

EFFECTIVE LEGAL COMPLIANCE AUDIT

“Ensuring Organizational Integrity through Robust Legal and Regulatory Compliance Audits”

Schedule

Date	Venue	Fees (Face-to-Face)
10 - 14 Aug 2026	London - UK	USD 3495 per delegate

► **Available delivery methods:** Face-to-Face & Online Training

Introduction

In today’s complex regulatory environment, legal compliance is no longer optional—it is a core aspect of organizational sustainability and risk management. Internal audit teams are increasingly tasked with evaluating the effectiveness of compliance programs, controls, and processes to ensure full adherence to applicable laws and regulations.

This 5-day intensive training course provides a structured approach to auditing legal compliance across various functional areas. It empowers participants to assess, design, and improve compliance frameworks, using audit techniques that highlight deficiencies, measure effectiveness, and support sound governance.

Objectives

By the end of this course, participants will be able to:

- Understand the legal and regulatory framework applicable to organizations
- Plan and conduct a risk-based legal compliance audit
- Evaluate internal controls and compliance reporting structures
- Identify non-compliance risks and recommend corrective actions
- Prepare clear and actionable compliance audit reports for stakeholders

Why Attend

- Gain practical knowledge of legal compliance audit methodologies
- Improve your ability to assess and strengthen compliance programs
- Learn how to detect, document, and mitigate legal risks
- Access templates and tools for auditing contracts, licenses, and regulatory filings
- Support ethical business practices and protect your organization's reputation

Target Audience

This program is designed for:

- Internal auditors and compliance auditors
- Legal and compliance officers
- Risk and governance professionals
- Regulatory affairs managers
- Executives responsible for compliance oversight

Individual Benefits

Key competencies that will be developed include:

- Knowledge of legal audit scope, standards, and tools
- Enhanced understanding of compliance risks and control mechanisms
- Improved audit planning, execution, and reporting skills
- Capacity to review legal documentation and regulatory adherence
- Ability to contribute to a culture of integrity and compliance

Organizational Benefits

Upon completing the training course, participants will demonstrate:

- Strengthened internal controls and compliance assurance
- Better preparedness for regulatory inspections and legal scrutiny
- Reduced risk of penalties and reputational damage
- Alignment of operations with legal requirements and corporate governance standards
- Increased trust from stakeholders and regulators

Instructional Methodology

The course follows a blended learning approach combining theory with practice:

- Strategy Briefings - Deep dive into legal frameworks, compliance obligations, and audit requirements
- Case Studies - Real-world examples of legal breaches and audit failures
- Workshops - Exercises in risk assessment, compliance checklist creation, and control evaluation
- Peer Exchange - Discussions on industry-specific compliance challenges and best practices
- Tools - Templates for audit planning, legal documentation review, and regulatory compliance tracking

MAWA EVENTS

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Course Outline

Training Hours: 7:30 AM – 3:30 PM **Daily Format:** 3–4 Learning Modules | Coffee breaks: 09:30 & 11:15 | Lunch Buffet: 01:00 – 02:00

Day 1: Fundamentals of Legal Compliance Auditing

- Module 1: Introduction to Legal Compliance (07:30 – 09:30)
 - Importance of legal compliance in business operations
 - Overview of common legal requirements across industries
 - Role of internal audit in legal compliance assurance
- Module 2: Regulatory and Statutory Frameworks (09:45 – 11:15)
 - Key international and local legal compliance obligations
 - Understanding contracts, licenses, and industry-specific regulations
 - Overview of corporate governance and legal reporting duties
- Module 3: Risk-Based Approach to Legal Auditing (11:30 – 01:00)
 - Legal risk identification and prioritization
 - Tools for assessing compliance risk exposure
 - Mapping legal risks to business processes
- Module 4: Workshop – Legal Compliance Gap Analysis (02:00 – 03:30)
 - Group exercise on identifying legal non-conformities
 - Using compliance checklists and regulatory frameworks
 - Sharing insights and recommended corrective measures

Day 2: Audit Planning and Scope Development

- Module 1: Defining the Scope of a Legal Compliance Audit (07:30 – 09:30)
 - Selecting audit areas and setting audit objectives
 - Scoping for multi-jurisdictional and complex organizations
 - Determining audit boundaries and exclusions
- Module 2: Gathering and Reviewing Legal Documentation (09:45 – 11:15)
 - Reviewing contracts, permits, licenses, and policies
 - Understanding data privacy, anti-bribery, and labor laws
 - Maintaining confidentiality and legal privilege
- Module 3: Tools and Techniques for Compliance Assessment (11:30 – 01:00)
 - Checklists, maturity models, and control evaluation tools
 - Sample testing and process walkthroughs
 - Interviews with compliance officers and legal teams
- Module 4: Workshop – Designing a Compliance Audit Plan (02:00 – 03:30)
 - Drafting an audit charter and plan
 - Assigning resources and setting timelines
 - Peer review and facilitator feedback

Day 3: Fieldwork and Control Evaluation

- Module 1: Testing Compliance Controls and Systems (07:30 – 09:30)
 - Methods for testing control design and effectiveness
 - Sampling techniques and data analysis in compliance audits
 - Root cause analysis of control failures
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Module 2: Case Study – Compliance Audit Failures (09:45 – 11:15)

- Review of notable legal and regulatory compliance breaches
- Lessons learned from enforcement actions and settlements
- Audit response and corrective actions
- Module 3: Observations and Findings Development (11:30 – 01:00)
- Identifying and categorizing audit findings
- Assessing risk impact and urgency of issues
- Supporting evidence and documentation
- Module 4: Workshop – Evaluating Sample Compliance Evidence (02:00 – 03:30)
- Analyze sample reports and contracts for compliance gaps
- Generate audit observations and action points
- Team discussion and insights

Day 4: Reporting and Follow-up Activities

- Module 1: Writing a Legal Compliance Audit Report (07:30 – 09:30)
- Structuring findings, conclusions, and recommendations
- Using compliance audit rating systems
- Writing for clarity and impact
- Module 2: Communicating Results and Remediation (09:45 – 11:15)
- Presenting findings to stakeholders and legal teams
- Facilitating action planning and accountability
- Handling sensitive findings diplomatically
- Module 3: Monitoring and Continuous Improvement (11:30 – 01:00)
- Establishing compliance dashboards and KPIs
- Re-auditing and follow-up procedures
- Tracking remediation and policy updates
- Module 4: Workshop – Drafting a Compliance Audit Report (02:00 – 03:30)
- Create a sample report with key findings and recommendations
- Present and receive feedback from peers
- Final refinement and best practices

Day 5: Strategic Integration of Legal Compliance Auditing

- Module 1: Legal Compliance and Corporate Governance (07:30 – 09:30)
- Integrating compliance auditing into the governance framework
- Collaboration between audit, legal, and compliance functions
- Role of the board in compliance oversight
- Module 2: Emerging Trends and Regulatory Developments (09:45 – 11:15)
- Trends in data privacy, ESG compliance, and anti-corruption laws
- Global regulatory shifts and their audit implications
- Preparing for future legal risks
- Module 3: Audit Program Maturity and Ethics Integration (11:30 – 01:00)
- Compliance audit maturity models and benchmarking
- Ethics and compliance as strategic enablers
- Aligning audit programs with organizational values
- Module 4: Final Review and Certification (02:00 – 03:30)

Review of course content and participant Q&A

- Final group presentation or knowledge check
- Certificate ceremony and closing remarks

Certification

Participants will receive a Certificate of Completion in Legal Compliance Auditing, validating their capability to conduct comprehensive legal audits and ensure organizational adherence to applicable laws and regulations.

Why Choose MAWA Events

- **Global Expertise:** More than 17 years of experience in professional training and consulting.
- **Industry-Leading Faculty:** Courses delivered by seasoned professionals with hands-on experience.
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<p>In-House / Customized Training</p> <p>Interested in running this course for your team?</p> <p>Please contact us:</p>	<p>TEL:</p> <p>+601116373203</p>	<p>EMAIL:</p> <p>info@mawaevents.net</p>
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