees and clients.

Compliance training refers to conformance or adherence to a rule or set of rules placed out through policy, law or specification. This conformance could be to internal systems and/or external rules. Compliance is undertaken to ensure that an organization is meeting legal obligations to protect the health, welfare and safety of others.

Laws are agents to modernization and social change for the better. They act as catalysts in the process of social transformation of people. Applied law and compliance are extremely necessary to ensure that an organization is moving in the correct direction and adhering to the standards set out at the start to achieve the end objective of success.

Regulatory compliance is an organization’s efforts to keep regular checks and regulate operations, processes and policies to ensure that it is conforming to relevant standards, laws and policies that have been accepted universally. Many corporates have a corporate compliance program to maintain compliance in all areas of their operations.

Compliance training is extremely important to educate employees about various rules and regulations about their industry. Further, training will increase understanding of the reason and objective behind various laws and rules and will help an organization and its employees take advantage of the various benefits that these rules have to offer.

An organization performs various activities that qualify as law adherence or compliance, such as obtaining licenses and necessary permissions for its activities or paying taxes, among others. Compliance is the basic means by which an organization can decrease risks of paying fines or penalties.

Hiring a compliance expert is also one of the methods to ensure that the organization is up to date with all prescribed standards and rules. While compliance is a very critical aspect of good governance, it could sometimes require enforcement.

This Xcelerate Training Institute training course will empower you with an in-depth understanding of applied law and compliance, right from initiation to realization.

It will provide you with the necessary knowledge, information and experience to not only play an important part in ensuring that your organization is compliant with industry standards but will also provide you with the confidence to be part of setting the required standards or influencing decision making related to this.

The information and skills gained through this course will help you understand rules and regulations as

well as relevant policies in-depth to help derive maximum advantage from the benefits that these policies and laws have to offer.

It will also help you assume positions of influence and responsibility that impact colleagues and your organization at large, thus providing a larger platform to demonstrate talent and ability to foster future growth and progression.

Learning Objectives

The main objective of this Certified Compliance Officer course is to empower working professionals with—

- complete knowledge and information related to applied law and compliance training
- in-depth understanding of the objectives and motives behind certain rules and policies, which in turn will help them derive maximum benefits out of these policies
- the required skill and awareness to understand and prepare for possible fraud and non-compliance-related issues
- experience and exposure to understand and/or identify business process vulnerability to unethical and undesirable actions
- the required skill and ability to assess risks when preparing contracts to secure one's organization beforehand
- the necessary know-how and capability to play an important role in compliance and compliance-related initiatives for one's organization, in turn fostering career growth and progression through passive and experiential learning

Training Methodology

Each training course at Zoe Talent Solutions is customized to the minutest detail possible. While the course modules and content are prepared in advance, these are reviewed before each training session to identify necessary changes and customization to suit the audience to foster relativity and better learning.

The training involves face-to-face discussions, interactions and presentations. Group learning through activities, competitions, etc. promote two-way participation. Case studies and role-plays help the training audience relate to real-life, practical scenarios.

Further, the trainer also discusses current compliance issues being faced by trainees or their organizations and helps the trainees find ways to overcome these using the knowledge and experience gained through the course.

Like all Xcelerate Training Institute courses, this course too follows the unique yet effective Do–Review–Learn–Apply Model.

Benefits for Your Organisation

With professionals attending this Certified Compliance Officer course, their organizations will benefit in the following ways:

- Naturally trained and experienced employees who ensure compliance and play an important part in

up-gradation of policies and processes with changing standards

- Better risk assessment before or during contract preparation, resulting in more risk-free and appropriate contracts for any business association
- Reduced costs because of lesser need and opportunities to pay fines and penalties for non-adherence
- Better preparedness to handle fraud and other illegal and unethical incidents
- Regular internal audits and revisions to protect against fraud and ensure adherence to relevant standards
- Better framed policies setting out all possibilities and precautions by the law and compliance requirements
- Improved brand image among prospective employees and clients because of adherence to universally acceptable standards, thus improving credibility
- Higher employee retention because of employee-friendly policies and processes

Benefits for You

Professionals undertaking this Certified Compliance Officer course will benefit in the following ways:

- Increased knowledge and understanding of applied law and compliance
- Greater awareness of risks to business operations and processes and more exposure to make relevant changes in these
- Better preparedness to handle incidents of fraud and other illegal and unethical practices
- Increased skill and capabilities to understand the objective behind rules and regulations set out in policies to take maximum advantage of the benefits they have to offer
- Increased ability to partake in internal audits to ensure adherence and compliance
- Increased skill to be part of policymaking while ensuring that all important aspects are taken care of when framing the policies
- Greater experience and confidence to demonstrate one’s abilities and potential to assume higher roles and responsibilities, thus favoring career growth and development

Who Should Attend

- Senior members and top management of organizations responsible for ensuring that organizations and their processes and transactions are compliant with the required standards
- Internal and external auditors responsible for undertaking regular audits of systems and processes to check adherence and conformance to law and standards
- Policymakers responsible for creating policies including all necessary components to foster adherence to universally set standards
- Financial investigators responsible for auditing and investigating finance statements to confirm ethical business operations throughout
- Law enforcement agencies responsible for ensuring that laws applicable to certain organizations and industries are being followed by them
- Mid-level managers and human resource professionals responsible for overseeing the audit process and ensuring adherence to systems and processes at a day-to-day level
- Any other professional interested in understanding and knowing more about applied law and

compliance

Course Outline

The Certified Compliance Officer course will cover the following areas important for understanding applied law and compliance:

Importance of Law and Compliance

- Reduced legal problems
- Improved operations and safety
- Better public relations
- Higher employee retention

Purpose of Applied Law

- Establishing standards
- Maintaining order
- Resolving disputes
- Protecting liberties and rights

Types of Compliance

- With government-imposed standards
- With industry standards and codes of practice
- With external client contract specifications
- With licensing, permits, accreditations, certifications, etc.

Types of Compliance Risks

- Environmental risks
- Workplace health and safety
- Corrupt practices
- Social responsibility
- Quality
- Process risks

Key Elements of a Corporate Compliance Program

- Risk identification and assessment
- Standards, policies, procedures and controls
- Leadership commitment
- Communication, guidance and training
- Monitoring, auditing and reviewing
- Discipline and reporting

Important Functions of a Compliance Department

- Identification (identify risks and advise)
- Prevention (design and implement controls against risks)
- Monitoring and detection (monitor and report the effectiveness of controls)

- Resolution (resolve compliance difficulties)
- Advisory (advice on rules and controls)

Key Features of Enforcement

- Inspection
- Investigation process
- Surveillance powers
- Imposition of remedial or corrective action
- Imposition of fines and penalties

Hindrances to Applied Law Adherence and Compliance

- Lack of real management support
- Prioritizing risk-taking
- Lack of employee awareness on purpose
- Lack of resources
- Lack of constancy
- Lack of integration among departments

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Registration Form

Compliance Officer

Preferred dates: ..... Venue or online: .....

Duration: 5 days Language: .....

Please complete and email this form to us, or register online. We confirm your place and send the invoice within one working day.

Delegate information

Full name (Mr / Ms / Dr / Eng): .....

Position: ..... Telephone / mobile: .....

Official email: ..... Personal email: .....

Company information

Company name: .....

Address: .....

City / country: ..... VAT / tax number: .....

Person responsible for training & development

Full name (Mr / Ms / Dr / Eng): .....

Position: ..... Telephone / mobile: .....

Email: .....

Payment

☐ Please invoice me ☐ Please invoice my company

Signature: ..... Date: .....

Call
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Email this form
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Register online
Open the course page