

AUDITING AND GOVERNANCE RISK AND COMPLIANCE | COURSE BROCHURE

Mastering Ethical Governance in Risk and Compliance

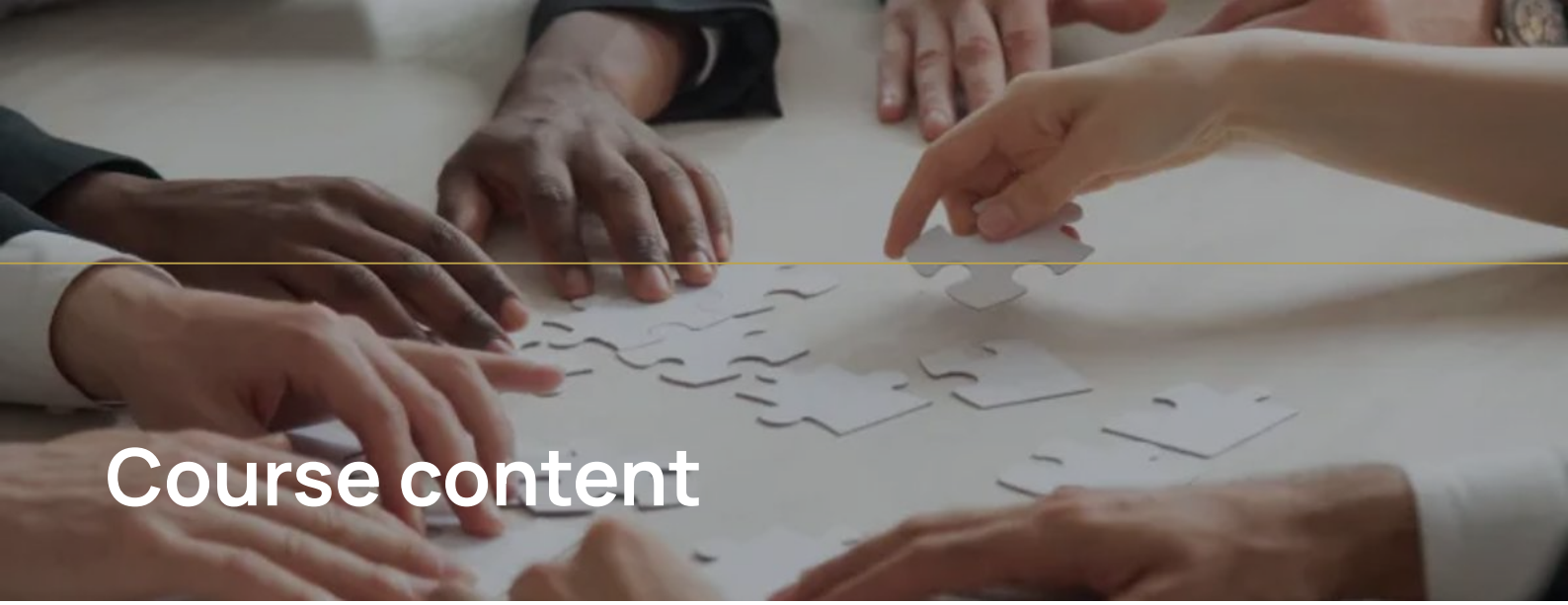
5 days | Classroom training | English

SMART HORIZON

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Course content

Why attend

This course equips professionals with the skills to navigate ethical governance in risk management and compliance. Participants will learn to identify ethical dilemmas, apply governance frameworks, and develop compliance strategies that align with organisational values and regulatory requirements.

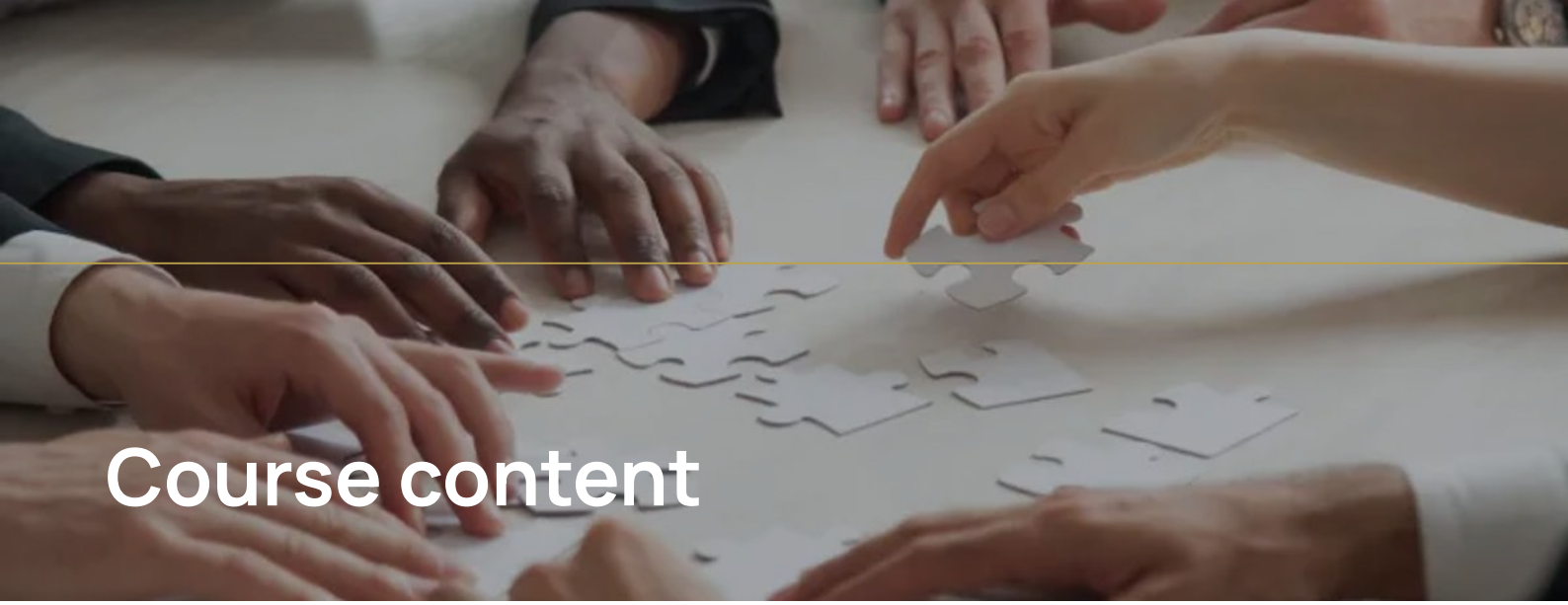
Ethical governance is critical for maintaining trust and integrity within organisations. Professionals in risk management and compliance often face challenges in balancing regulatory requirements with ethical considerations, leading to dilemmas that can impact decision-making and organisational reputation. Understanding how to navigate these complexities is essential for effective risk management, as failure to address ethical issues can result in legal repercussions, financial losses, and damage to stakeholder trust. This course empowers participants to identify ethical risks and develop strategies that uphold both compliance and organisational values, fostering a culture of integrity.
Participants will develop practical capabilities to assess ethical risks, implement governance frameworks, and create compliance strategies. Through real-world scenarios, they will practice making informed decisions that uphold ethical standards while managing compliance obligations. This course prepares professionals to lead with integrity and foster a culture of ethical governance. By engaging in discussions and simulations, participants will enhance their ability to navigate ethical dilemmas, ensuring that their organisations not only comply with regulations but also embody ethical principles in their operations. This skill set is essential for safeguarding organisational reputation and ensuring sustainable success.

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

The course employs a blend of case studies, role-playing exercises, and group discussions to enhance learning. Participants will engage in simulations that mimic real-world ethical dilemmas, allowing them to practice decision-making in a controlled environment. Each day includes practical exercises where participants will create governance frameworks, conduct risk assessments, and develop compliance strategies. Outputs will include risk assessment reports, compliance strategy documents, and governance frameworks tailored to their organisations. This hands-on approach ensures that participants can apply theoretical knowledge to practical situations, reinforcing their understanding of ethical governance in risk and compliance contexts. Participants will leave with tangible skills and documents that can be implemented in their workplaces.



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Course objectives

By the end of this course, participants will be able to:
• Analyse ethical dilemmas in risk management and compliance contexts.
• Design a governance framework that incorporates ethical principles and compliance requirements.
• Assess organisational compliance with relevant regulations and ethical standards.
• Justify decisions made in response to ethical challenges in risk scenarios.
• Construct a risk assessment report identifying ethical risks and mitigation strategies.
• Evaluate the effectiveness of existing compliance strategies against ethical governance standards.

Target audience

This course is suitable for:
• Compliance Officers responsible for ensuring adherence to regulations and ethical standards.
• Risk Managers tasked with identifying and mitigating risks while upholding ethical governance.
• Internal Auditors who evaluate compliance and ethical practices within organisations.
• Corporate Governance Professionals focused on implementing ethical frameworks and policies.

Target competencies

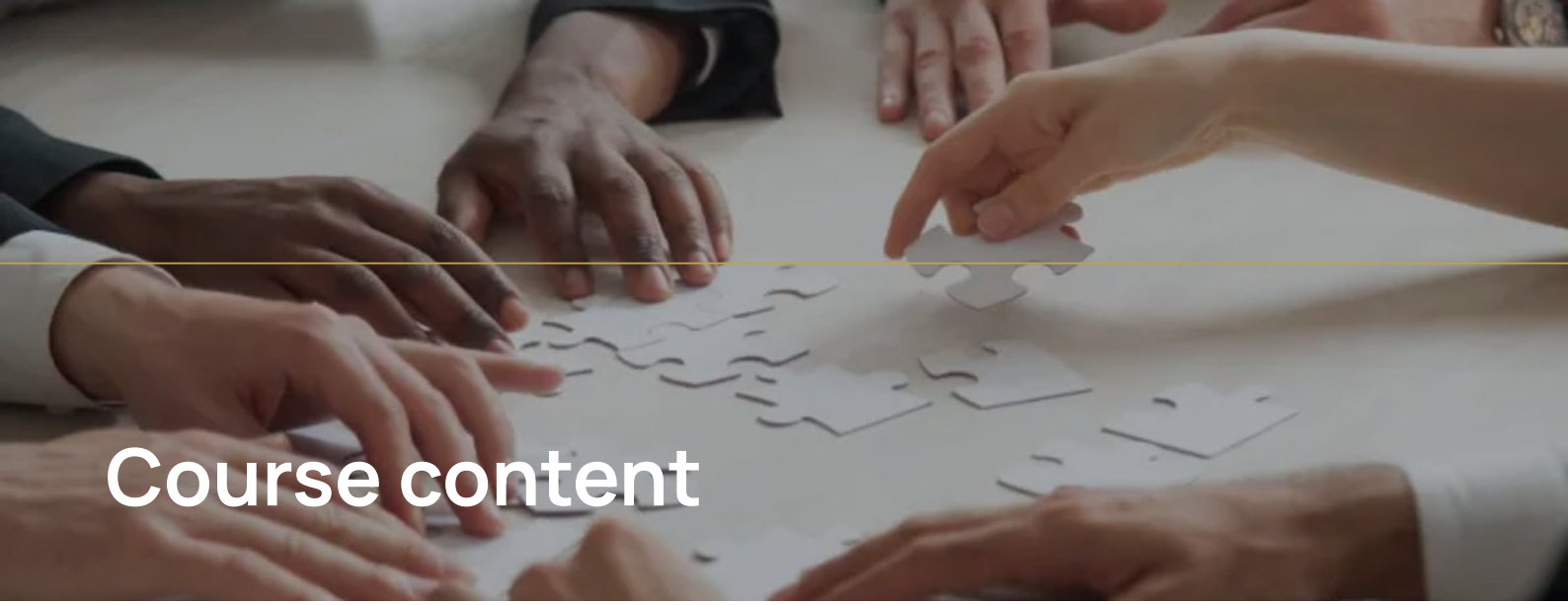
Participants will develop competencies in:
• Identify and analyse ethical risks in compliance scenarios.
• Develop and implement governance frameworks that promote ethical behaviour.
• Evaluate compliance strategies for alignment with ethical standards.
• Facilitate discussions on ethical dilemmas and decision-making processes.
• Create comprehensive risk assessments that address ethical considerations.
• Apply ethical principles to enhance organisational compliance practices.

Course outline

Day 1: Understanding Ethical Governance

Applied activity: In small groups, analyse a case study of an ethical governance failure. Identify the key ethical dilemmas and discuss alternative decisions that could have been made, considering the impact on stakeholders and compliance. Prepare a summary of your discussion points and recommendations for best practices.
Output: A group presentation summarising findings and alternative decisions made.

09:00–09:54	Define ethical governance and its importance in risk and compliance.
09:54–10:48	Explore key principles of ethical decision-making in organisations.



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10:48–11:00	Identify common ethical dilemmas faced by professionals in risk management.
11:00–11:30	**Coffee break**
11:30–12:12	Identify common ethical dilemmas faced by professionals in risk management. (continued)
12:12–13:06	Discuss the role of corporate culture in fostering ethical governance.
13:06–14:00	Review case studies of ethical governance failures and lessons learned.

Day 2: Frameworks for Ethical Governance

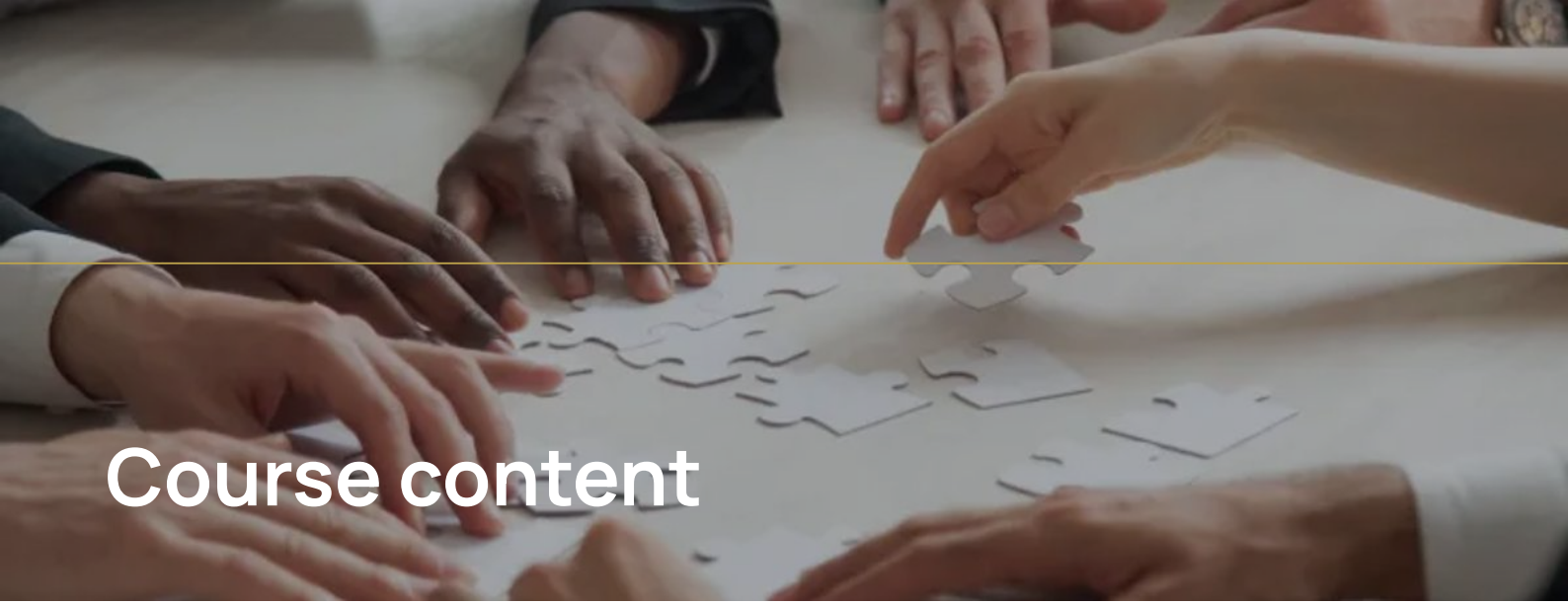
Applied activity: Participants will design a governance framework for a fictional organisation, incorporating ethical principles and compliance requirements. They will present their framework to the group for feedback and discuss how it aligns with organisational values and regulatory expectations.
Output: A draft governance framework document that outlines ethical principles.

09:00–09:54	Examine various governance frameworks that incorporate ethical principles and compliance requirements.
09:54–10:48	Discuss the role of stakeholders in ethical governance and their influence on decision-making.
10:48–11:00	Identify tools for assessing ethical compliance within organisations.
11:00–11:30	**Coffee break**
11:30–12:12	Identify tools for assessing ethical compliance within organisations. (continued)
12:12–13:06	Explore the relationship between governance frameworks and organisational values.
13:06–14:00	Develop a framework for ethical decision-making tailored to specific scenarios.

Day 3: Risk Assessment and Ethical Considerations

Applied activity: Conduct a risk assessment for a fictional organisation, focusing on ethical risks. Participants will identify potential ethical dilemmas and propose mitigation strategies, presenting their findings to the group for discussion and feedback.
Output: A comprehensive risk assessment report detailing ethical risks and strategies.

09:00–09:54	Learn methods for conducting ethical risk assessments in compliance contexts.
09:54–10:48	Identify ethical risks specific to different industries and organisational structures.
10:48–11:00	Discuss the impact of regulatory changes on ethical risk management practices.
11:00–11:30	**Coffee break**



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11:30–12:12	Discuss the impact of regulatory changes on ethical risk management practices. (continued)
12:12–13:06	Explore tools for monitoring and reporting ethical risks effectively.
13:06–14:00	Develop strategies for mitigating identified ethical risks in organisational policies.

Day 4: Compliance Strategies and Ethical Alignment

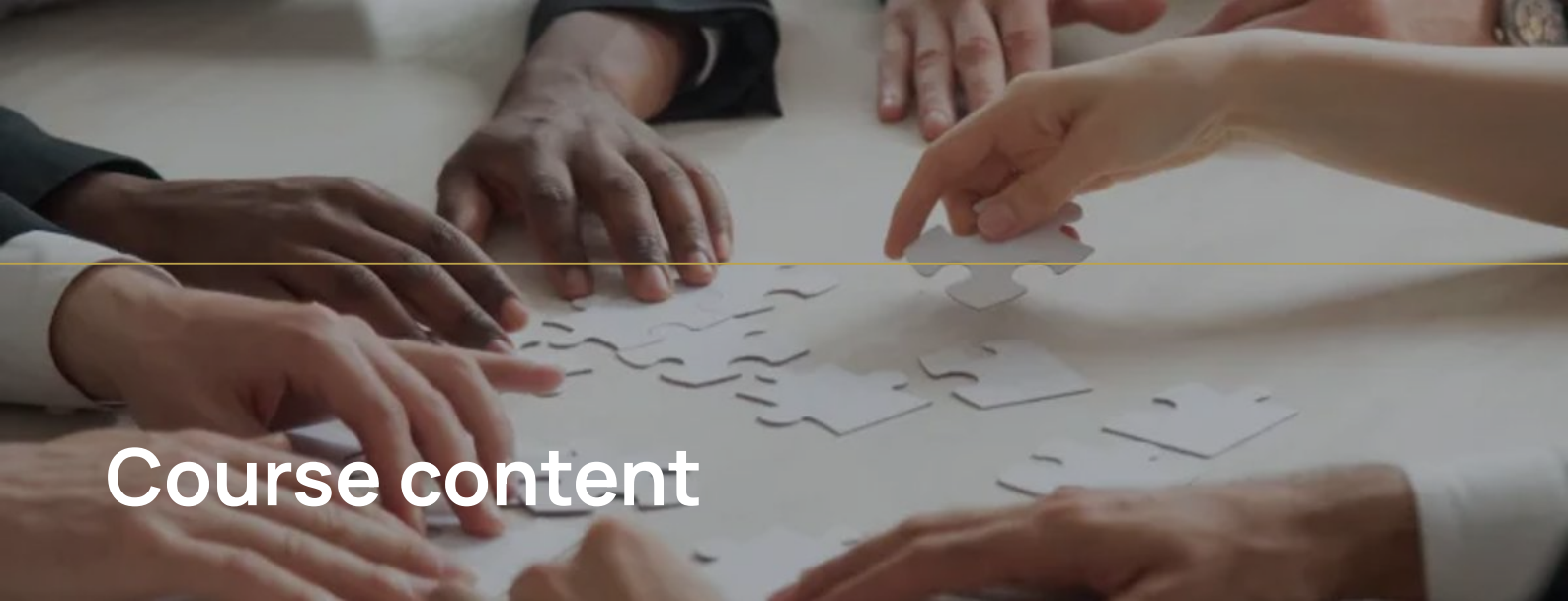
Applied activity: Create a compliance strategy for a fictional organisation, ensuring alignment with ethical governance principles. Participants will outline key compliance initiatives, training programs, and monitoring processes, and present their strategy to the group.
Output: A compliance strategy document that aligns with ethical governance.

09:00–09:54	Evaluate existing compliance strategies for ethical alignment and effectiveness.
09:54–10:48	Discuss the role of training and communication in promoting ethical compliance across the organisation.
10:48–11:00	Identify best practices for ethical compliance monitoring and reporting.
11:00–11:30	**Coffee break**
11:30–12:12	Identify best practices for ethical compliance monitoring and reporting. (continued)
12:12–13:06	Explore the relationship between compliance, corporate reputation, and stakeholder trust.
13:06–14:00	Develop a compliance strategy that addresses ethical governance and regulatory requirements.

Day 5: Integrated Ethical Governance Practice

Applied activity: In a simulated environment, participants will respond to a complex ethical dilemma, applying their knowledge of governance and compliance. They will present their decisions and rationale to the group, considering stakeholder impacts and ethical implications of their choices.
Output: A presentation outlining the decision-making process and ethical considerations.

09:00–09:54	Synthesize knowledge from previous days into a cohesive approach to ethical governance.
09:54–10:48	Discuss real-world ethical dilemmas and their implications for organisational decision-making.
10:48–11:00	Role-play scenarios to practice decision-making under ethical pressure and stakeholder scrutiny.
11:00–11:30	**Coffee break**
11:30–12:12	Role-play scenarios to practice decision-making under ethical pressure and stakeholder scrutiny. (continued)



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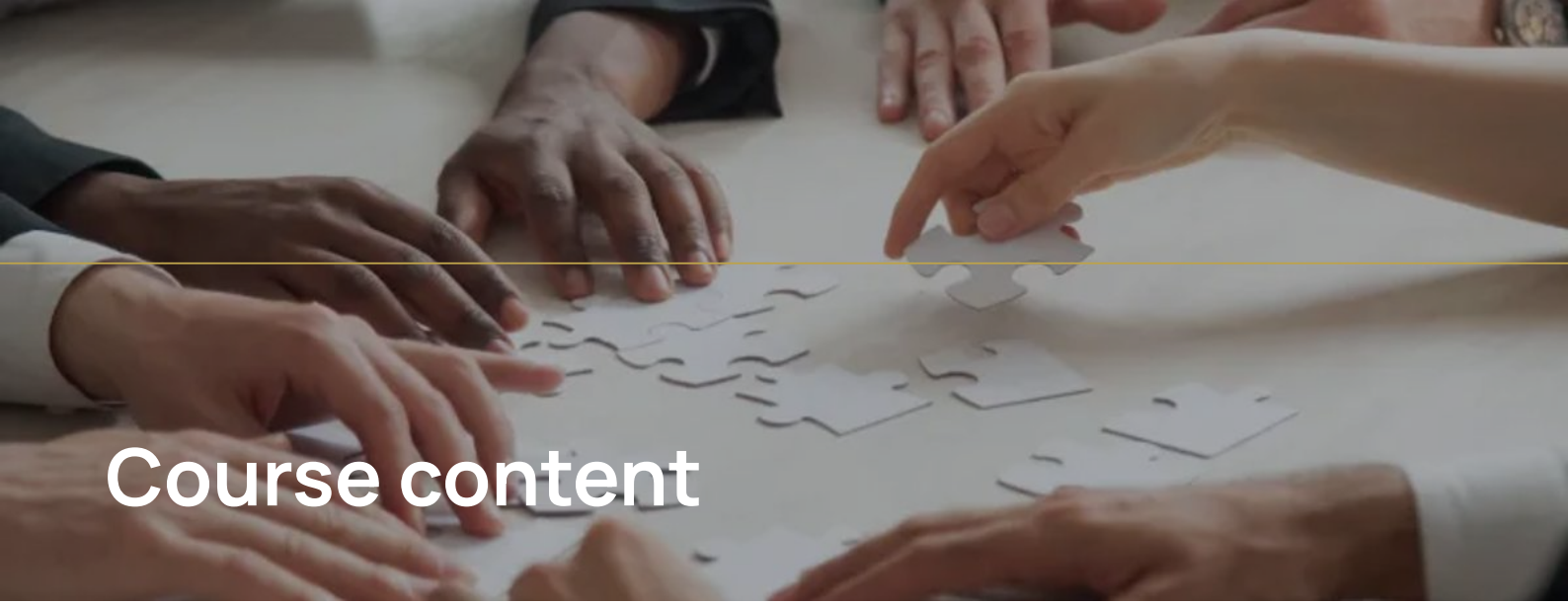
12:12–13:06	Evaluate the effectiveness of proposed governance frameworks and compliance strategies in real-time.
13:06–14:00	Prepare for ongoing ethical governance challenges in the workplace and develop action plans.

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.

Dates, venues and fees

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

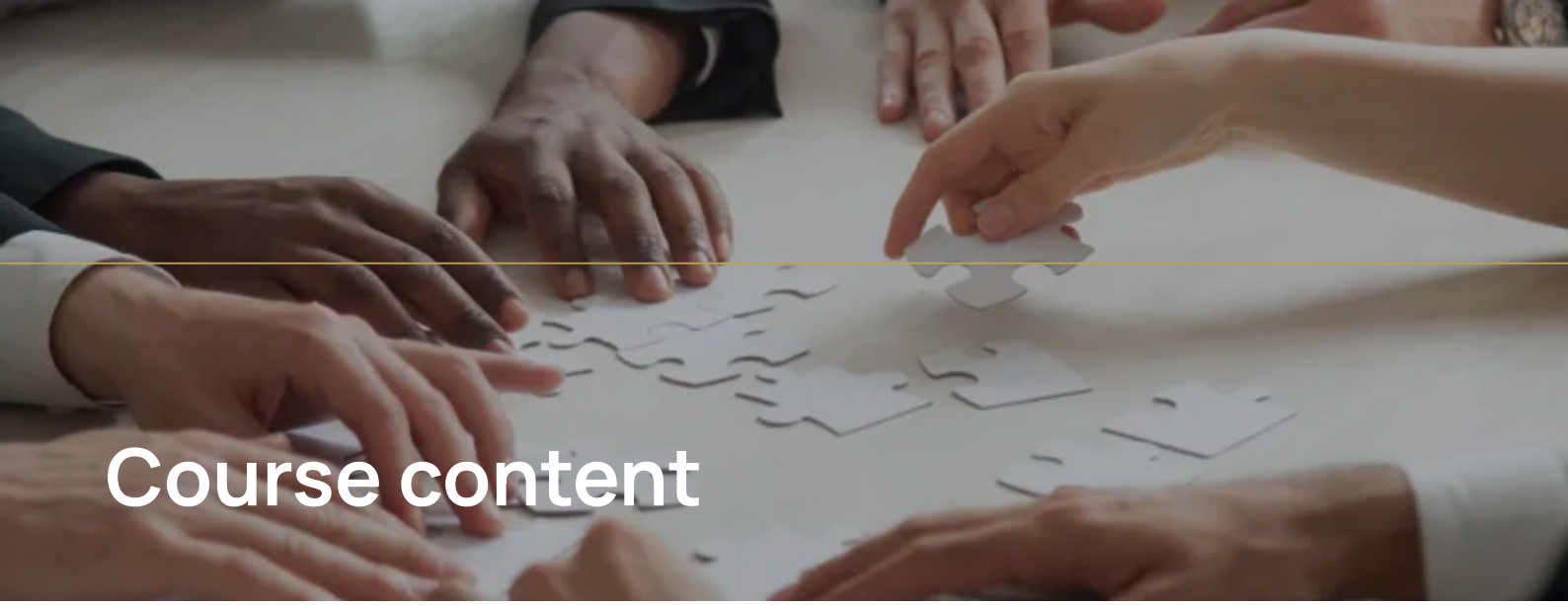
Venue	Start date	End date	Fee (GBP)
Dubai Confirmed dates	16 Nov 2026	20 Nov 2026	**£3,150.–**
Online Confirmed dates	16 Nov 2026	20 Nov 2026	**£1,250.–**
Cape Town Confirmed dates	23 Nov 2026	27 Nov 2026	**£1,890.–**
Online Confirmed dates	23 Nov 2026	27 Nov 2026	**£1,250.–**
Frankfurt Confirmed dates	7 Dec 2026	11 Dec 2026	**£2,650.–**
Online Confirmed dates	7 Dec 2026	11 Dec 2026	**£1,250.–**
Kuala Lumpur Confirmed dates	14 Dec 2026	18 Dec 2026	**£1,450.–**



Course content

Dates, venues and fees (continued)

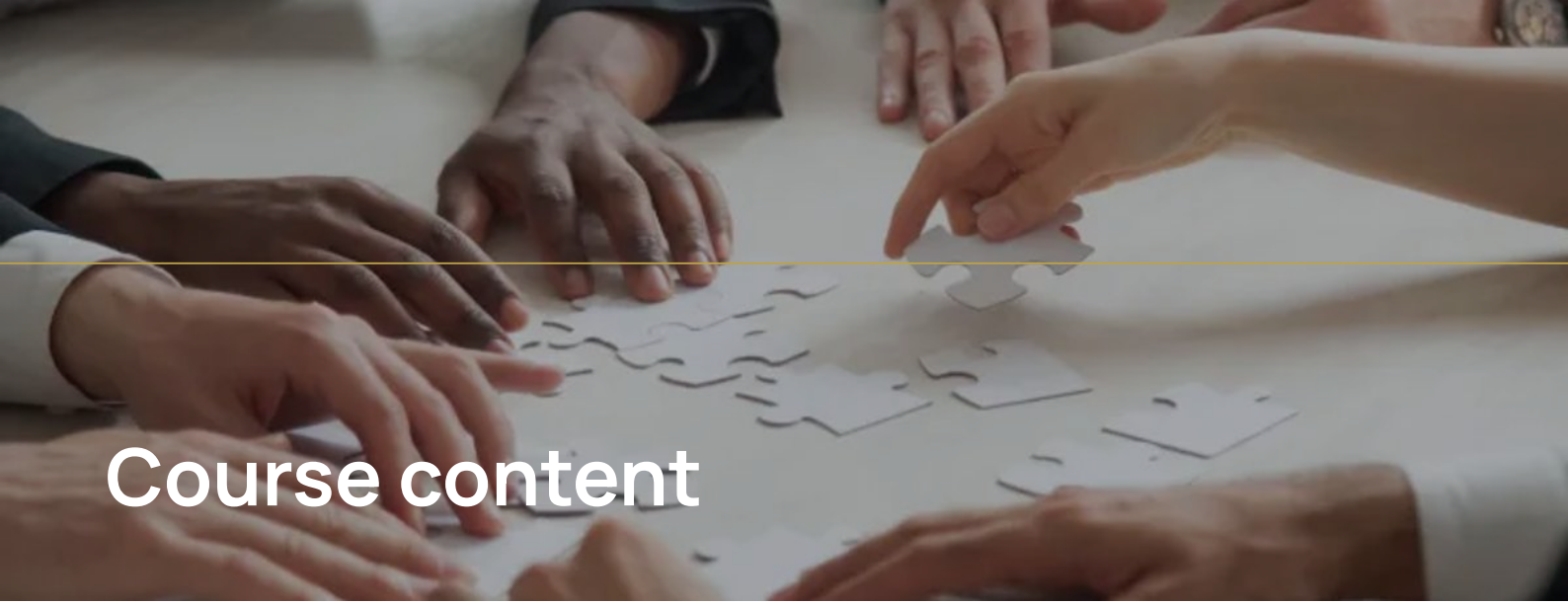
Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	14 Dec 2026	18 Dec 2026	**£1,250.-**
Paris Confirmed dates	4 Jan 2027	8 Jan 2027	**£2,860.-**
Online Confirmed dates	4 Jan 2027	8 Jan 2027	**£1,250.-**
Istanbul Confirmed dates	18 Jan 2027	22 Jan 2027	**£2,650.-**
Online Confirmed dates	18 Jan 2027	22 Jan 2027	**£1,250.-**
Amsterdam Confirmed dates	1 Feb 2027	5 Feb 2027	**£2,540.-**
Online Confirmed dates	1 Feb 2027	5 Feb 2027	**£1,250.-**
Singapore Confirmed dates	15 Feb 2027	19 Feb 2027	**£2,820.-**
Online Confirmed dates	15 Feb 2027	19 Feb 2027	**£1,250.-**



Course content

Dates, venues and fees (continued)

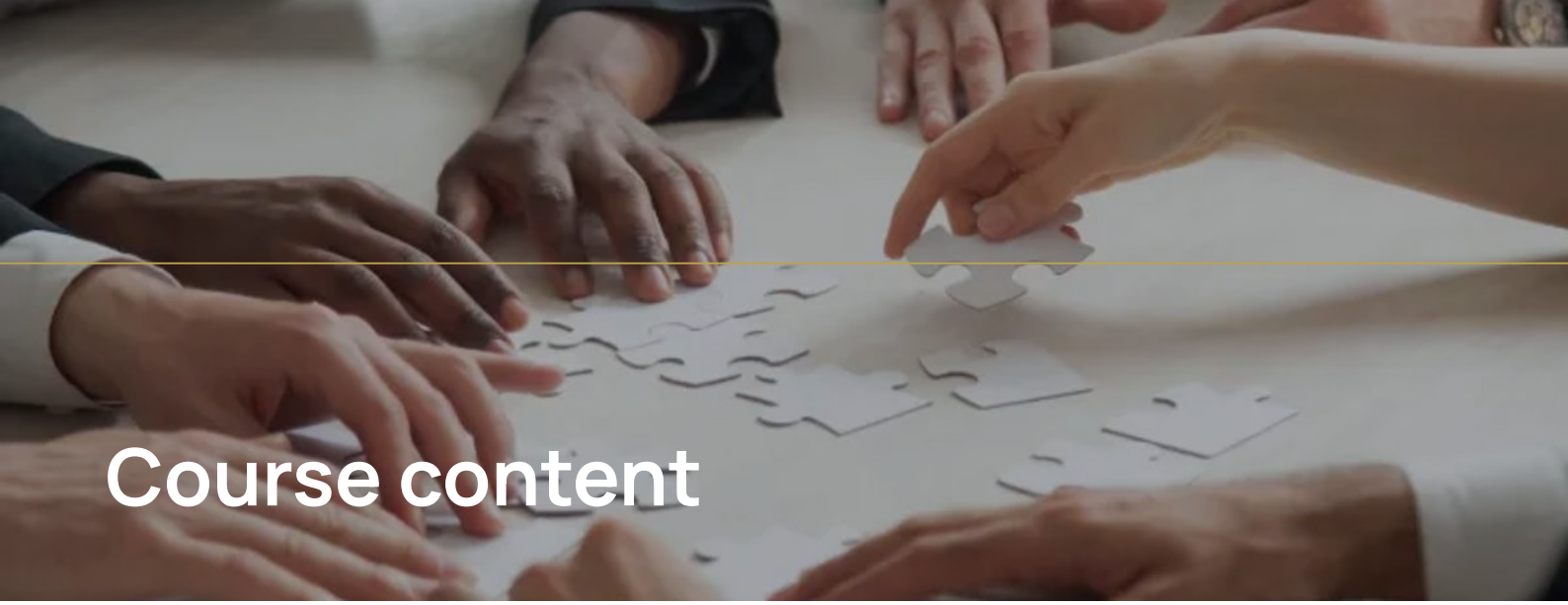
Venue	Start date	End date	Fee (GBP)
Vienna Confirmed dates	22 Feb 2027	26 Feb 2027	**£2,940.-**
Online Confirmed dates	22 Feb 2027	26 Feb 2027	**£1,250.-**
London Confirmed dates	1 Mar 2027	5 Mar 2027	**£2,450.-**
Online Confirmed dates	1 Mar 2027	5 Mar 2027	**£1,250.-**
Dubai Confirmed dates	15 Mar 2027	19 Mar 2027	**£3,150.-**
Online Confirmed dates	15 Mar 2027	19 Mar 2027	**£1,250.-**
Frankfurt Confirmed dates	5 Apr 2027	9 Apr 2027	**£2,650.-**
Online Confirmed dates	5 Apr 2027	9 Apr 2027	**£1,250.-**
Rome Confirmed dates	12 Apr 2027	16 Apr 2027	**£2,450.-**



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Dates, venues and fees (continued)

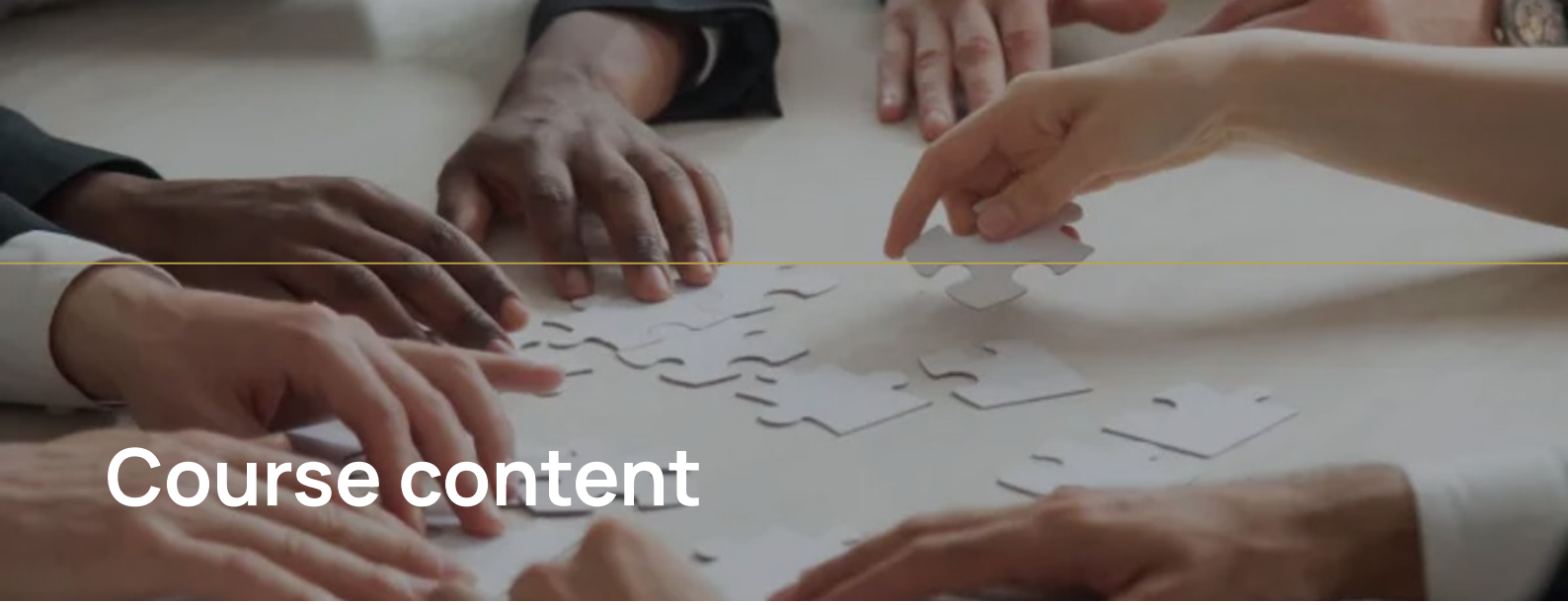
Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	12 Apr 2027	16 Apr 2027	**£1,250.-**
Kuala Lumpur Confirmed dates	19 Apr 2027	23 Apr 2027	**£1,450.-**
Online Confirmed dates	19 Apr 2027	23 Apr 2027	**£1,250.-**
Paris Confirmed dates	3 May 2027	7 May 2027	**£2,860.-**
Online Confirmed dates	3 May 2027	7 May 2027	**£1,250.-**
Istanbul Confirmed dates	17 May 2027	21 May 2027	**£2,650.-**
Online Confirmed dates	17 May 2027	21 May 2027	**£1,250.-**
Amsterdam Confirmed dates	7 Jun 2027	11 Jun 2027	**£2,540.-**
Online Confirmed dates	7 Jun 2027	11 Jun 2027	**£1,250.-**



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Dates, venues and fees (continued)

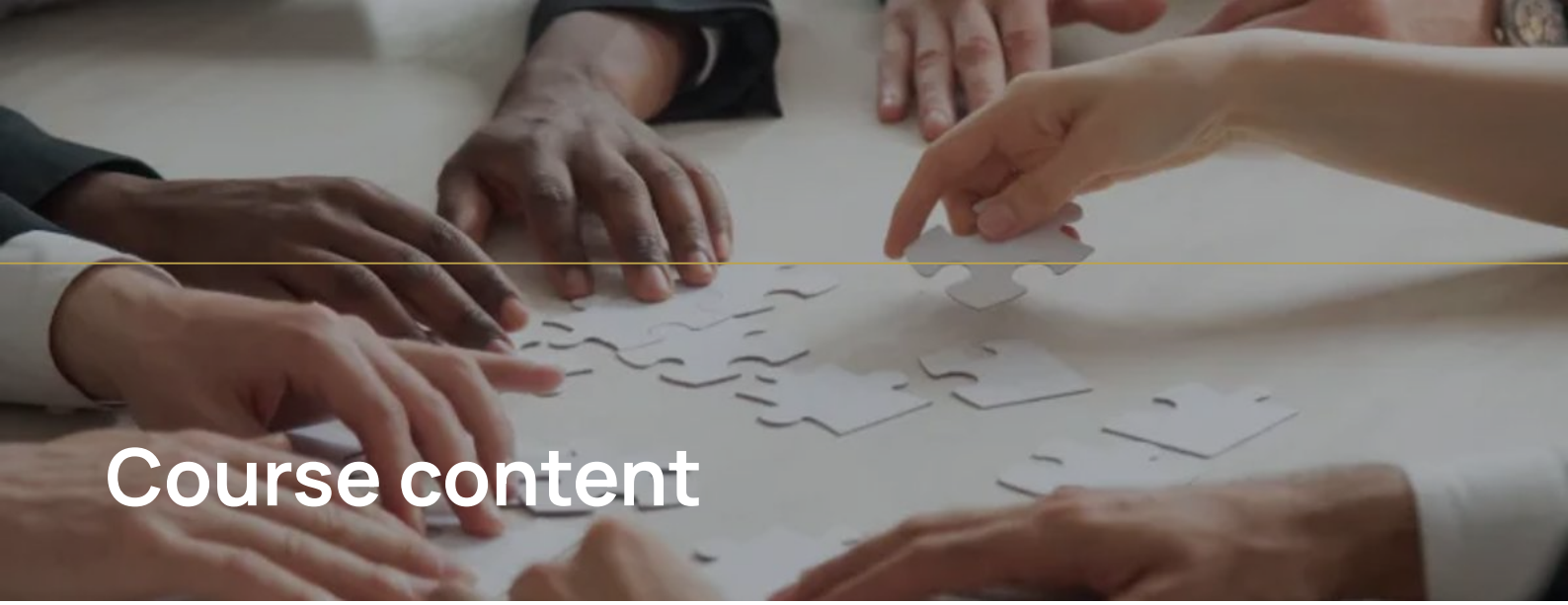
Venue	Start date	End date	Fee (GBP)
Rome Confirmed dates	14 Jun 2027	18 Jun 2027	**£2,450.-**
Online Confirmed dates	14 Jun 2027	18 Jun 2027	**£1,250.-**
Singapore Confirmed dates	21 Jun 2027	25 Jun 2027	**£2,820.-**
Online Confirmed dates	21 Jun 2027	25 Jun 2027	**£1,250.-**
London Confirmed dates	5 Jul 2027	9 Jul 2027	**£2,450.-**
Online Confirmed dates	5 Jul 2027	9 Jul 2027	**£1,250.-**
Dubai Confirmed dates	19 Jul 2027	23 Jul 2027	**£3,150.-**
Online Confirmed dates	19 Jul 2027	23 Jul 2027	**£1,250.-**
Frankfurt Confirmed dates	2 Aug 2027	6 Aug 2027	**£2,650.-**



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Dates, venues and fees (continued)

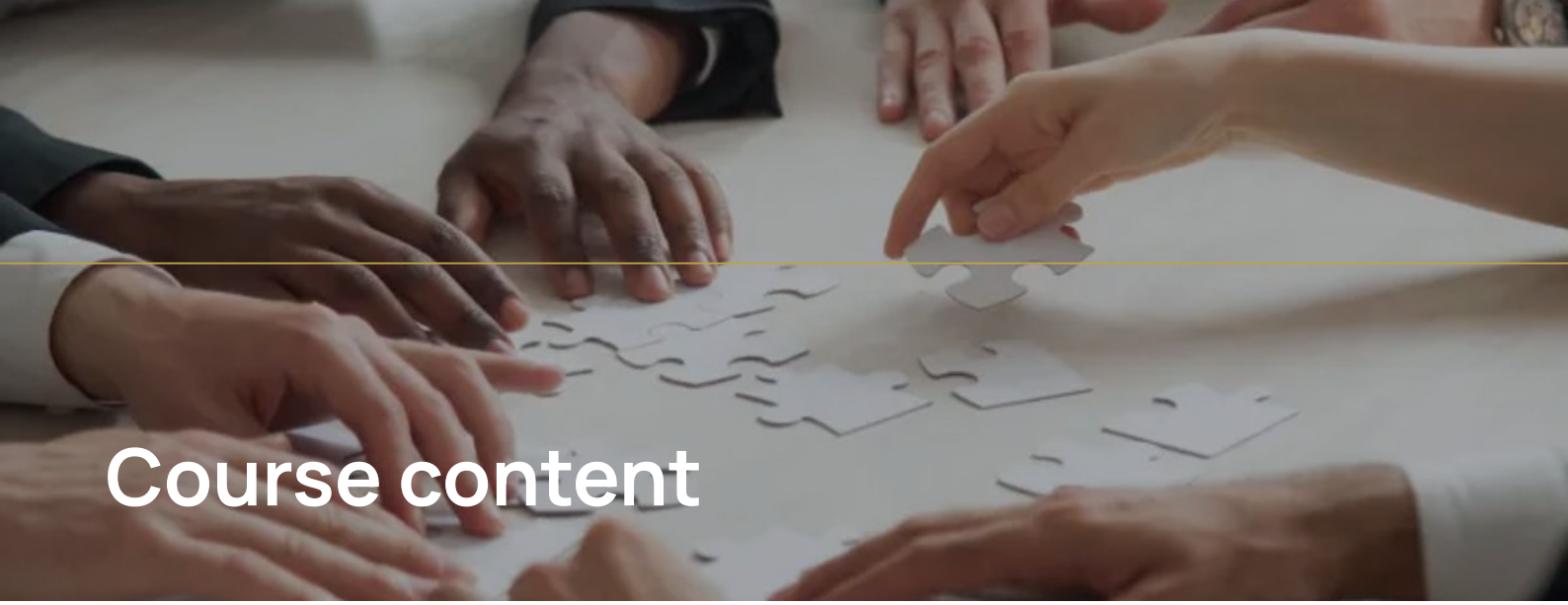
Venue	Start date	End date	Fee (GBP)
Online Confirmed dates	2 Aug 2027	6 Aug 2027	**£1,250.-**
Kuala Lumpur Confirmed dates	16 Aug 2027	20 Aug 2027	**£1,450.-**
Online Confirmed dates	16 Aug 2027	20 Aug 2027	**£1,250.-**
Cape Town Confirmed dates	23 Aug 2027	27 Aug 2027	**£1,890.-**
Online Confirmed dates	23 Aug 2027	27 Aug 2027	**£1,250.-**
Paris Confirmed dates	6 Sept 2027	10 Sept 2027	**£2,860.-**
Online Confirmed dates	6 Sept 2027	10 Sept 2027	**£1,250.-**
Istanbul Confirmed dates	20 Sept 2027	24 Sept 2027	**£2,650.-**
Online Confirmed dates	20 Sept 2027	24 Sept 2027	**£1,250.-**



Course content

Dates, venues and fees (continued)

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Amsterdam Confirmed dates	4 Oct 2027	8 Oct 2027	**£2,540.-**
Online Confirmed dates	4 Oct 2027	8 Oct 2027	**£1,250.-**
Singapore Confirmed dates	18 Oct 2027	22 Oct 2027	**£2,820.-**
Online Confirmed dates	18 Oct 2027	22 Oct 2027	**£1,250.-**
Barcelona Confirmed dates	25 Oct 2027	29 Oct 2027	**£2,840.-**
Online Confirmed dates	25 Oct 2027	29 Oct 2027	**£1,250.-**
London Confirmed dates	1 Nov 2027	5 Nov 2027	**£2,450.-**
Online Confirmed dates	1 Nov 2027	5 Nov 2027	**£1,250.-**
Dubai Confirmed dates	15 Nov 2027	19 Nov 2027	**£3,150.-**



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Dates, venues and fees (continued)

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Online Confirmed dates	15 Nov 2027	19 Nov 2027	**£1,250.-**
Frankfurt Confirmed dates	6 Dec 2027	10 Dec 2027	**£2,650.-**
Online Confirmed dates	6 Dec 2027	10 Dec 2027	**£1,250.-**
Kuala Lumpur Confirmed dates	13 Dec 2027	17 Dec 2027	**£1,450.-**
Online Confirmed dates	13 Dec 2027	17 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.

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