Compliance Leadership: Transparency and Communication

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London (UK)

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Compliance and governance leadership is the senior responsibility for setting how an organisation is directed and controlled and for making sure its people meet legal, regulatory and ethical obligations. This 1-week course is for executives and department heads who must put a governance framework into practice, and delegates finish with an action plan for rolling out and communicating compliance expectations across departments.

Introduction

Three references shape the course. ISO 37000 is the international guidance on governing organisations, covering purpose, oversight and accountability. ISO 37301 sets requirements for a compliance management system, from identifying obligations to monitoring and improvement. The Three Lines Model describes how management, risk and compliance functions, and internal audit share responsibility for control. The level is practitioner for senior leaders, with the emphasis on applying these references across departments rather than studying them in depth. Teaching uses governance scenarios and case discussions from banking, healthcare and manufacturing.

Course Objectives

- Distinguish governance from compliance and define the duties each places on senior leaders
- Apply the Three Lines Model to assign compliance roles across management, oversight functions and audit
- Select policies, owners and escalation routes that put a governance framework into practice across departments
- Compare compliance risk assessment with compliance audit and interpret what each reveals about exposure
- Apply a communication plan that sets compliance expectations for different staff audiences
- Justify governance decisions transparently through recorded rationale, ethical tests and accountable reporting

Target Audience

- Chief executives and executive committee members who must decide how much oversight to delegate to committees
- Department and division heads who must judge how compliance obligations translate into their teams' daily work
- Heads of compliance, risk and legal functions who must decide which obligations need priority controls
- Board secretaries and governance officers who must judge whether reporting gives the board a true picture
- Senior HR and communication leaders who must choose how compliance expectations and ethics messages reach staff



Course Outline

Day 1: Compliance and Governance Principles for Leaders

- Governance vs Compliance: Direction-Setting Oversight Compared With Meeting Organisational Obligations
- ISO 37000: Guidance on the Governance of Organisations and Their Purpose
- ISO 37301: Requirements for a Compliance Management System Across an Organisation
- Leader Responsibilities: Legal, Ethical and Regulatory Duties of Senior Executives
- Governance and Business Objectives: How Oversight Supports Strategy and Stakeholder Trust

Day 2: Putting Governance Frameworks Into Practice Across Departments

- Board vs Committee Oversight: Full-Board Decisions Compared With Delegated Committee Review
- Three Lines Model: Roles of Management, Risk and Compliance, and Internal Audit
- Policy and Procedure Design: Turning Compliance Obligations Into Departmental Working Rules
- Cross-Departmental Rollout: Assigning Owners, Deadlines and Escalation Routes for Policies
- Governance Performance Evaluation: Measures for Monitoring How Oversight Structures Function

Day 3: Compliance Risk Assessment and Audit

- Compliance Risk Identification: Mapping Obligations, Exposures and Their Organisational Impact
- Risk Assessment vs Compliance Audit: Forward-Looking Rating Compared With Evidence Testing
- Risk Mitigation Strategies: Controls, Training and Escalation for Compliance Exposures
- Regulatory Change Monitoring: Tracking New Requirements in Complex Regulatory Environments
- Compliance Case Examples: How Banking and Healthcare Organisations Handled Compliance Challenges

Day 4: Communicating Expectations, Ethics and Accountability

- Tone at the Top vs Tone in the Middle: Executive Compared With Manager Messaging
- Compliance Communication Plan: Audiences, Channels and Frequency for Expectations Messaging
- Accountability Frameworks: Defining Decision Rights and Consequences Within Teams
- Transparent Decision-Making: Recording Rationale and Disclosing Conflicts of Interest
- Ethical Decision-Making Practice: Working Through Governance Dilemmas Using a Structured Test

Day 5: Applied Practice: Monitoring, Reporting and the Leadership Action Plan

- Compliance Monitoring Systems: Applying Risk Ratings to Set Checks and Indicators
- Internal vs External Reporting: Board Dashboards Compared With Stakeholder Disclosure Mechanisms
- Speak-Up Channels: Reporting Routes That Surface Concerns Without Fear of Retaliation
- Continuous Improvement Tools: Applying Audit Findings and Lessons Learned to Governance
- Governance and Compliance Action Plan: Completing the Departmental Rollout and Communication Plan



Skills You Will Gain

- Governance Framework Implementation
- Compliance Management Systems
- Three Lines Model Application
- Compliance Risk Assessment
- Compliance Communication Planning
- Accountability Mapping
- Ethical Decision Testing
- Governance Reporting

Why Attend This Course

- From governance policies that stay at board level to owners, deadlines and escalation routes in every department
- From one-off compliance announcements to planned messaging tailored to executives, managers and front-line staff
- From discovering breaches after the event to monitoring indicators that flag exposure early
- From general intentions to a governance and compliance action plan ready to present to the executive team

Conclusion

Leading compliance and governance means turning board-level intent into rules, roles and messages that people across the organisation understand and follow. The course makes three distinctions clear: governance versus compliance, risk assessment versus audit, and tone at the top versus tone in the middle. It suits senior leaders who need a one-week, applied route to rolling out a framework; a two-week edition covering frameworks and risk in more depth suits those who want a wider grounding.

Course FAQs

What is compliance and governance leadership?

It is the senior responsibility for directing and controlling an organisation while ensuring it meets its legal, regulatory and ethical obligations, carried out through frameworks, assigned roles, monitoring and clear communication of expectations to staff.

What is the difference between governance and compliance in compliance and governance leadership?

Governance decides direction, oversight and who is accountable for what; compliance is the set of activities that make sure obligations are met. Governance sets the structure in which compliance operates, and leaders answer for both.



Which standards does the compliance and governance leadership course follow?

The course follows ISO 37000 for the governance of organisations, ISO 37301 for compliance management systems and the Three Lines Model for dividing control responsibilities between management, oversight functions and internal audit.

Is the compliance and governance leadership course right for a department head?

Yes. Department heads learn to translate obligations into team rules, name owners, set escalation routes and communicate expectations, which is the stage where many governance frameworks stall after board approval.

What do delegates produce on the compliance and governance leadership course?

Delegates produce a governance and compliance action plan for their own area, with assigned owners, monitoring indicators, a reporting route to the board and a communication plan for each staff audience.

