



## Workshop on Compliance Management for Compliance Officers/ Managers

June 3 – 7, 2024, 1<sup>st</sup> Run: Lagos & Abuja

December 16 - 20, 2024, 2<sup>nd</sup> Run: Lagos & Port Harcourt

**For Tutor -Led Class:** 9am – 4:30pm

**Workshop fee:** N250, 000 per Participant

**For online:** Delivery via Zoom

**Online course fee:** N200, 000 per Participant

**Available for In-plant Training**

**500 U\$D for foreign  
Participants**

### Program overview:

Compliance training refers to the process of educating employees on laws, regulations and company policies that apply to their day-to-day job responsibilities. An organization that engages in compliance training hopes to avoid and detect violations by employees that could lead to legal liability for the organization, create a more hospitable and respectful workplace and lay the groundwork for a partial or complete defense in the event that employee wrongdoing occurs despite the organization's training efforts. This 5-day compliance training course has been designed to provide participants with the key skills, abilities and confidence required to improve their handling of compliance issues in their organizations and other regulatory requirements.

### For whom:

Directors and Senior Managers, Company Secretaries, Compliance Professionals, Risk Managers, Legal Advisers and Lawyers, In-House Corporate Counsel, Auditors and Audit Managers, Compliance Officers and Managers, and anyone responsible for compliance affairs or regulatory relationships

### Learning objectives:

At the end of the program, participants will be able to:

- \* define, develop and deploy compliance policies for their organizations;
- \* list and explain the factors that drive an organization's compliance exposure;
- \* explain the risk consequences of non-compliance;
- \* manage the relationship between corporate governance and compliance;
- \* know and explain the implications of corporate accountability and ethical behavior; and
- \* optimize organizational structure for compliance purposes.

### Course outline:

#### Day 1: What is Compliance?

- What is Compliance Risk, why is it important?
- What are the activities of the Compliance Department?
- Corporate Governance and Ethics
- The importance of strong Corporate Governance
- Key elements of a Corporate Governance regime
- Why do Ethics matter?
- Role of the Compliance Department in Corporate Governance & Ethics

#### Day 2: Effective Control Structures

- Essential elements of a robust organizational structure
- Risk management

- Management information
- Control functions – Compliance & Internal Audit
- Staff, agents & outsourcing
- Managing Conflicts of Interest
- Corporate conflicts, Personal conflicts
- Gifts & inducements, Chinese Walls & other controls
- Market abuse and insider dealing

### **Day 3: Role of the Compliance Function**

- Key attributes of a Compliance Officer
- The location of Compliance function
- Compliance training and education
- Compliance monitoring
- Compliance manuals and documentation
- Integration or independence of the compliance function
- Optimal compliance architecture

### **Day 4: Developing a Corporate Compliance Management Program**

- Code of conduct, Policies and procedures
- Best practice principles, Monitoring and auditing
- Implementation of Corporate Compliance
- Implementation requirements: Case studies

### **Day Five: Issues in Compliance Management**

- The demand for Corporate Social Responsibility (CSR)
- Fraud and corruption control, International money laundering
- Whistle blower programs and the law
- Determining the Effectiveness of the Compliance Function
  - Compliance monitoring by top management
- The compliance report.

#### **LOCATIONS**

1 - HCA Learning Centre. Acme House 2nd Floor, 23, Acme Road, Ogba, Industrial Scheme, Ikeja, Lagos, Nigeria

2 - Green-Minds Hotel, Plot 764, Cadastral Zone B05, E. Ekukinam Street, Utako District, Abuja

3 – Pakiri hotel Ltd., 4 Okwuruola Street, off Stadium Road, Rumuola, Port Harcourt, Rivers State.

**Open Course Fee: N250, 000**  
In-plant Fee Negotiable

#### **WORKSHOP FEE:**

**N250, 000 per participant, VAT –N18, 750**

Note: this covers Workshop Fee, Tea/coffee break, Lunch, course materials and certificate of attendance.

Payment should be made into our Accounts:

Account Name: Human Capital Associates Global Consult Ltd.

Union Bank of Nig. PLC: Account No: 0097961537

First Bank of Nig. PLC: Account No: 2033683960

Keystone Bank Ltd.: Account No: 1007150325

**For Booking / Enquiry, Call: 234-8051365946, 234-7087578814**  
**24/7 Lines: 234-8068933608, 234-8029170491, 234-8145745664,**  
**& 234-9112830607**

## **Training Methodology**

Lectures, discussions, exercises, and case studies will be used to reinforce these teaching/learning methods.