

GOVERNANCE & COMPLIANCE | COURSE BROCHURE

Compliance Risk Assessment

5 days | Classroom training | English

SMART HORIZON
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Course content

Why attend

A compliance risk assessment shows where regulatory and conduct risks are highest so resources can be focused. This course covers how to identify applicable obligations, assess inherent compliance risk, evaluate control effectiveness, rate residual risk, prioritise actions and use the assessment to plan monitoring and training.

Compliance teams cannot cover everything equally. You will learn to focus on the risks that matter most.

Professional Problems This Course Is Designed to Solve

- Difficulty translating subject knowledge into practical workplace decisions.
- Inconsistent approaches to the activities covered in the course outline.
- Lack of a structured plan for applying and reviewing new skills.

Course methodology

Obligation mapping exercises, risk rating practice, case studies and planning workshops.

Course objectives

By the end of this course, participants will be able to:
- Identify applicable laws and obligations
- Assess inherent compliance risk
- Evaluate control design and effectiveness
- Determine residual risk ratings
- Prioritise compliance actions
- Use results to plan monitoring and training

Target audience

This course is suitable for:
- Compliance officers and managers
- Risk managers
- Internal auditors
- Legal professionals
- Governance staff



Course content

Target competencies

Participants will develop competencies in:

- Obligation mapping
- Risk rating
- Control evaluation
- Prioritisation
- Compliance planning

Course outline

Day 1: Compliance Risk

09:00–10:08	Compliance risk concepts
10:08–11:00	Regulatory expectations
11:00–11:30	**Coffee break**
11:30–11:45	Regulatory expectations (continued)
11:45–12:53	Approaches
12:53–14:00	Exercise

Day 2: Obligations

09:00–10:08	Obligation registers
10:08–11:00	Business mapping
11:00–11:30	**Coffee break**
11:30–11:45	Business mapping (continued)
11:45–12:53	Ownership
12:53–14:00	Workshop

Day 3: Assessment

09:00–10:08	Inherent risk factors
10:08–11:00	Control evaluation
11:00–11:30	**Coffee break**



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11:30–11:45	Control evaluation (continued)
11:45–12:53	Residual risk
12:53–14:00	Exercise

Day 4: Prioritisation

09:00–10:08	Heat maps
10:08–11:00	Action plans
11:00–11:30	**Coffee break**
11:30–11:45	Action plans (continued)
11:45–12:53	Resources
12:53–14:00	Case study

Day 5: Using Results

09:00–10:08	Monitoring plans
10:08–11:00	Training plans
11:00–11:30	**Coffee break**
11:30–11:45	Training plans (continued)
11:45–12:53	Reporting
12:53–14:00	Action plan

The timings provided are estimates and may vary depending on the number of participants and the discussions taking place during the sessions. They are indicative only and do not constitute a binding commitment.



Course content

Dates, venues and fees

Current published course plans. Fees are per participant in GBP, excluding unconfirmed taxes.

Venue	Start date	End date	Fee (GBP)
Rome Confirmed dates	16 Nov 2026	20 Nov 2026	**£2,450.–**
Online Confirmed dates	16 Nov 2026	20 Nov 2026	**£1,250.–**
Dubai Confirmed dates	30 Nov 2026	4 Dec 2026	**£3,150.–**
Online Confirmed dates	30 Nov 2026	4 Dec 2026	**£1,250.–**
Istanbul Confirmed dates	4 Jan 2027	8 Jan 2027	**£2,650.–**
Online Confirmed dates	4 Jan 2027	8 Jan 2027	**£1,250.–**
Rome Confirmed dates	25 Jan 2027	29 Jan 2027	**£2,450.–**
Online Confirmed dates	25 Jan 2027	29 Jan 2027	**£1,250.–**
Cape Town Confirmed dates	15 Feb 2027	19 Feb 2027	**£1,890.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	15 Feb 2027	19 Feb 2027	**£1,250.–**
Paris Confirmed dates	8 Mar 2027	12 Mar 2027	**£2,860.–**
Online Confirmed dates	8 Mar 2027	12 Mar 2027	**£1,250.–**
Barcelona Confirmed dates	22 Mar 2027	26 Mar 2027	**£2,840.–**
Online Confirmed dates	22 Mar 2027	26 Mar 2027	**£1,250.–**
Vienna Confirmed dates	12 Apr 2027	16 Apr 2027	**£2,940.–**
Online Confirmed dates	12 Apr 2027	16 Apr 2027	**£1,250.–**
London Confirmed dates	3 May 2027	7 May 2027	**£2,450.–**
Online Confirmed dates	3 May 2027	7 May 2027	**£1,250.–**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Cape Town Confirmed dates	24 May 2027	28 May 2027	**£1,890.-**
Online Confirmed dates	24 May 2027	28 May 2027	**£1,250.-**
Rome Confirmed dates	14 Jun 2027	18 Jun 2027	**£2,450.-**
Online Confirmed dates	14 Jun 2027	18 Jun 2027	**£1,250.-**
Kuala Lumpur Confirmed dates	28 Jun 2027	2 Jul 2027	**£1,450.-**
Online Confirmed dates	28 Jun 2027	2 Jul 2027	**£1,250.-**
Vienna Confirmed dates	19 Jul 2027	23 Jul 2027	**£2,940.-**
Online Confirmed dates	19 Jul 2027	23 Jul 2027	**£1,250.-**
London Confirmed dates	9 Aug 2027	13 Aug 2027	**£2,450.-**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	9 Aug 2027	13 Aug 2027	**£1,250.-**
Amsterdam Confirmed dates	30 Aug 2027	3 Sept 2027	**£2,540.-**
Online Confirmed dates	30 Aug 2027	3 Sept 2027	**£1,250.-**
Barcelona Confirmed dates	20 Sept 2027	24 Sept 2027	**£2,840.-**
Online Confirmed dates	20 Sept 2027	24 Sept 2027	**£1,250.-**
Cape Town Confirmed dates	4 Oct 2027	8 Oct 2027	**£1,890.-**
Online Confirmed dates	4 Oct 2027	8 Oct 2027	**£1,250.-**
Dubai Confirmed dates	25 Oct 2027	29 Oct 2027	**£3,150.-**
Online Confirmed dates	25 Oct 2027	29 Oct 2027	**£1,250.-**



Course content

Dates, venues and fees (continued)

Venue	Start date	End date	Fee (GBP)
Frankfurt Confirmed dates	15 Nov 2027	19 Nov 2027	**£2,650.-**
Online Confirmed dates	15 Nov 2027	19 Nov 2027	**£1,250.-**
Dubai Confirmed dates	6 Dec 2027	10 Dec 2027	**£3,150.-**
Online Confirmed dates	6 Dec 2027	10 Dec 2027	**£1,250.-**

Plan your next step

Dates, availability, exact venue, taxes, inclusions and payment terms require written confirmation. This brochure is not a quotation, registration, booking confirmation or visa invitation. Participants receive a Smart Horizon UK certificate of attendance; programmes are not externally accredited and do not award a professional qualification or designation. Confirm arrangements before booking travel.

For group or in-house training, contact our learning team to discuss your objectives and delivery arrangements.

Contact Smart Horizon

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View the latest course details online